Fall 2020

Façade Improvement Programs in the San Francisco Bay Area

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DOI: <https://doi.org/10.31979/etd.b6ez-98zt>
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Façade Improvement Programs in the San Francisco Bay Area

by

Liz Lange

A Thesis Quality Research Paper

Submitted in Partial Fulfillment of the Requirements

For the Master's Degree

In

PUBLIC ADMINISTRATION

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December 2020

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ABBREVIATIONS AND ACRONYMS

B&M: Brick and Mortar

CD: Community Development

CDBG: Community Development Block Grant

CMO: City Manager's Office

ED: Economic Development

FIP: Façade Improvement Program

FY: Fiscal Year

GF: General Fund

NMSP: National Main Street Program

NPO: Non-Profit Organization

OEWD: Office of Economic and Workforce Development

RDA: Redevelopment Agency

SFBA: San Francisco Bay Area

TIF: Tax Increment Financing

TIP: Tenant Improvement Program

UR: Urban Renewal

INTRODUCTION

In the United States, a Façade Improvement Program (FIP) is a popular economic development (ED) tool used to physically improve and update the exterior and storefront of buildings (Maust, 2013). However, there is no blueprint or guidelines for how this program should operate (i.e. value of funds, application requirements, or types of improvements). While FIPs are managed by municipalities throughout the United States, this research project found that only eleven of the 101 incorporated cities in the San Francisco Bay Area (SFBA) operate this type of program.

Historically, FIPs have stemmed from larger ED tools such as urban renewal (UR) and redevelopment, but unlike those tools, FIPs are much smaller and more feasible for municipalities to operate. FIPs have several purposes, benefits, outcomes, and outputs, and can be adapted to any city or town with commercial corridors and buildings (Facca, 2013). Some reasons a municipality might adopt a FIP include the following:

- Revitalize the entire city or a specific neighborhood;
- Retain and expand existing businesses;
- Attract new businesses;
- Raise property values;
- Reduce urban blight;
- Restore a historical landmark; or
- Increase tourism

Project Inspiration

During the summer of 2019, the City of Hayward's ED division conducted a "Food Desert Analysis" because residents had complained to the Hayward City Council that there was a lack of healthy and affordable grocery stores in South Hayward. The findings from the Food Desert

Analysis indicated that the entire city was not experiencing a food desert, but there was a lack of mainstream and chain grocery stores in South Hayward. The recommendation from the Food Desert Analysis was to shepherd the ethnic specialty and independent grocery stores, in particular, into the future FIP to enhance their signage and visibility so they can compete with the larger grocery stores in the city for the attention and patronage of residents. Currently, Hayward's ED division is planning to revamp their FIP to incentivize businesses to update their façades. Hayward's FIP intends to provide additional support to businesses by offering a \$5,000 incentive to update their interior or enhance their business in some way. While grocery stores are not the specific business of interest for this report, this research question and project stemmed from the Hayward Food Desert Analysis and is the reason why an inventory, comparative benchmark analysis, and impact evaluation of FIPs in the SFBA was undertaken.

Project Goals

The purpose of this research project is to provide a comprehensive inventory and analysis of FIPs that currently operate in the SFBA, identify common components, analyze unique features, evaluate program goals, and determine successful practices. The intent of this study is to encourage municipalities, particularly in the SFBA, that do not operate a FIP to consider implementing one by providing a starting point and guidelines for program development. Many municipalities are unable to research FIPs due to limited staff hours and other competing priorities. Through this research, staff will be able to identify what resources are required to operate a FIP, the types of businesses that participate, the purpose of operating a FIP in a particular city, and some of the outcomes of FIPs. This will allow staff to compare the costs and benefits of operating a FIP and decide if this type of program is necessary to respond to issues arising in their city.

To better understand how FIPs are managed and used in the SFBA, this research project provides the following:

- Background information on redevelopment agencies (RDAs) in California;
- Historical analysis of UR and FIPs;
- Inventory of FIPs in the SFBA;
- Comparison of the features, outputs, and outcomes of FIPs in the SFBA; and
- An assessment of the criteria for a successful FIP

Research Question

A blueprint or set of guidelines about how to operate a FIP does not exist; as such, this project aims to solve this problem and asks the following research question:

What are the common, unique, and successful practices for municipalities in the SFBA that currently operate a FIP?

BACKGROUND

Redevelopment Agencies in California

RDAs were created in California with the passage of the California Community Redevelopment Act of 1945 in order to combat blight and revive a city or particular neighborhood with ED by making improvements to land or property (Black, 2014; Dardia, 1998; Hoem, 2018). California pioneered RDAs and was responsible for a majority of ED activities for nearly 400 California cities (Black 2014; Sturmfels, 2012). Parra (2012) notes that RDAs were also commonly used to fund historical preservation, which led to visual and economic benefits.

Once an RDA was formed in a particular city, certain project areas were selected for redevelopment based on various qualifying components. For example, buildings that were blighted, vacant for an extended period of time, located in neighborhoods with high crime rates, contributed to declining property values, or simply run-down were chosen for a renewal project (Dardia, 1998). To acquire these blighted properties, the State gave RDAs eminent domain to acquire the property and then sell the lots to private developers at discounted prices (Dardia, 1998). This gave RDAs the ability to attract new businesses to an area that had previously been neglected. These projects were also funded with municipal general funds (GF) and Community Development Block Grants (CDBG). However, the reason RDAs were successful is mainly due to tax increment financing (TIF) and the passage of Proposition 13.

Tax Increment Financing

TIF, a budgetary tool, was approved by California voters in 1952 and was used to subsidize redevelopment costs (Dardia, 1998; Godwin & Schumacher, 2013; Gordon, 2004). Local governments funded the bonds that were sold to finance the land acquisition and public improvements of blighted and low-value properties with GF and CDBG. The bonds assisted with developing

the blighted properties that were later re-assessed, resulting in higher property taxes (Dardia, 1998; Godwin & Schumacher, 2013).

While the municipalities kept the old tax income from the blighted properties, the local RDAs were able to keep the difference between the old tax income and the post-redevelopment tax income, which was then used to pay back the bonds and fund future redevelopment projects (Godwin & Schumacher, 2013). Blount, Ip, Nakano, and Ng (2014) mention that local governments were able to claim the increase of property tax revenue for the repayment of public costs associated with redevelopment projects. Through redevelopment, RDAs created improvements that would raise a building's assessed valuation, which led to an overall increase in tax revenue (Blount, Ip, Nakano, & Ng, 2014; Fleissig, 2003).

TIF was created because municipalities had previously been required to pay all the costs up-front for redevelopment projects but did not get to keep all of the tax revenues. Municipalities had to share property tax revenues, known as general purpose revenues, with other local jurisdictions, such as counties, school districts, and special districts (Sturmfels, 2012). Because RDAs received all of the property tax revenues from new projects through TIF, there was rampant redevelopment throughout California, since the revenue from early projects funded future projects (Dardia, 1998). Additionally, in 1976 the California State Legislature added that 20% of the RDAs revenue needed to go towards building affordable housing in local communities (Sturmfels, 2012). This provision gave RDAs new powers such as eminent domain and the ability to fund projects without voter approval. However, a problem with TIF is that RDAs relied on "Dramatic increases in property value" for their cash flow, which in some cases led to investment in wealthy, suburban neighborhoods instead of slums and blighted areas (Gordon, 2004, p. 319).

Proposition 13

Proposition 13 was another component of RDAs continued success at stimulating ED in California and generating revenue. Proposition 13 was passed in 1979 and created larger differences between an existing tax rate that was set at the time of last purchase, or at 1977 levels, and the new tax rate on the refurbished lot (Sturmfels, 2012). The new property tax was lowered to a rate of 1% of the purchase price, with a maximum annual increase of 2% of the tax amount. This provision took power away from governments because the pool of available money was now much smaller (Sturmfels, 2012). As a result, the GF experienced a decline in revenue from property taxes, which meant that local governments were positioned to rely heavily on TIF to fund their redevelopment projects (Fleissig, 2003).

Dissolution

Dardia (1998) discussed the controversies surrounding RDAs in California, such as prioritizing downtown development over affordable housing, using eminent domain for private rather than public purposes, and changing how blight was defined in project areas. On February 1, 2012 Governor Jerry Brown dissolved all RDAs (as a response to the economic downturn and the state's need for access to more funding) with the passage of AB XI 26 and AB XI 27. AB XI 27 would have allowed municipalities to pay a fee for the state to continue funding their RDA, but the Supreme Court of California overturned the bill and upheld the legislature's ability to abolish the RDAs (Black, 2014). However, the municipalities that received funds through RDAs had to establish successor agencies to handle the financing until the RDA's bonds were all repaid. The municipality became the successor agency, by default, and was tasked with assuming the responsibilities of the former RDA, carrying out enforceable obligations, and paying off the debts for the bonds (Black, 2014).

When RDAs were dissolved, the California State Legislature did not provide or suggest alternative ED strategies (Sturmfels, 2012). Subsequently, legislators opposed to the dissolution of RDAs responded with A.B. 3037 in 2018, which was the first attempt in years to bring back RDAs due to their proven record of generating ED (Chiu et al., 2018). However, the RDAs previous fiscal burden could not be ignored, and A.B 3037 was not passed.

The abolition of RDAs left municipalities with no capacity to fund large-scale redevelopment projects, affordable housing, or neighborhood improvement programs, which previously required the sale of bonds to finance (Herr, Clark, & Levin, 2012). Municipalities were then left on their own to generate ED without RDAs (Sturmfels, 2012). However, one way to accomplish ED without RDAs is through municipal management and funding of FIPs.

Façade Improvement Program

A FIP is an incentive tool used by municipalities to encourage local businesses to make visual improvements and impacts to their building's exterior and storefront. Some of the goals of a FIP include stimulating ED, providing a passerby with external stimuli, and creating an enjoyable shopping experience for patrons (Facca, 2013; Muter, 2017). A FIP is also known as a façade grant program, storefront improvement program, or storefront investment program. FIPs can be used for preservation, forming a cohesive community identity, creating a more welcoming environment, enhancing the physical appeal of the building, or restoring historical features (Maust, 2013; Murthy & Frenchman, 2004; Torabi, 2009). Maust (2013) notes that while the immediate result is the improved physical appearance of the storefront, the enhancements and changes also serve the purpose of ensuring that businesses survive and communities are economically viable.

Torabi (2009) and Ryan, Greil, Sarver, Lawniczak, and Welty (2014) noted that simple color changes, removal of past alterations, and low-cost improvements are minor visual enhancements

that can make a big difference and affect the identity, perception, and character of a community. Exterior improvements can include paint, new signage, additional outdoor seating, window treatments, landscaping, lighting, awnings, woodwork, and new doors (Ryan, Greil, Sarver, Lawniczak, & Welty, 2014). Additionally, some municipalities operate a Tenant Improvement Program (TIP) that funds interior improvements.

Benefits

FIPs are a facilitator of preservation, revitalization, and change, and are used to maintain and enhance the aesthetic, cultural, historical, social, spiritual, and symbolic traditions of a community (Maust, 2013). FIPs are usually part of a larger plan of working towards an overall goal of redevelopment or revitalization. FIPs are commonly known for improving storefronts, but Maust (2013) mentions that FIPs can also have the same purpose as RDAs and be used for historical preservation, rehabilitation of buildings, and restoration of streetscapes, which can lead to economic and social benefits. Additionally, a FIP can create a distinctive look, form the community identity, improve the business environment, and make a big difference to the perception of a commercial corridor.

The immediate outputs of a FIP include a cohesive aesthetic appearance, enhanced urban environment and public space, visual sense of community pride and appreciation, and better use of properties. Outcomes of FIPs on a business include the potential to attract new customers, receive an increase in sales, and hire more employees. Citywide outcomes of FIPs include the potential to attract new businesses and fill vacant buildings (Facca, 2013; Maust, 2013; Ryan et al., 2014).

A passerby could be discouraged from entering a business if the exterior of the building is not inviting or visually stimulating. Dick, Murrar, and Somersan (1986) noted that people want

to shop in attractive environments, so a FIP is a simple way to enhance the visual appearance of an establishment for shoppers. Loukaitou-Sideris (2000) found that façade and streetscape improvements can attract shoppers and instill pride in residents and business owners. A FIP can also lead to a positive impact on neighboring and adjacent businesses because of the influx of shoppers to the area. The neighboring businesses that did not receive improvements through the FIP might also receive an increase in sales and are then able to afford their own improvements without assistance from the municipality (Ryan et al., 2014).

Purpose and Role of Downtown Corridors

Many FIPs are concentrated in the downtown corridor which is home to many local and independently operated businesses. These businesses have the ability to contribute to significant economic growth in the city due to their property tax base and sales tax revenue (Walzer, Evans, & Aquino, 2017). Downtown corridors are highly invested in because they are seen as the social center of the city and receive a great deal of visitation from shoppers from outside of the city. As mentioned by Dick et al. (1986), if the environment and aesthetic of a downtown corridor are not visually appealing or inviting to shoppers, businesses could lose customers and the city will experience losses in sales tax revenue. Walzer, Evans, and Aquino (2017) mentioned that when the downtown corridor is lively and sustainable, quality of life improves and the appreciation within the community can attract more customers.

Ryan et al. (2014) stated that another reason why downtown corridors are a target for FIPs is because of the need to preserve the historical significance or establish a unique identity that draws people in. When visitors and shoppers come from out of town, the downtown corridor is usually the designated place to visit. The local charm and historical values seen in many of the

buildings tell a story of the community and serve as a good first impression. If visitors have a good first impression, they will likely visit again and tell others about the community.

Municipal Management

FIPs are usually managed under community development (CD), ED, or planning divisions and the improvements are made in specific corridors. As mentioned in the introduction, only eleven of the 101 incorporated cities and towns in the SFBA currently operate a FIP. Many of the staff from the ninety remaining municipalities mentioned that funds and council approval were reasons why their agency did not operate this type of program. Unfortunately, for many agencies, a FIP is seen as a non-essential budget item. Facca (2013) and Loukaitou-Sideris (2000) note that there are many options for financing a FIP with a limited budget by offering a grant, loan, rebate, or tax incentive. These options give staff the ability to reduce expenses on projects but still assist businesses with improvements.

Facca (2013) noted that storefront and façade improvements can be made by business or property owners, but when a municipality operates their own FIP, the process can be accelerated. Muter (2017) emphasizes the importance of municipal management because a FIP is a visual representation to residents, shoppers, and visitors that the municipal agency is investing in the area and values the sustainability and conditions of local businesses. If a FIP is focused in the downtown corridor, it might be beneficial for the municipal agency to oversee the improvements in order to achieve a cohesive appearance. To accomplish this, municipalities usually have comprehensive plans and strategies, and can offer design assistance to ensure that modifications comply with their plans for the city and downtown corridor (Facca, 2013). Municipalities are responsible for sidewalk repair, trash collection, and making environmental upgrades, and Loukaitou-Sideris (2000) mentions that physical improvements are crucial for facilitating ED and CD.

A FIP is necessary in many cities because business owners are unable to afford aesthetic and ancillary improvements and repairs on their own. To solve this problem, municipal staff will request GF budgeted funds to operate this program, and pay for the costs of the improvements through a reimbursement, grant, loan, tax incentive, or matching rate (Facca, 2013). Municipalities can also provide design assistance through referrals for architects, designers, and contractors. Some municipalities may decide to target a few properties and make significant visual improvements with the hope that neighboring properties will follow along and make their own changes without assistance through the FIP grants. Municipalities have limited budgets, so it is often in the best interest to focus on the most blighted properties so other business or property owners become encouraged to make similar improvements (Facca, 2013). To further encourage façade improvements throughout the city, municipalities may choose to partner with a non-profit organization (NPO), business associations, or other local agencies in order to assist businesses (Facca, 2013).

Future of Small Businesses

Small businesses play a vital role in the local economy and contribute to significant job growth. The Small Business Administration noted in the 2018 Small Business Profile that 99.8% of California businesses are small businesses and 48.8% of all employees in California work for a small business (Small Business Administration, 2018). Many FIPs are targeted at downtown businesses, and most of those businesses are small and independently operated.

A problem that small businesses face is competition with other local businesses (Dick, Murrar, & Somersan, 1986). FIPs can prevent this competition between businesses from escalating with their proven ability to bring customers back to the city. Cities depend on real estate

and sales taxes generated from these businesses to operate, so the future of communities is dependent on the boost in the local economy.

Additionally, small businesses have to compete with online retailers and services. To make this challenge more difficult, Amazon has begun to open their own brick and mortar (B&M) stores (Garcia & Herships, 2019). Amazon is the most well-known internet-based corporation and has been attacked for killing B&M businesses (Norton, 2017). While not meant as a reaction to this new retail climate, FIPs have played a vital role in helping B&M businesses compete with online marketplaces by making old shops more externally attractive and internally efficient.

LITERATURE REVIEW

Analyzing FIPs in the SFBA requires knowledge of the history, emergence, and dissolution of RDAs in California in order to understand why FIPs are needed throughout the state. However, FIPs do not exist exclusively in California; they can be found throughout the United States in large and small municipalities, managed by volunteers, and used for a variety of purposes. This literature review provides a general overview of CD, ED, and UR strategies that serve as the backbone for FIPs. Literature that explains the different functions and purposes of FIPs is compared to understand the different ways that these programs are managed throughout the United States. While the purpose of this report is to find the common, unique, and successful practices among the FIPs that operate in the SFBA, staff at municipal agencies that do not operate a FIP can reference this selection of literature for additional techniques, best practices, or unique features that they might consider adopting in a future program.

Urban Renewal and Economic Development

Origins

Redevelopment, also known as urban renewal (UR), strives to rehabilitate deteriorated areas and improve urban life (Harris, 1967). As noted in the background, RDAs in California were created as a response to the declining condition of neighborhoods that were deemed blighted (Dardia, 1998). In California, the Community Redevelopment Law “Created the framework within which cities can implement urban renewal” (Harris, 1967, p. 820). Harris (1967) does not mention the racial segregation that was associated with these deteriorated areas and why the UR efforts were needed in the first place, but Rothstein (2017) provides a comprehensive overview of UR and how blight emerged throughout the United States, including the SFBA. Blighted communities and slums were another term for African American neighborhoods, and through years of unjust

laws and practices, these neighborhoods became segregated from the rest of their community. When these neighborhoods and properties are redeveloped, municipalities have the power to create a cohesive community (Rothstein, 2017).

UR and redevelopment emerged as the overarching tools to eliminate and prevent blight in communities in order to improve the quality of life and refurbish a city (Harris, 1967; Shultz & Sapp, 1990). However, Shultz and Sapp (1990) note that prior housing policies and programs were unable to eliminate blight, so governments turned to ED. Put simply, the ED strategy focuses on job creation and strengthening the tax base in order to solve urban decay. Additionally, Gordon (2004) mentions that blight was a term originally applied to residential properties which is why housing programs in the United States were heavily involved with UR efforts. Eventually, the definition of blight was broadened with the passage of the 1954 Housing Act to also include commercial development. This change reveals how redevelopment shifted from an UR and housing perspective to an ED initiative. Local governments shifted their focus from clearing slums to preservation and economic efforts.

Defining Blight

Gordon (2004) noted that a problem with addressing blight is that there are disagreements on how blight is defined and what it means for each city. Blight originated from the housing segregation of African Americans in residential zones, but later included properties in commercial zones. The “Redevelopment policies originally intended to address unsafe or insufficient urban housing are now more routinely employed to subsidize the building of suburban shopping malls” (Gordon, 2004, p. 307). UR and redevelopment projects shifted from addressing blight and cleaning up neighborhoods to promoting ED and preventing economic decline (Gordon, 2004). The broadening of the definition has led to some ambiguity about what blight actually is because

properties that were not considered a slum or did not fit the earlier criteria could now be redeveloped.

Gordon (2004) argued that the simplest definition of blight is “A district which is not what it should be” (p. 306) and has become an economic liability. Shultz and Sapp (1990) stated that blight can refer to a variety of conditions in a building that are “Substandard, unsafe, insanitary, dilapidated, or obsolescent” (p. 73). In California, blight refers to buildings that have a poor design and interior layout, inadequate lighting, ventilation, and sanitation, are overcrowded with limited open space, or do not serve a proper purpose (Gordon, 2004). California courts mandated that redevelopment funds be allocated based on the current condition of an area. However, there was disagreement about whether redevelopment efforts should be targeted at currently blighted properties or properties that had the potential to become blighted (Gordon, 2004). Shifting the focus to prevention efforts contradicted federal policies that aimed to invest in severely blighted areas.

It is important to note that the definition of blight has transformed over the years, just as the purpose of redevelopment has changed. Using blight as a determinant of implementing a FIP is not an appropriate metric today because what one municipality considers blighted might not align with other municipalities’ standards for defining blight. Municipal agencies might not think that their city or town needs a FIP, but literature suggests that these programs can be tailored to any type of community regardless of the level of blight.

Façade Improvement Programs

The first record of façade improvements and modernization of buildings in the United States dates back to the 1920s, but the federal government did not get involved until 1934 with the passage of the National Housing Act (Muter, 2017). FIPs are used for a variety of reasons, but most

research has focused on the preservation of buildings and landmarks as the driving factor for FIP usage (Muter, 2017; Sherrill, 2012). Muter (2017) mentions that when businesses began modernizing their buildings and façades, these improvements were known as surface restyling. RDAs in California were not concerned with the historical significance as much as removing blight, but studies have found that preservation can lead to tourism, downtown revitalization, attraction of small businesses, job creation, and construction of affordable housing (Maust, 2013).

Funding

Muter (2017) noted that FIPs are eligible to receive funding with CDBG and must meet one of the following requirements:

- Benefit low to moderate-income individuals;
- Reduce blight; or
- Serve as an urgent need in the community

Staff at municipalities can examine census tracts and determine whether a potential project falls in a tract where more than half of the residents are identified as low to moderate-income. However, many FIP projects are found in commercially zoned census tracts, which makes relying on the first requirement difficult to achieve, especially for small, suburban cities and towns. While this study recommends the first two requirements for meeting the HUD objectives, the last two objectives are more feasible for smaller municipalities to abide by.

A major hurdle when funding a FIP is addressing prevailing wages. Prevailing wages are linked to the Davis Bacon Act of 1931, which mandated that union workers be paid fair wages for projects that cost more than \$2,000 in California (Muter, 2017). This Act applies to all projects that receive CDBG funding, thus potentially increasing the costs for façade improvements.

Best Practices

Since FIPs can be specifically tailored to an individual municipality, many factors affect the outcomes of each program, thus making the programs difficult to compare (Maust, 2013). Despite this, literature suggests ways that FIPs can be properly managed. By establishing best practices and recommendations, staff can have a starting point when implementing a FIP and know what mistakes to avoid. Sherrill (2012) surveyed FIPs operating in North Carolina, identified utilization trends, and recommended five best practices:

- Require matching funds
- Provide design services
- Establish grants
- Build rapport with business and property owners
- Have simple applications

Interestingly, Sherrill (2012) did not mention data collection and progress tracking as one of the best practices. Most of the programs that were surveyed in the study had been operating for nearly twelve years, so it can be assumed that those programs had funded several projects. While some FIPs might offer minimal funds to cover simple improvements, some FIPs can get complicated with detailed, significant, and specific improvements that are unique to each applicant. In either instance, it would be helpful to have information from the application, design process, and project implementation stages inputted into an online system. Datafication of these projects would allow staff to see trends among the projects in one place.

It is also surprising that a post-FIP questionnaire or feedback survey was not recommended as a best practice. Sherrill (2012) was mostly concerned with the application, design, and implementation process, but it is important to continually learn from achievements and mistakes so

that the program can improve each time. By implementing a feedback survey, staff can receive responses, critiques, and highlights directly from the applicants. This information could even be promoted on a website or through other marketing materials to encourage businesses to apply or showcase economic growth and community pride.

Outcomes and Impacts

Harris (1967) notes that UR is meant to improve urban life, but a FIP is meant to improve urban buildings, which can also lead to improvements in urban life. Maust (2013) found that simple improvements and alterations to buildings and façades can bring positive change to communities such as “Population growth, decreased vacancy rates, and increased assessed market values” (p. 76). In addition, Muter (2017) found that other outcomes from a FIP include an increase in building values, better usage of buildings, investment in the area, and an overall greater sense of pride. These changes can have an even greater visual impact on residents and visitors if there are multiple projects being constructed simultaneously rather than one at a time.

One of the most studied improvements made to façades is the application of fresh paint on a building and the impact it has. Muter (2017) cited the study conducted by Maust (2013) which found that when paint on the exterior of a building was the only improvement made, there was an increase in repopulation, redevelopment, and an attraction of more people, businesses, and jobs.

Maust (2013) argues that preserving a single building can lead to job creation, but Loukaitou-Sideris (2000) and Muter (2017) did not list job creation as an outcome of FIP improvements. Loukaitou-Sideris (2000) argues that one small, local business has a limited potential of creating jobs because it does not have many employees. However, when improvements, redevelopment, and preservation efforts are made throughout the city, there can be job growth

for all of the local businesses. This argument proves that it is important to look at the outcomes of the community as a whole rather than the outcomes from one project.

National Main Street Program

As mentioned, there is no blueprint or set of guidelines for agencies that wish to adopt a FIP. However, an initiative that has gained recognition for its successful practices is the National Main Street Program (NMSP) (Turner-Lloveras, 1997). This program has a simple design and approach that emphasizes four points:

- Economic restructuring
- Organization
- Promotion
- Design

RDAs in California fixed many of the blighted and run-down buildings, but did not promote historical preservation. The NMSP is a great model for smaller cities in the SFBA and throughout the United States that have a healthy economy and do not have deteriorated or declining neighborhoods. This approach promotes making modern improvements to buildings and shopping centers, preserving historical and unique architectural features, making the area attractive to shoppers, and creating a boost in the local economy. While the NMSP is suitable for small, homogenous communities, large, diverse, and economically depressed cities might be criticized for using this initiative because it does not address graffiti, crime, or vandalism (Turner-Lloveras, 1997).

As other research has noted, downtown corridors are a social hub and tend to be the gateway to the city. As a result of this, businesses in the downtown corridor have a significant advantage over other businesses in the city because of their prime location (Ryan et al., 2014).

Therefore, municipalities that operate a FIP should focus on the buildings and properties that are in the most need of visual upgrades. This would ensure an equitable division of ED and UR efforts and make the entire community, rather than just the downtown corridor, a desirable place for people to shop, visit, and live.

Gaps in Existing Literature

One of the limitations identified in the literature review is that there is no consensus of where in the city a FIP should be used. Some cities do not have blighted neighborhoods but want to focus on the historical preservation that the NMSP recommends. Other cities deal with crime, graffiti, and vandalism and need a FIP to make the area feel safe. Each city and region in the United States has different economic goals and priorities, and the comparison of literature in this report indicates that while best practices can be suggested, each municipality will have its own unique challenges and requirements for implementing a successful FIP.

There is an abundance of literature on how UR and ED strategies facilitate economic growth and activity, how FIPs achieve their goals with simple improvements, and the immediate impacts of these programs. However, there is still limited research on the long-term outcomes of FIPs and quality of life improvements (Maust, 2013; Muter, 2017). FIPs are known to facilitate economic growth for small businesses, and Maust (2013) noted that it would be helpful to conduct a comparison of the market value between buildings that receive a FIP and buildings that do not in order to assess the investment benefit of these improvements. Additionally, Muter (2017) stated that business owners who made improvements to their façades were also likely to make streetscape and interior improvements because they recognize the payoff from the investment that was made. Municipal agencies have limited funds, so the focus tends to be on the buildings that are in the most need of improvements. The hope would be that those improvements could

then serve as a catalyst for business-funded improvements to be made throughout the city. However, there is still limited research on the impacts of FIPs and not much evidence to support how likely neighboring property and business owners are to follow along and make their own improvements.

Finally, funding sources and the costs associated with these projects can be a constraint, and unfortunately there is limited research on the effects of funding strategies and prevailing wage constraints (Muter, 2017).

METHODOLOGY

The City of Hayward's ED division is planning to revamp their FIP which sparked an interest in how other municipalities in the SFBA operate their FIP, if they have one. Initially, the municipalities that were selected for this project were all within a thirty-mile radius and had similar demographics to Hayward. However, Hayward is not included in this analysis since their ED division is still in the process of launching their FIP. Instead, the purpose of this report is to provide a comprehensive overview and status for each incorporated city and town in the SFBA, collect data from programs that currently operate, and analyze the programs to find common, unique, and successful practices.

Data Selection and Collection

This research project is reliant on publicly available data that was obtained through city websites, public documents, and communication with city staff. Consistent with the research question, all incorporated cities and towns in the SFBA were surveyed from the following nine counties: Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma. Data was gathered in three phases between January and August of 2020.

Phase I

The first phase of data collection involved calling all 101 incorporated cities and towns from the nine counties in the SFBA and asking if the municipality currently operates a FIP or launched a pilot program. Outreach was conducted to all cities and towns in the SFBA, but the assumption was that only a portion of the municipalities operated a FIP or launched a pilot program. The list of all cities and towns in the SFBA, along with their FIP status, can be found in Appendix A.

Phase II

The second phase of data collection included emailing a questionnaire to staff that indicated in Phase I that they currently operate a FIP. Staff from the following eleven cities were emailed the questionnaire: Alameda, Dublin, Emeryville, Fairfield, Oakland, Oakley, Pleasant Hill, San Francisco, San José, San Leandro, and Sebastopol. Of the eleven cities, staff from nine of the municipalities submitted a completed questionnaire; unfortunately, staff from Oakland and San José did not submit a questionnaire. Although eleven municipalities in the SFBA currently operate a FIP, only the nine cities that submitted the questionnaire are analyzed. The questionnaire can be found in Appendix B.

Phase III

The third phase of data collection was conducted by gathering and analyzing each program's application packet and program guidelines. Additionally, each program's public website and the governing city's budget for the 2019-2020 fiscal year (FY) was collected and evaluated.

Evaluative Metrics

Based on the responses to the questionnaire and information collected from the public documents, the findings were categorized into nine tables. First, tables 1 and 2 provide the criteria for the findings that will be presented in tables 9, 10, and 11. Then, tables 3 through 10 are used for the comparative benchmark analysis. These tables include information related to the management of the program, budget and funds, application process, types of improvements, location, types of businesses, marketing and outreach efforts, as well as a summary of the main, common, and unique features. Finally, Table 11 is used for the impact evaluation and outlines the goals for each program and whether each municipality has achieved them.

Tables 3 through 7 present a comparison of the programs in order to adequately analyze the design and implementation of each program. Since the questionnaire could not be presented and formatted as one table in this report, Table 8 provides a consolidated list of the main and interesting features that the nine programs demonstrate. Finally, tables 9 and 10 categorize all of the features listed in tables 3 through 7 as either common or unique, and Table 11 lists the goals for each program and whether they were achieved.

Answers to the questionnaire that are quantified into the tables provide generalizable knowledge that can be used in the future as other municipalities enact their own FIP. The goal is for interested city staff to follow the tables and determine what features would work best for their city.

Comparative Benchmark Analysis

Table 1: Categorization of Program Features Criteria

	Common Features			Unique Features
	All	Majority	Some	
	All 9 programs exhibit this feature	Between 5 and 8 programs exhibit this feature	Between 3 and 4 programs exhibit this feature	Only 1 or 2 programs exhibit this feature
Table 3				
Table 4				
Table 5				
Table 6				
Table 7				

First, a comparative benchmark analysis is conducted to inventory program features and understand what the current practices are. As mentioned in the literature review, there is no set of guidelines that FIPs must abide by, but some studies have promoted best practices in administering these types of programs (Sherrill, 2012). Unlike a traditional benchmark analysis, there is no known municipality that demonstrates the best practices. The purpose of this report is not to promote one program over the rest and compare the other programs to the one demonstrating the

best practices; the purpose is to point out the commonalities and variety of features as a guide to the successful approaches available for prospective FIPs.

Table 1 categorizes all of the features listed in tables 3 through 7 in the findings section as either common or unique practices. Additionally, the common practices have been divided into three subgroups: All, Majority, and Some. The complete list of the common and unique features is presented in Table 9 in the findings section. Then, only the unique features are presented and categorized by each municipality in Table 10.

Impact Evaluation

Table 2: Program Goals Criteria

City	Program Goals		Achieves Goal		
			Yes	Likely	Unsure
Alameda	Goal 1				
Dublin	Goal 1				
Emeryville	Goal 1				
Fairfield	Goal 1				
Oakley	Goal 1				
Pleasant Hill	Goal 1				
San Francisco	Goal 1				
San Leandro	Goal 1				
Sebastopol	Goal 1				

Second, an impact evaluation is conducted to determine whether the program achieved its intended goals by examining the measurable outputs and analyzing the overall outcomes among the FIPs in the SFBA (Types of Evaluation, n.d.). Each municipality has an application packet and program guidelines that list the goals of the program. The application packet and program guidelines can be found in Appendix E. Tables 3 through 7, that were developed from the answers in the questionnaire, are used to determine whether the program is achieving its intended goals. The full list of the program goals is presented in Table 11 of the findings section.

IRB Exclusion

Consistent with the ways that information was requested and research was conducted for this project, an IRB exclusion form was submitted and approved in December 2019. This project relies completely on public information and records which are compared across the municipalities included in the analysis.

FINDINGS

As mentioned in the methodology, data was collected from each program's website, application packet, program guidelines, and city budget. The findings were assembled from those public documents and the responses to the questionnaire that was distributed to city staff. The questionnaire, links to program websites, application packet, and program guidelines can be found in Appendix B, C, and E, respectively.

The questionnaire consists of forty-five questions, but questions 5, 7, 27, 37, and 39 could not be quantified into a table. These questions ask for information related to the purpose of the program, grant process, success metrics, and outcomes of the program and are detailed under each municipality with the table they best correspond with. Additionally, questions 15, 16, 22, 24, 25, 26, 29, 33, and 36 were excluded from the findings because the responses were either repetitive of another question or unable to be answered because some staff do not track the information requested. Questions 41, 42, and 44 were also excluded because the information requested is not useful to this report. However, supplemental information for questions 40, 43, and 45 can be found in Appendix C, D, E, and F.

Once all of the data was collected and finalized, the findings were quantified into tables 3 through 11. Those nine tables include information related to the management of the program, budget and funds, application process, types of improvements, location, types of businesses, marketing and outreach efforts, main, common, and unique features, and program goals.

Program Information

Table 3: Program Information

		Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Program Information	Program Name	Façade Grant Program	Commercial Façade Improvement Grant Program	Façade Improvement Grant Program	Façade, Outdoor Seating, & Signage Improvement Program	Downtown Revitalization Loan Program	Commercial Façade Improvement Grant & Loan Program	SF Shines	Business Incentive Program	Façade Improvement Program
	Population (2019)	77,624	64,826	12,086	117,133	42,543	34,839	881,549	88,815	7,674
	Department	CD	CMO	CD	CD	ED	CMO	OEWD	CD	Planning
	Division	ED	ED	ED & Housing	ED	N/A	ED	N/A	ED	N/A
	Start Date	2012	2011	1997	2018	2014	2012	2009	2013	2005
	Continuous		✓		✓	✓		✓	✓	✓
	Completed Projects	105	7	7	7	2	8	127	33	30-45
	Project Length	N/A	37 months	18 months	9 months	3 months	4 months	9 months	12 months	0.3 months
	Construction Deadline	6 months	18 months	6 months	9 months	N/A	6 months	12 months	12 months	0.3 months
	TIP		✓						✓	
	Staff	1	2	4	1	1	1	1	3	1
	Modeled	N/A	N/A	✓			N/A	N/A		

Source: (U.S. Census Bureau, 2020a; U.S. Census Bureau, 2020b; U.S. Census Bureau, 2020c; U.S. Census Bureau, 2020d; U.S. Census Bureau, 2020e; U.S. Census Bureau, 2020f; U.S. Census Bureau, 2020g; U.S. Census Bureau, 2020h; U.S. Census Bureau, 2020i)

^a Oakley, San Francisco, and Sebastopol do not have a specific division that oversees their program.

^b Continuous indicates programs that have been continuously operating since the start date.

^c Project Length indicates the approximate time frame from when the application is received to when the physical improvements are completed.

^d Alameda does not track the project length.

^e Oakley does not have a construction deadline.

^f TIP indicates whether a municipality also operates a Tenant Improvement Program.

^g Staff indicates the number of full-time staff that manage the program.

^h Modeled indicates whether the program was replicated after another municipality or agency.

ⁱ Alameda, Dublin, Pleasant Hill, and San Francisco do not know whether their program was modeled.

Table 3 contains answers from questions 2, 3, 4, 6, 8, 9, 17, 28, and 38 of the questionnaire and consists of the programmatic information for each FIP. This table provides a general overview of the basic components, history, and management of each program. Questions 15, 16, 24, 25, 26, and 29 from the questionnaire had to be excluded from the findings and analysis because most of the municipalities that were surveyed do not track this information. Additionally, questions 5, 7, 37, and 39 from the questionnaire ask for information related to the purpose, success metrics, and outcomes of the program. These questions were unable to be quantified into Table 3, but are described below for each municipality.

Alameda

The purpose of the Façade Grant Program is to “Provide 50/50 matching grants to business and property owners for the completion of façade improvements on buildings in the City” (City of Alameda, 2019b, p. 1). The program first began in 2012, but in 2016 staff requested that the program should be expanded to include all commercial storefronts in the city (Rudat, 2018). Alameda defines success for this program based on the number of grants awarded, value of improvements made, amount of private investment leveraged, and through before and after pictures of successful efforts.

Dublin

The Commercial Façade Improvement Grant Program uses “Public funds and private investment to enhance the physical appearance and economic vitality of commercial businesses in the Downtown Dublin Specific Plan Area” (City of Dublin, n.d., p. 1). Dublin also operates a TIP and offers a Small Business Assistance Program to assist Dublin-based businesses with the cost of complying with federal, state, and local laws imposed on small businesses. Dublin defines success for this program based on whether the applicant completes improvements and remains in

business at that location. All seven businesses that successfully participated in the program are still in business and operate in Dublin.

Emeryville

The Façade Improvement Grant Program provides financial grants to businesses for upgrading the exteriors of buildings located on San Pablo Avenue and Park Avenue. The program is designed to “Improve the appearance of the City’s neighborhood commercial areas by encouraging upgrades of dilapidated commercial buildings (City of Emeryville, 2017, p. 4). The program also encourages “Small businesses to lease vacant commercial properties by lowering the capital outlay required for tenant improvements and/or impact fees” (City of Emeryville, 2017, p. 4). The program first began in 1997 but was discontinued in 2012 as a result of the statewide dissolution of RDAs. After identifying funding and community support for the program, it was revised and re-launched in 2017. This program was loosely modeled after a prior façade grant program provided by the City of Emeryville and new provisions were provided from the city’s ED Advisory Commission to the City Council. Emeryville defines success for this program based on the completion of the project as proposed. All seven businesses that successfully participated in the program are still in business and operate in Emeryville.

Fairfield

The Façade, Outdoor Seating, and Signage Improvement Program encourages property owners to make improvements to their building’s façade in the downtown corridor. Fairfield defines success for this program based on the number of completed projects and the overall change in the building’s appearance. All seven businesses that successfully participated in the program are still in business and operate in Fairfield.

Oakley

The Downtown Revitalization Loan Program began as the city experienced more growth. The purpose of this program is to enhance the physical appearance and economic vitality of the commercial buildings and businesses in the downtown corridor and maintain the small-town character (City of Oakley, 2014). Oakley defines success for this program based on whether a new tenant in the downtown corridor is housed in a building that has been upgraded. One of the businesses that participated in the program opened a new restaurant in Oakley that has become very successful.

Pleasant Hill

The Commercial Façade Improvement Grant and Loan Program began as an outcome of a previous commercial opportunity study that the city conducted to pinpoint areas to improve. The program offers grants and loans by combining public funds and private investments to improve the physical appearance of commercial properties in the city (City of Pleasant Hill, 2019). The program first began in 2012, but did not operate for a period of twelve to eighteen months due to lack of interest. During that time, the program transitioned from a loan program to a grant program. Pleasant Hill defines success for this program based on the number of grants issued. All eight businesses that successfully participated in the program are still in business and operate in Pleasant Hill.

San Francisco

SF Shines began in an effort to improve the business corridors in the city. The Office of Economic and Workforce Development (OEWD) “Provides grants, design assistance, and project management through the SF Shines program to improve storefront façades and business interiors”

(SF Shines, n.d.). The purpose of the program is to assist with storefront façade upgrades and improve the neighborhood commercial corridor. San Francisco does not operate a separate TIP, but SF shines is both storefront design and tenant improvement. San Francisco defines success for this program based on the results of a consultant report, post-project survey, testimonials, and applicant interviews.

San Leandro

The Business Incentive Program continues the efforts of the former RDA to support business vitality in San Leandro. The purpose of the program is to improve the aesthetics of business façades, increase foot traffic, attract new customers, conform with surrounding business aesthetics, and remain commercially competitive. San Leandro defines success for this program based on whether the business still operates in the city and maintains the improvements.

Sebastopol

The Façade Improvement Program was requested by the Sebastopol Chamber of Commerce and encourages the “Rehabilitation of commercial business fronts in designated target areas” (City of Sebastopol, 2020, p. 5). The purpose of this program is to provide an incentive to property owners and/or tenants to enhance the physical appearance of buildings and landscapes (City of Sebastopol, 2020, p. 2). Sebastopol does not track the total number of businesses that have participated in the program, but they typically accept two to three applications each year. The program has been operating for about fifteen years, so it can be estimated that between thirty and forty-five projects have been completed. As seen in Table 3, Sebastopol has a considerably smaller project length than the other municipalities. The reason their projects takes such a short amount of time is because the planning department is required to act on it within ten days. Staff noted

that “As long as the application is complete (everything in the application is filled out and provided) and we are supportive of the improvement(s), we will issue an approval in ten days” (A. Montes, personal communication, August 4, 2020). Sebastopol defines success for this program based on participation in the program.

Budget and Funds

Table 4: Budget and Funds

			Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Budget and Funds (FY 19-20)	Budget	FIP	\$175,000	\$70,000	\$200,000	\$150,000	\$150,000	\$130,000	\$930,000	\$175,000	\$25,000
		Department	\$8,305,998	\$2,539,999	\$6,887,900	\$13,468,223	\$262,909	\$407,333	\$84,731,821	\$7,705,396	\$588,250
		% Department	2.11%	2.76%	2.90%	1.11%	57.05%	31.91%	1.10%	2.27%	4.25%
		Maximum Grant Value	\$15,000	\$70,000	\$75,000	\$20,000	\$75,000	N/A	\$25,000	\$49,000	\$2,500
	Grant Type	Loan					✓	✓		✓	
		Reimbursed	✓	✓		✓			✓	✓	✓
		Matching Rate	✓	✓	✓	✓		✓		✓	✓

Source: (City and County of San Francisco, 2019; City of Alameda, 2019a; City of Alameda, 2019b; City of Dublin, n.d.; City of Dublin, 2018; City of Emeryville, 2017; City of Emeryville, 2019; City of Fairfield, n.d.; City of Fairfield, 2019; City of Oakley, 2014; City of Oakley, 2019; City of Pleasant Hill, 2018; City of Pleasant Hill, 2019; City of San Leandro, n.d.; City of San Leandro, 2020; City of Sebastopol, 2019; City of Sebastopol, 2020; D. Bender, personal communication, September 16, 2020; Office of Economic and Workforce Development, n.d.)

^a Pleasant Hill does not have a maximum grant value.

Table 4 contains answers from questions 10, 11, 12, 34, and 35 of the questionnaire and consists of the budgetary information for each FIP. Unfortunately, question 36 had to be excluded from the findings because most of the municipalities that were surveyed do not track this information. Additionally, questions 22 and 33 were excluded because the responses were repetitive of questions 34 and 35. A description of the funding process can be found in the application packet and program guidelines for each municipality in Appendix E.

Application Information

Table 5: Application Information

			Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Application Information	Window	Rotation									
		Year-round	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Eligibility	Business License				✓					✓
		Business Type	✓		✓	✓				✓	
		Lease Term				✓	✓		✓	✓	
		Location	✓	✓	✓	✓	✓	✓	✓	✓	✓
		Prior Grants	✓	✓	✓						✓
		Property Type	✓	✓		✓			✓	✓	✓
		Application Fees						✓			
	Application Materials	Business Assessment					✓	✓	✓		
		Color/Material Sample	✓								✓
		Construction Bids			✓	✓				✓	✓
		Design Plans	✓			✓		✓	✓	✓	✓
		Source of Funds		✓		✓					
		Owner Approval	✓	✓	✓	✓	✓	✓	✓	✓	✓
		Permits/Insurance			✓		✓	✓	✓	✓	✓
		Photographs			✓	✓		✓			
		Scope of Work	✓	✓	✓	✓	✓	✓	✓	✓	✓

Source: (City of Alameda, 2019b; City of Dublin, n.d.; City of Emeryville, 2017; City of Fairfield, n.d.; City of Oakley, 2014; City of Pleasant Hill, 2019; City of San Leandro, n.d.; City of Sebastopol, 2020; Office of Economic and Workforce Development, n.d.)

^a Window indicates when applicants are eligible to apply to the program.

^b Eligibility indicates the minimum standards the applicant must meet before they are eligible to submit an application.

^c Application Materials indicates what the applicant is required to submit, show proof of, and document in the application.

Table 5 contains answers from questions 14 and 23 of the questionnaire and consists of the application information for each FIP. Question 27 asks for a description of the grant process which cannot be quantified into Table 5, but can be found in the application packet and program guidelines for each municipality in Appendix E. The eligibility conditions are explained below for each program.

Alameda

In order to be eligible for the Façade Grant Program, commercial buildings or properties must be retail, restaurant, theater, or service businesses or located in a Gateway into the City, a Historic Station Area, the Webster Street Business District, the Downtown Alameda Business District, or the Naval Air Station Historic District. Additionally, the applicant must have not received a grant from the program in the last five years. Finally, shopping centers and business parks are ineligible to be funded by the program (City of Alameda, 2019b).

Dublin

In order to be eligible for the Commercial Façade Improvement Grant Program, applicants must be located in the Downtown Dublin Specific Plan area or on a segment of Dublin Boulevard between Village Parkway and Dougherty Road. Additionally, the applicant must have not received a grant from the program in the last ten years and the building must be commercial (City of Dublin, n.d.).

Emeryville

In order to be eligible for the Façade Improvement Grant Program, buildings must be located on San Pablo Avenue, Park Avenue, or Adeline Street, and have not received a grant from the program in the last seven years. Additionally, businesses such as gun stores, pawn shops, check

cashing businesses, liquor stores, Adult Oriented Businesses, cigarette stores, video game, and gambling establishments are ineligible to be funded by the program (City of Emeryville, 2017).

Fairfield

In order to be eligible for the Façade, Outdoor Seating, and Signage Improvement Program, applicants must show proof of their business license, have two years left on their lease, be located within the Heart of Fairfield Plan Area, and the building must be commercial. Additionally, restaurants and retail businesses are given preference in the application process (City of Fairfield, n.d.).

Oakley

In order to be eligible for the Downtown Revitalization Loan Program, applicants must have ten years left on their lease and be located in the Oakley Downtown Specific Plan Project Area (City of Oakley, 2014).

Pleasant Hill

In order to be eligible for the Commercial Façade Improvement Grant and Loan Program, Phase I applicants must be located in the Pleasant Hill Square Shopping Center, Deb's Flower Mart, A-1 Smog Repair Building, College Park Center, or the Grayson Plaza. Phase II applicants must be located in a commercially zoned area in Pleasant Hill (City of Pleasant Hill, 2019).

San Francisco

In order to be eligible for SF Shines, applicants must have three years left on their lease, be located in the Bayview, Calle 24, Central Market/Tenderloin, Chinatown, Excelsior, Fillmore, or Outer Sunset corridors, and "Properties must be commercial and/or mixed use buildings with first floor retail storefronts" (Office of Economic and Workforce Development, n.d.; SF Shines, n.d., p. 1).

San Leandro

In order to be eligible for the Business Incentive Program, applicants must have five years left on their lease and the building must be highly visible. Additionally, businesses must be innovative in some way and the proposed improvements should high-quality and representative of a sign of positive change (City of San Leandro, n.d.).

Sebastopol

In order to be eligible for the Façade Improvement Program, applicants must show proof of their business license, be located within Sebastopol in a commercial or industrial zone, have not received a grant from the program, and the building must be improved for commercial or industrial use (City of Sebastopol, 2020).

Improvements

Table 6: Improvements

		Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Improvements	ADA						✓	✓		
	Architecture							✓		
	Awnings	✓	✓	✓	✓		✓	✓	✓	✓
	Clutter Removal		✓				✓			
	Dining/Seating	✓	✓		✓					
	Doors	✓	✓	✓			✓	✓	✓	
	Exterior Siding		✓						✓	
	Gates			✓						
	Historic Façade Restoration	✓						✓		
	Interior			✓		✓		✓	✓	
	Landscaping		✓	✓	✓	✓	✓		✓	✓
	Lighting		✓	✓	✓	✓	✓	✓	✓	✓
	Mural Art				✓				✓	
	New Façade Materials				✓	✓			✓	✓
	Paint	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Parapet	✓		✓						
	Parking Lot									✓
	Permanent Utility Infrastructure								✓	
	Plastering			✓						
	Roof			✓	✓					
	Security							✓		
	Signage	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Solar Panels								✓	
	Title 24		✓							
	Trash Enclosures						✓			
	Windows	✓	✓	✓	✓		✓	✓	✓	✓

Source: (City of Alameda, 2019b; City of Dublin, n.d.; City of Emeryville, 2017; City of Fairfield, n.d.; City of Oakley, 2014; City of Pleasant Hill, 2019; City of San Leandro, n.d.; City of Sebastopol, 2020; Office of Economic and Workforce Development, n.d.)

Table 6 contains answers from questions 30, 31, and 32 of the questionnaire and details the variety of improvement options. Additionally, improvements are made by the applicant for all of the programs. In some cases, the applicant chooses contractors, designers, and architects, but in most instances the municipality provides a list of approved contractors for the applicant to choose from. Other interior improvements are listed below for each municipality.

Emeryville

The Façade Improvement Grant Program can cover high-visibility interior improvements such as dining room, lobbies, and sales floors (City of Emeryville, 2017).

Oakley

The Downtown Revitalization Loan Program can cover some interior improvements such as new restaurant equipment.

San Francisco

SF Shines can cover interior improvements such as space upgrades and design, interior construction, kitchen design, lighting, painting, flooring, installation of fixtures and fixed equipment, and ADA bathrooms. Complex interior improvements are discouraged because of the additional permitting hurdles. San Francisco does not operate a separate TIP, but SF shines is both storefront design and tenant improvement. However, there is an emphasis on façades rather than tenant improvements because the goal of the program is to be neighborhood and corridor facing and encourage other businesses to make exterior improvements. A TIP does not encourage improvements to other businesses because the improvements are not visible to the public right of way.

San Leandro

The Business Incentive Program can cover some interior improvements as long as they are permanent such as fiber-optic laterals, HVAC, and electrical.

Additional Information

Table 7: Additional Program Information

		Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Additional Information	Applicants	Business Applies	✓	✓	✓	✓		✓	✓	✓
		City Recruits			✓	✓	✓		✓	
	Location	Citywide	✓				✓	✓	✓	✓
		Downtown		✓	✓	✓				
		Other		✓				✓	✓	
	Business Type	Restaurant	✓	✓	✓	✓	✓	✓	✓	✓
		Non-profit	✓		✓	✓		✓	✓	✓
		Retail	✓	✓	✓	✓	✓	✓	✓	✓
		Service	✓		✓	✓		✓	✓	✓
	Marketing	Blog Post							✓	
		City Hall							✓	
		Local Partners	✓			✓		✓		
		Mailer	✓		✓	✓				
		Newsletter	✓							
		Phone Call					✓			
		Presentation	✓							
		Signage								✓
		Site Visits	✓			✓	✓			
		Social Media			✓				✓	
		Website	✓	✓	✓	✓	✓	✓	✓	✓

Source: (City of Alameda, 2019b; City of Dublin, n.d.; City of Emeryville, 2017; City of Fairfield, n.d.; City of Oakley, 2014; City of Pleasant Hill, 2019; City of San Leandro, n.d.; City of Sebastopol, 2020; Office of Economic and Workforce Development, n.d.)

Table 7 contains answers from questions 18, 19, 20, and 21 of the questionnaire and consists of additional information for each FIP which includes the program recruitment process, the location of businesses that participated in the FIP, the types of businesses served by the FIP, and marketing strategies. Additionally, supplemental information that was requested in questions 40, 43, and 45 is included in Appendix C, D, E, and F. Below, is a description of the other locations that some of the programs make improvements in.

Emeryville

The Façade Improvement Grant Program makes improvements to specific business districts and significant structures as defined by the city’s planning regulations (E. Theriault, personal communication, June 4, 2020).

San Francisco

SF Shines makes improvements to businesses throughout the city, but focuses on businesses located in the Bayview, Calle 24, Central Market/Tenderloin, Chinatown, Excelsior, Fillmore, or Outer Sunset corridors (SF Shines, n.d.).

San Leandro

The Business Incentive Program makes improvements to businesses throughout the city, but staff noted that they try to prioritize underserved areas (L. Halle, personal communication, March 10, 2020).

Main, Common, and Unique Features

Table 8: Main Program Features

			Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Table 3	Program Information	Start Date	2012	2011	1997	2018	2014	2012	2009	2013	2005
		Completed Projects	105	7	7	7	2	8	127	33	30-45
		Project Length	N/A	37 months	18 months	9 months	3 months	4 months	9 months	12 months	0.3 months
Table 4	Budget	FIP	\$175,000	\$70,000	\$200,000	\$150,000	\$150,000	\$130,000	\$930,000	\$175,000	\$25,000
		% Department	2.11%	2.76%	2.90%	1.11%	57.05%	31.91%	1.10%	2.27%	4.25%
		Maximum Grant Value	\$15,000	\$70,000	\$75,000	\$20,000	\$75,000	N/A	\$25,000	\$49,000	\$2,500
	Grant Type	Loan					✓	✓		✓	
		Reimbursed	✓	✓		✓			✓	✓	✓
		Matching Rate	✓	✓	✓	✓		✓		✓	✓
Table 5	Eligibility	Location	✓	✓	✓	✓	✓	✓	✓	✓	✓
		Prior Grants	✓	✓	✓						✓
		Property Type	✓	✓		✓			✓	✓	✓
	Application Materials	Design Plans	✓			✓		✓	✓	✓	✓
		Source of Funds		✓		✓					
		Scope of Work	✓	✓	✓	✓	✓	✓	✓	✓	✓
Table 6	Improvements	Awnings	✓	✓	✓	✓		✓	✓	✓	✓
		Doors	✓	✓	✓			✓	✓	✓	
		Interior			✓		✓		✓	✓	
		Landscaping		✓	✓	✓	✓	✓		✓	✓
		Lighting		✓	✓	✓	✓	✓	✓	✓	✓
		Paint	✓	✓	✓	✓	✓	✓	✓	✓	✓
		Signage	✓	✓	✓	✓	✓	✓	✓	✓	✓
		Windows	✓	✓	✓	✓		✓	✓	✓	✓

Table 8 is a consolidated version of tables 3 through 7 and includes a list of the main components, outlines the most common and stand out features across all of the programs, and provides a general overview of how FIPs operate in the SFBA. These features were selected because they represent the core components of the programs and provide a simple overview of how these programs function. Table 8 contains answers from questions 4, 10, 17, 23, 28, 30, 31, 34, and 35 of the questionnaire. More details regarding the common and unique features is explained in tables 9 and 10.

Table 9: Categorization of Program Features

	Common Features			Unique Features
	All	Majority	Some	
	All 9 programs exhibit this feature	Between 5 and 8 programs exhibit this feature	Between 3 and 4 programs exhibit this feature	
Table 3		ED Division, Started after 2011, Continuously Operating, Construction Deadline of less than 9 months, 1 staff manages program	CD Department	CMO, Planning Department, TIP, modeled
Table 4		FIP budget greater than \$150,000, 1-5% of Department budget, Grant value greater than \$25,000, Reimbursed, Matching Rate	Loan	
Table 5	Year-round, Location, Owner Approval, Scope of Work	Property Type, Design Plans, Permits and Insurance	Business Type, Lease Term, Prior Grants, Business Assessment, Construction Bids, Photographs	Business License, Application Fees, Color and Material Sample, Source of funds
Table 6	Paint, Signage, Applicant makes improvements	Awnings, Doors, Landscaping, Lighting, Windows	Dining/Seating, Interior, New Façade Materials	ADA, Architecture, Clutter Removal, Exterior Siding, Gates, Historic Façade Restoration, Mural Art, Parapet, Parking Lot, Permanent Utility Infrastructure, Plastering, Roof, Security, Solar Panels, Title 24, Trash Enclosures
Table 7	Restaurants, Retail, Website	Business applies to program on their own, City recruits applicants, Citywide, Non-profit, Service	Downtown corridors, Other location, Local Partners, Mailer, Site Visits	Blog Post, City Hall, Newsletter, Phone Call, Presentation, Signage, Social Media

Table 9 categorizes the common and unique features that are listed in tables 3 through 7. This breakdown clearly signals the division between the common and unique features and creates a better understanding of how similar the nine programs are to one another. A description of the common features is listed below. More information pertaining to the unique features is detailed under Table 10.

All

Despite quite a bit of variation between how the programs are managed, there are a few features that all programs exhibit. All nine programs allow applicants to apply to the program at any time of the year, ask for proof of location to be eligible to apply, require owner approval and a scope of work as part of the application materials, and offer paint and signage improvements. All improvements are made by the applicant, all programs have completed projects for restaurants and retail businesses, and all programs advertise on their city's public website.

Majority

While there are only a few features and practices exhibited by all nine programs, there are several features that are demonstrated by a majority of the programs. Table 3 indicates that most programs were established after 2011 (after the RDAs were dissolved) and have been continuously operating since they first began. They are managed by one full-time staff member in the ED division and have a construction deadline of less than nine months. Table 4 indicates that a majority of programs use between 1% and 5% of the department budget to fund the program, have a budget of greater than or equal to \$150,000, offer a maximum grant value greater than or equal to \$25,000, and use a combination of reimbursements and matching rates for grants. Table 5 indicates that a majority of programs ask for property type in order for applicants to be eligible

to apply and require design plans, permits, and proof of insurance as part of the application materials. As seen in Table 6, most programs offer improvements for awnings, doors, landscaping, lighting, and windows. Lastly, Table 7 indicates that while most programs have business and property owners directly apply, a majority of programs also recruit businesses. Almost all programs serve NPOs and service-oriented businesses and a majority of programs are open to businesses throughout the city.

Some

Finally, there are a few features and practices that are common among some of the programs. Some programs are managed under the CD department, provide loans to applicants, and offer improvements for dining and seating, new façade materials, and interior improvements. Additionally, some programs ask that applicants have not received a prior grant from the program, limit certain types of business, and require proof of their remaining lease term in order to be eligible to apply. Applicants must also submit construction bids, photographs, and undergo a business assessment during the application process. Lastly, some programs limit the applicants to certain types of businesses and restrict projects to the downtown corridor or another specific location in the city. As a result, staff conducts targeted marketing through local partners, mailers, and site visits.

Table 10: Categorization of Unique Features

	Alameda	Dublin	Emeryville	Fairfield	Oakley	Pleasant Hill	San Francisco	San Leandro	Sebastopol
Table 3		-CMO -Longest project length -TIP	-Oldest Program -Most staff -Modeled	-Newest Program		-CMO	-Most completed projects	-TIP	-Planning department -Shortest project length
Table 4			-Largest Grant Value		-Largest Grant Value -Largest % of department budget		-Largest FIP budget -Smallest % of department budget	-Offers all grant types	-Smallest FIP budget -Smallest Grant Value
Table 5	-Color and Material Sample	-Source of funds		-Business License -Source of funds		-Application Fees			-Business License -Color and Material Sample
Table 6	-Historic Façade Restoration -Parapet	-Clutter Removal -Exterior Siding -Title 24	-Gates -Parapet -Plastering -Roof	-Mural Art -Roof		-ADA -Clutter Removal -Trash Enclosures	-ADA -Architecture -Historic Façade Restoration -Security	-Exterior Siding -Mural Art -Permanent Utility Infrastructure -Solar Panels	-Parking Lot
Table 7	-Newsletter -Presentation			-Social Media		-Phone Call		-Blog Post -City Hall -Social Media	-Signage

The unique features are those that only one or two programs exhibit, set each program apart from one another, and display the variety of ways that a FIP can be administered. As seen in Table 10, each program exhibits at least one unique feature.

Alameda

The Façade Grant Program has funded 105 projects and has a maximum grant value of \$15,000. This program funds basic improvements which is why the grants are relatively small in comparison to the other programs. Most of the improvements that this program offers are also common among the other programs, but this program is one of two programs to offer historic façade restoration and parapet improvements. Additionally, Alameda has the most marketing and is the only program to use newsletters and presentations as part of its marketing strategy; all of which are factors that potentially contribute to the high volume of projects completed. This program strives to serve businesses and properties throughout Alameda, and this marketing strategy allows the program to have a large and diverse number of applicants that the committee can choose from. Lastly, Alameda is one of two programs that requires applicants to include color and material samples in the application.

Dublin

The Commercial Façade Improvement Grant Program is one of two programs to operate under the City Manager’s Office (CMO) and ED division and has the longest project length and construction deadline. Most of the improvements that Dublin offers are common among the other programs, but this program is the only one to offer Title 24 upgrades, is one of two programs to offer clutter removal and exterior siding, and is one of two cities to also operate a separate TIP. Additionally, Dublin is the most restrictive with the types of businesses that are eligible to participate; only restaurants and retail businesses located in the downtown corridor are eligible. As a

result, this program conducts the least amount of marketing and outreach. Marketing might also be limited because the wide variety of improvement options are an incentive for businesses to want to participate in the program. Lastly, Dublin is one of two programs that requires applicants to include the source of funds in their application materials.

Emeryville

The Façade Improvement Grant Program was established in 1997 and is the oldest program to operate in the SFBA. Emeryville has four full-time staff that manage the program which is the most of all the programs. Additionally, Emeryville offers the largest maximum grant value, along with Oakley, at a value of \$75,000. Most of the improvements that this program offers are common among the other cities, but Emeryville is the only municipality to offer gate and plastering improvements, and is one of two programs to offer parapet and roof improvements. This program is the only one that makes improvements in specific locations, so it emphasizes big changes rather than small modifications throughout the city.

Fairfield

The Façade, Outdoor Seating, and Signage Improvement Program was established in 2018 and is the newest program. Most of the improvements that Fairfield offers are also common among the other programs, but this program is one of two to offer mural art and roof improvements. Additionally, Fairfield is one of two programs that uses social media as part of its marketing strategy. Because this program is so new, social media could be a way to help the program get more established and recognized. Lastly, this program has the most eligibility requirements, and is one of two programs that requires applicants to show proof of their business license before they are eligible to apply. It is also one of two programs that requires applicants to include their source of funds in the application.

Oakley

The Downtown Revitalization Loan Program was established in 2014 and has funded two projects- the least among the nine programs. Each project only takes three months to complete, but in the six years that the program has been operating, only two businesses have been served. Staff noted in the questionnaire that only three businesses have applied because the program conducts limited marketing due to a limited budget. Contrary to that statement, Table 10 indicates that the program uses the largest funding percentage of the department budget and offers the largest maximum grant value, along with Emeryville. Despite the loan amount being very high, this program offers the least amount of improvement options and does not offer any unique improvements. Lastly, this program has the least amount of eligibility requirements, along with San Leandro.

Pleasant Hill

The Commercial Façade Improvement Grant and Loan Program is one of two programs to operate under the CMO and ED division. Most of the improvements that this program offers are common among the other programs, but this program is one of two programs to offer ADA, clutter removal, and trash enclosures. Pleasant Hill recruits applicants and is the only program that does not let business or property owners apply on their own. Because of this, the program conducts direct and targeted outreach and is the only program to use phone calls as part of their marketing strategy. Lastly, this program asks for the most amount of application materials and is one of two that requires applicants to submit an application fee.

San Francisco

SF Shines has funded 127 projects which is the most of all the programs. This program has the largest budget at \$930,000, but uses the smallest percentage of the department budget to fund the

program. Most of the improvements that this program offers are common among the other programs, but SF Shines is the only program that offers architecture and security upgrades and is one of two programs to offer ADA upgrades and historic façade restoration.

San Leandro

The Business Incentive Program has the most unique features of all the programs and is the only program to offer a loan, reimbursement, and matching rate for grants. Most of the improvements that San Leandro offers are also common among the other programs, but this program offers the most exterior and interior improvement options, is the only program to offer solar panels and permanent utility infrastructure, and is one of two programs to offer exterior siding, mural art, and operate a separate TIP. Additionally, the Business Incentive Program is one of two programs that uses social media and is the only program that uses a blog post and marketing at city hall as part of their outreach strategy. This program is open to all businesses in the city, so there is no targeted marketing. Lastly, this program has the fewest eligibility requirements, along with Oakley.

Sebastopol

The Façade Improvement Program is the only program that is managed by the planning department, and has the shortest project deadline of ten days. Along with the shortest deadline, this program also has the smallest budget and smallest maximum grant value. Each project only takes ten days because the “Program is really geared towards small improvements such as new paint, new awnings, signs, and fixing minor cosmetic damage” (A. Montes, personal communication, August 4, 2020). Sebastopol funds basic and common improvements, which is why the budget and grants are small in comparison to the other programs; but, this program is the only one to offer parking lot improvements. Additionally, this program conducts limited marketing, but is the

only program that requires businesses to put rebate display signs in their windows. The display sign indicates that the building received a grant from the Façade Improvement Program. Lastly, this program is one of two that requires applicants to show proof of their business license and include color and material samples with the application.

Program Goals

Table 11: Program Goals

City	Program Goals		Achieves Goal		
			Yes	Likely	Unsure
Alameda	Goal 1	Visually improve storefronts and streetscapes	✓		
	Goal 2	Enhance prominent business locations		✓	
	Goal 3	Fill a previously vacant storefront			✓
	Goal 4	Rehabilitate or replace historic features	✓		
Dublin	Goal 1	Improve the physical appearance of the area	✓		
	Goal 2	Encourage the retention of existing businesses, increasing property values, tenant stability, and lease rates for the property		✓	
	Goal 3	Fund improvements which create outdoor dining or gathering spaces to promote activity in the downtown	✓		
Emeryville	Goal 1	Improve the appearance of the City's neighborhood commercial areas by encouraging upgrade of dilapidated commercial buildings	✓		
	Goal 2	Encourage small businesses to lease vacant commercial properties by lowering the capital outlay required for tenant improvements and/or impact fees		✓	
Fairfield	Goal 1	Encourage owners to improve the exterior appearance of buildings, create new outdoor seating areas, and add or improve signage	✓		
	Goal 2	Enhance the appearance of the streetscape	✓		
	Goal 3	Revitalize and reenergize the business climate			✓
	Goal 4	Create a more attractive commercial environment in order to strengthen economic vitality		✓	
Oakley	Goal 1	Encourage the retention and attraction of businesses			✓
	Goal 2	Increase property values		✓	
	Goal 3	Increase tenant stability		✓	
	Goal 4	Increase pedestrian walkability			✓
	Goal 5	Create a stronger "sense of place"			✓
Pleasant Hill	Goal 1	Upgrade the commercial areas by improving both the physical appearance and economic vitality of the area		✓	

City	Program Goals		Achieves Goal		
			Yes	Likely	Unsure
San Francisco	Goal 1	Improve the City's business corridors	✓		
	Goal 2	Improve storefront façades and business interiors	✓		
San Leandro	Goal 1	Stimulate investment and improve the appearance of businesses in order to make commercial districts more attractive	✓		
Sebastopol	Goal 1	Provide an incentive to enhance the physical appearance of buildings and landscapes	✓		

Source: (City of Alameda, 2019b; City of Dublin, n.d.; City of Emeryville, 2017; City of Fairfield, n.d.; City of Oakley, 2014; City of Pleasant Hill, 2019; City of San Leandro, n.d.; City of Sebastopol, 2020; Office of Economic and Workforce Development, n.d.)

Table 11 lists the goals for each program and indicates whether the program achieved its goals based on the findings from the questionnaire. The goals of FIPs in the SFBA include improving the appearance of storefronts, filling vacant buildings, rehabilitating historical features, retaining and expanding existing businesses, and increasing property values, tenant stability, and lease rates for the property. These goals can result in creating a cohesive building aesthetic within a neighborhood, improving the business environment, assisting failing businesses, rebranding the city, and strengthening the local economy.

Alameda

The Façade Grant Program has four goals. This program achieves Goals 1 and 4 through the improvements they offer, which can be found in Table 6. The program likely achieves Goal 2 since the program has funded 105 projects throughout the city since 2016 and has offered improvements such as outdoor dining and seating, historic façade restoration, parapets, and signage. It is not known whether the program achieves Goal 3 because vacancy rates were not evaluated in this report.

Dublin

The Commercial Façade Improvement Grant Program has three goals. This program achieves Goals 1 and 3 through the improvements they offer, which can be found in Table 6. The program likely achieves Goal 2 because it also operates a separate TIP and offers the highest number of options for exterior and interior improvements among the nine programs.

Emeryville

The Façade Improvement Grant Program has two goals. This program achieves Goal 1 through the improvements they offer and especially with door, landscaping, plastering, and roof upgrades. The program likely achieves Goal 2 because preference is given to vacant buildings, but the guidelines and application only reference the funds associated with the Façade Improvement Grant Program and do not mention the capital outlay or impact fees (City of Emeryville, 2017).

Fairfield

The Façade, Outdoor Seating, and Signage Improvement Program has four goals. This program achieves Goals 1 and 2 through the improvements they offer, which can be found in Table 6, and through the marketing efforts, which are listed in table 7. The program likely achieves Goal 4 with improvements such as dining and seating, landscaping, mural art, new façade materials, and roof upgrades. It is not known whether the program achieves Goal 3 since it has only been operating for two years and is the newest program in the SFBA.

Oakley

The Downtown Revitalization Loan Program has five goals, which is the most of all the programs. This program likely achieves Goals 2 and 3 since the program has the largest maximum grant value compared to the rest of the programs. It is not known whether the program achieves

Goals 1, 4, and 5 since the program offers the fewest improvement options, does not offer any unique improvements, conducts limited marketing, and only two projects have been completed.

Pleasant Hill

The Commercial Façade Improvement Grant and Loan Program has one goal and likely achieves Goal 1 through the improvements they offer, which can be found in Table 6.

San Francisco

SF Shines has two goals and achieves Goals 1 and 2 since the program has funded 127 projects and offers a variety of improvements.

San Leandro

The Business Incentive Program has one goal and achieves Goal 1 because the program offers loans, reimbursements, and matching rates for grants, offers the most exterior improvement options, and makes improvements to all types of businesses throughout the city.

Sebastopol

The Façade Improvement Program has one goal and achieves Goal 1 through the improvements they offer, which can be found in Table 6.

ANALYSIS

In order to thoroughly analyze the FIPs that operate in the SFBA, a comparative benchmark analysis and impact evaluation was conducted. Tables 3 through 8 presented the common and unique practices among the nine programs and identified how FIPs in the SFBA are managed and operated. Tables 9 and 10, which categorized the features found in Tables 3 through 8 as either common or unique practices, are analyzed in the comparative benchmark analysis. Table 11, which listed the program goals, is analyzed in the impact evaluation.

Comparative Benchmark Analysis

Alameda County has the most programs, followed by Contra Costa County. A graphic representation and visual distribution of the location of the FIPs in the SFBA can be found in Appendix G. The smallest city to operate a FIP is Sebastopol and the largest city to operate a FIP is San Francisco. The population of cities that operate a FIP ranges in size from 7,774 to 881,549 with the median population at 64,826 (U.S. Census Bureau, 2020g; U.S. Census Bureau, 2020i). Seven of the nine cities that operate a FIP have a population of less than 100,000 (U.S. Census Bureau, 2020a; U.S. Census Bureau, 2020b; U.S. Census Bureau, 2020c; U.S. Census Bureau, 2020e; U.S. Census Bureau, 2020f; U.S. Census Bureau, 2020h; U.S. Census Bureau, 2020i). The oldest program is Emeryville's Façade Improvement Grant Program, which was established in 1997, and the newest program is Fairfield's Façade, Outdoor Seating, and Signage Improvement Program, which began in 2018. Collectively, FIPs in the SFBA have funded more than 300 projects since 1997, and offer more than twenty different types of exterior improvements and a variety of interior improvements.

Budgets for the programs range between \$25,000 and \$930,000, and maximum individual grant values range between \$2,500 and \$75,000. However, grant values are not correlated with

the size of the budget; a large FIP budget does not necessarily equate to a larger maximum grant value, and a small FIP budget does not necessarily equate to a smaller maximum grant value.

Marketing is limited for these programs due to staff time and budgets, but many programs are designed for specific businesses or locations within the city. Therefore, these programs do not need to implement complex marketing strategies and methods.

Common Practices

Despite quite a bit of variation among the programs in how they are administered, there are a few features that all programs exhibit. However, it is surprising that tables 3 and 4 do not contain more commonalities among the programs. While there are only a few features that all nine programs have in common, there are a lot of similarities among a majority of the programs. The application information and list of eligible improvements that are listed in Tables 5 and 6, respectively, have the most commonalities among a majority of the programs. Aside from the budgets and grants, the application process and improvements are the core of these programs, and it is reassuring to see that there are quite a number of similarities among those features. Overall, Table 9 indicates that the nine programs are more similar than different, yet they each retain a level of distinction.

Unique Features

There are many similar features and common practices among the nine cities, but it is important to recognize the unique features of each program. However, FIPs are unique to each city, and what works in one city might not be necessary to implement in another. But, if only one program has a certain feature, other programs should not be discouraged from adopting that feature simply because it is not common. If anything, the unique features can serve as a catalyst for expanding and improving a program.

Table 10 indicates that San Leandro's Business Incentive Program has the most unique features compared to the other eight programs. However, this does not equate to a more successful program. The purpose of this research project is not to label one program as demonstrating the best practices. Instead, the focus is on finding the common and unique practices among all the FIPs in the SFBA. Success is a subjective metric because what one program might excel at (e.g., number of projects completed, value of grants, marketing techniques, or variety of improvements offered), some programs might not need to adopt - or have not been operating long enough - to measure those outputs.

The findings revealed that a majority of improvements are unique to one or two of the programs, and most of the programs offer a unique improvement. While each program has unique features, the improvements truly set each program apart from one another. Maust (2013) and Turner-Lloveras (1997) studied historic façade restorations and noted that they are the foundation of FIPs in other cities, so it was surprising to see that only two programs offer these types of improvements.

Just like the improvements, a majority of the marketing and outreach efforts are unique to one or two programs. Targeted marketing like mailers, presentations, signage, and site visits require additional funds and staff hours. However, it was surprising to see that only two programs use social media to advertise their program. This could be because most municipalities use social media for public notices rather than targeted programs like a FIP.

Interpretation

Table 10 indicates that each program exhibits a unique feature, but Table 9 points out that overall, the nine programs in the SFBA are more similar than different from one another. The list of

commonalities in Table 9 could be helpful to a city that wants to launch a FIP and needs a starting point, since they will be able to clearly see what features are the most and least popular.

Tables 3 through 7 also reveal that there is not a single program that is the oldest, has completed the most projects, has the largest budget, uses the greatest percentage of the department budget, has the largest maximum grant value, offers the most types of improvements, and also conducts the most marketing. If that were the case, then a traditional benchmark analysis would be conducted to compare eight programs against a single program demonstrating the best practices. Instead, tables 3 through 7 indicate that Emeryville has the oldest program, San Francisco completed the most projects, San Francisco has the largest FIP budget, Oakley uses the largest percentage of their department budget, Emeryville and Oakley provide the largest maximum grant value, San Leandro offers the most improvements, and Alameda conducts the most marketing. Since there is not a single program that exhibits all of those features, all nine programs are compared against one another to analyze and identify the trends of FIPs operating in the SFBA. This benchmark analysis is not meant to determine success metrics, but the impact evaluation will explain how each program achieved its program goals, listed in Table 11, and define and identify success among the programs.

Impact Evaluation

Table 11 listed the goals for each program and indicated whether each program achieved its intended goals. Some goals were difficult to assess based on the responses from the questionnaire and other publicly available data, so some goals are indicated as likely achieved or unsure.

Program Goals

Based on Table 11, it appears that San Francisco, San Leandro, and Sebastopol have been the most successful because their programs have achieved all of their intended goals. However, it is

difficult to compare the programs against one another because each program has a different set and number of goals. Each program has a component or feature that is successful at achieving its goals, but that does not mean that the program is the most successful in the SFBA. Additionally, some programs have been operating longer or have funded more projects than other programs, which provides an unfair comparative advantage.

Instead of focusing on each city, it is beneficial to examine the combined efforts of all of the programs. The evaluation of the program goals in Table 11 indicates that FIPs in the SFBA are very successful at visually improving, enhancing, and rehabilitating the physical appearance of buildings, façades, landscapes, corridors, storefronts, and streetscapes. Additionally, the customization, variety of improvement options, large volume of projects completed, and relatively low budgets of the FIPs are reasons why the nine programs have been able to achieve a majority of their goals. Collectively, the programs in the SFBA achieve 48% of their goals, and likely achieve 30% of their goals. Only 22% of the goals are not being achieved. However, the evaluation of the program goals is only based on the answers provided in the questionnaires. It is possible that the programs are achieving more goals than are identified in this report.

Problems, Challenges, and Limitations

As mentioned in the background, nearly 90% of municipalities in the SFBA do not operate a FIP. Some of the most common reasons include no blight/decay, purely residential city, shortage of funding, prevailing wage constraints, lack of council approval, or improvements are provided by another local agency. From phone and email communication between January and March of 2020, staff indicated that they would be interested in creating a FIP through their specific divisions, however, their city councils do not see it as a budget priority. A FIP can be classified as a

non-essential service, which is why many municipalities are unable to provide this program. Additionally, prevailing wages, as discussed in the literature review, are a major and common challenge, which is why some cities offer so few projects or issue grants that are low in value. When workers are paid prevailing wages, the construction costs increase notably.

There are a few limitations from the questionnaire that were identified. The first limitation is that data and findings are missing from Oakland and San José because staff did not submit a questionnaire. The findings from Oakland and San José would have provided a complete analysis, comparison, and evaluation of FIPs that currently operate in the SFBA. However, based on the comparative benchmark analysis, it can be assumed that Oakland and San José's programs demonstrate some or a majority of the common practices and features that were identified. Although the program goals were not presented and evaluated for Oakland and San José, it can also be assumed that the results of the impact evaluation would not have been significantly altered. Despite that, the unique features for Oakland and San José are missing. Furthermore, a link to Oakland's Façade and Tenant Improvement Program website is included in Appendix H. The website, program guidelines, and application packet detail information related to the program's purpose, grant funding process, eligibility conditions, application materials, improvement options, and before and after photos. However, information related to the program start date, whether the program has been continuously operating, whether the program was modeled, the number of staff managing the program, the program's budget, and the marketing strategy are not listed. Due to these circumstances, Oakland's program could not be included and analyzed in this report. Unfortunately, publicly available information related to San José's program could not be found.

Secondly, some quantitative outcomes of the FIPs (e.g., increase in revenue, increase in employees, increase in property values, and business expansion data) were unable to be obtained because staff do not track this information. These outcomes would have been helpful in identifying the success of each program in the impact evaluation.

Thirdly, the researcher did not compare building vacancy rates from before and after the program was launched. While the effect of the façade improvements on vacancy rates might not be causal, studies have mentioned the impact that a FIP can have on decreasing vacancy rates (Facca, 2013; Maust, 2013; Ryan et al., 2014). Additionally, this information would have assisted with the impact evaluation.

Lastly, the researcher did not ask staff how many grants are awarded at a time or how many buildings receive façade improvements at a time. If a few improvements are made at a single time, there could be a greater impact and statement in the community so residents and visitors notice the changes. However, there are some challenges to administering multiple projects at a time, such as prevailing wages, budget constraints, and administrative oversight. These are all reasons why staff can only manage one project at a time, especially if these projects encompass significant and complex requirements and improvements. But, if the changes are minimal, then it is easier for staff to administer multiple projects at a time.

Recommendation

Based on the findings and analysis of the nine programs in the SFBA, it is recommended that staff implement a follow-up survey and program evaluation for each project. The follow-up survey would be distributed every year to the businesses that received improvements and a grant from the FIP. The purpose of the survey would be to ask questions with measurable outcomes. Examples of questions are listed below:

- Has your businesses hired more employees?
- Has your business received an increase in sales?
- Have you made additional physical improvements to your business?
- Have patrons or customers noticed the improvements?
- Do you experience more foot traffic to your business?
- Did you notice that other neighboring businesses made changes to their storefronts?

Staff should also evaluate the program on a regular basis and perform an impact evaluation to determine whether the program continues to achieve its goals. The impact evaluation will allow staff to update, remove, or add goals that reflect the purpose and objective of the program, and ensure that the program can continue to succeed.

CONCLUSION

A FIP is a simple, yet effective way to stimulate ED, assist small businesses, and visually improve the storefronts of buildings. The findings and analysis revealed that FIPs in the SFBA offer a variety of features and are successful at achieving their intended goals. While there are several common practices among the nine programs, each program exhibits unique features. Additionally, the diversity among the cities that were included in this report suggests that a FIP can be catered to any type of city or town with commercial zones regardless of population, budget, and demographics. The findings are not meant to promote the best practices; they should be viewed as the common practices for FIPs in the SFBA that will be useful to other municipalities that are interested in launching a FIP. The comparison and analysis of FIPs throughout the SFBA will allow agencies that do not have a FIP to see what features of each program could work best in their cities.

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APPENDICES

Appendix A: FIP Inventory

City/Town	County	Current FIP	Pilot Program
City of Alameda	Alameda	✓	
City of Albany	Alameda		
City of Berkeley	Alameda		
City of Dublin	Alameda	✓	
City of Emeryville	Alameda	✓	
City of Fremont	Alameda		
City of Hayward	Alameda		
City of Livermore	Alameda		
City of Newark	Alameda		
City of Oakland	Alameda	✓	
City of Piedmont	Alameda		
City of Pleasanton	Alameda		
City of San Leandro	Alameda	✓	
City of Union City	Alameda		
City of Antioch	Contra Costa		
City of Brentwood	Contra Costa		
City of Clayton	Contra Costa		
City of Concord	Contra Costa		
Town of Danville	Contra Costa		
City of El Cerrito	Contra Costa		
City of Hercules	Contra Costa		
City of Lafayette	Contra Costa		

City/Town	County	Current FIP	Pilot Program
City of Martinez	Contra Costa		
Town of Moraga	Contra Costa		
City of Oakley	Contra Costa	✓	
City of Orinda	Contra Costa		
City of Pinole	Contra Costa		
City of Pittsburg	Contra Costa		✓
City of Pleasant Hill	Contra Costa	✓	
City of Richmond	Contra Costa		
City of San Pablo	Contra Costa		
City of San Ramon	Contra Costa		
City of Walnut Creek	Contra Costa		
City of Belvedere	Marin		
Town of Corte Madera	Marin		
Town of Fairfax	Marin		
City of Larkspur	Marin		
City of Mill Valley	Marin		
City of Novato	Marin		
Town of Ross	Marin		
Town of San Anselmo	Marin		
City of San Rafael	Marin		
City of Sausalito	Marin		
Town of Tiburon	Marin		
City of American Canyon	Napa		
City of Calistoga	Napa		

City/Town	County	Current FIP	Pilot Program
City of Napa	Napa		
City of St. Helena	Napa		
Town of Yountville	Napa		
City of San Francisco	San Francisco	✓	
Town of Atherton	San Mateo		
City of Belmont	San Mateo		
City of Brisbane	San Mateo		
City of Burlingame	San Mateo		✓
Town of Colma	San Mateo		
City of Daly City	San Mateo		
City of East Palo Alto	San Mateo		
City of Foster City	San Mateo		
City of Half Moon Bay	San Mateo		
Town of Hillsborough	San Mateo		
City of Menlo Park	San Mateo		
City of Millbrae	San Mateo		
City of Pacifica	San Mateo		
Town of Portola Valley	San Mateo		
City of Redwood City	San Mateo		
City of San Bruno	San Mateo		
City of San Carlos	San Mateo		
City of San Mateo	San Mateo		
City of South San Francisco	San Mateo		
Town of Woodside	San Mateo		

City/Town	County	Current FIP	Pilot Program
City of Campbell	Santa Clara		
City of Cupertino	Santa Clara		
City of Gilroy	Santa Clara		✓
City of Los Altos	Santa Clara		
Town of Los Altos Hills	Santa Clara		
Town of Los Gatos	Santa Clara		
City of Milpitas	Santa Clara		✓
City of Monte Sereno	Santa Clara		
City of Morgan Hill	Santa Clara		
City of Mountain View	Santa Clara		
City of Palo Alto	Santa Clara		
City of San José	Santa Clara	✓	
City of Santa Clara	Santa Clara		
City of Saratoga	Santa Clara		
City of Sunnyvale	Santa Clara		
City of Benicia	Solano		
City of Dixon	Solano		
City of Fairfield	Solano	✓	
City of Rio Vista	Solano		
City of Suisun City	Solano		
City of Vacaville	Solano		
City of Vallejo	Solano		
City of Cloverdale	Sonoma		
City of Cotati	Sonoma		

City/Town	County	Current FIP	Pilot Program
City of Healdsburg	Sonoma		
City of Petaluma	Sonoma		
City of Rohnert Park	Sonoma		
City of Santa Rosa	Sonoma		
City of Sebastopol	Sonoma	✓	
City of Sonoma	Sonoma		
Town of Windsor	Sonoma		

Appendix B: FIP Questionnaire

Questionnaire:

1. Please list the name of your city/town
2. What department/division oversees this program?
3. What is the name of your specific program?
4. When did the program begin?
5. Why did the program begin?
6. Has the program been continuously operating since it first began? If no, please explain when and why the program did not continuously operate.
7. What is the purpose of the program?
8. How many full-time staff currently operate and oversee the program?
9. Does your city/town also operate a tenant improvement program? Please explain.
10. What is the annual budget for the program? Please explain in detail what the budget covers.
11. What is the annual budget for your division/department?
12. What is the annual operating budget for your city/town?
13. How does your division deal with prevailing wage when operating this program? Has prevailing wage been an issue when administering the program?
14. Does the program operate year-round, on a rotating basis or on a different schedule?
Please explain when the application period is open each year.
15. How many small businesses were operating in the city/town before the program began?
16. How many small businesses are currently operating in the city/town?
17. How many businesses have successfully been served by the program since its inception?

18. What type(s) of businesses/buildings have been served by the program?
19. Is this program citywide, downtown specific or on a specific street? Please explain.
20. Do businesses apply to the program or do staff reach out to certain businesses? Please explain.
21. How are businesses made aware of the program (i.e. city website, letter, email, social media, newsletter, newspaper, phone call, staff visit the business or some other way)? Please explain.
22. How are businesses incentivized to participate in the program (i.e. money, supplies or something else)?
23. What are the requirements to be eligible for the program?
24. How many applications do you receive each year? How many total applications have you received since the program's inception?
25. How many applications are accepted each year? How many total applications have been accepted since the program's inception?
26. How many of the businesses that are accepted each year successfully participate in the program? (ex. 2 out of 3)
27. Please explain the grant process.
28. What is the average duration (days, weeks or months) of the Program from the day the application is received to the day that the physical improvements are completed?
29. On average, how many hours are dedicated to making the physical improvements to the business?

30. What improvements have been made to the businesses that participate in the program?
(i.e. awnings, paint, signage). Please list all improvements. Who determines what improvements are made?
31. Are interior improvements made to the business? If yes, please explain.
32. Who makes the improvements to the business?
33. Are businesses given an incentive to make the improvements? If yes, what is the value of the incentive?
34. Are businesses reimbursed by your division once the improvements have been completed? If yes, what is the value/percentage of the reimbursement?
35. Does your division have a matching rate for the improvements? If yes, what is the rate that your division matches the business?
36. What is the average cost for the improvements made to the business? Please specify how much is allocated for labor and how much is allocated for materials.
37. How does the city/town measure success for this program?
38. Was your program modeled after another city/town and/or agency? If so, please list the city/town and/or agency. Please explain why your program was modeled after those cities/agencies.
39. What is the status of businesses that have successfully participated in the program? (i.e. are they still operating in your city/town, have they attracted more customers, have their sales increased, have they hired more employees, have they added more locations or expanded their business in some way).

Supplemental Information:

40. Please attach any public links or documents related to the program (i.e. website, flyer, application, presentation, staff report, video).
41. Please attach a list of businesses and their business license number that have successfully participated in the program.
42. Please attach a copy of the applications for the businesses that have successfully participated in the program.
43. Please attach a blank copy of the application.
44. Please attach a copy of the annual report for the program.
45. Please attach (either in this document or in the email) as many before and after photos from your program as you would like to share. Please include the name of the business and the address.

Appendix C: FIP Websites

[City of Alameda](#)

[City of Dublin](#)

[City of Emeryville](#)

[City of San Francisco](#)

[City of San Leandro](#)

[City of Sebastopol](#)

Appendix D: Other FIP Information and Resources

[City of Fairfield](#)

[City of Pleasant Hill](#)

[City of San Francisco](#)

[City of San Leandro](#)

Appendix E: FIP Application Packet and Program Guidelines

CITY OF ALAMEDA

Façade Grant Program Application (FY 2019-20)

FAÇADE GRANT PROCESS: STEP BY STEP

Façade Grant Program Application

Fiscal Year 2019-20

City of Alameda

Community Development Department
Economic Development Division
950 West Mall Square, 2nd Floor
Alameda, CA 94501

Questions?

Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

1. Step One: Review Façade Grant Program Guidelines

The Façade Grant Program Guidelines provide an overview of the grant program, including eligibility, evaluation criteria, and other guidelines. This document can be found online at www.alamedaca.gov/business/façade-grant-program

2. Step Two: Meet with Economic Development Staff

Prior to formally submitting an application, an applicant must meet with a member of the Economic Development Division staff to discuss the project.

3. Step Three: Submit Completed Application

Applications must include all of the components listed in the **Application Checklist** on page 3 of this document. Submit completed applications to Amanda Gehrke, Community Development Division, 2nd Floor, 950 West Mall Square, Alameda, CA 94501. Application deadlines for the FY 2019-20 program are as follows:

- Thursday, September 26, 2019
- Thursday, November 21, 2019
- Thursday, February 27, 2020
- Thursday, April 30, 2020

Incomplete applications will not be accepted. The incomplete application must be completed and resubmitted the following application deadline. It is highly recommended that you work closely with Economic Development staff to ensure your application is complete before the deadline.

4. Step Four: Committee Review

A committee consisting of the representatives of the Downtown, West and Greater Alameda Business Associations, and city staff from Economic Development and Planning Divisions will review the application. The Committee may:

- Approve,
- Disapprove
- Approve with conditions. If approved with conditions, the Committee may request that the grantee make specific changes to the proposed improvements.

5. Step Five: Grant Awarded

An Award granting the funding, along with a final Scope of Work, is issued by the Economic Development Division. Once the grant is awarded, the façade grantee must sign an acceptance form agreeing to carry out the work as described in the final Scope of Work, and provide a W-9 form including the federal identification number or social security number(s) for the corporation, partnership or sole proprietorship.

Questions?

Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

Façade Grant Program Application (FY 2019-20)

6. **Step Six: Secure Planning and Building Permits**

All necessary planning, building, encroachment and other permits must be secured before construction is initiated. Permits can be obtained from the City of Alameda Permit Center, 2263 Santa Clara Ave, Room 190, Alameda, CA 94501. The permit counter is open Monday through Thursday, 7:30 AM - 3:30 PM. Last call for walk-in permit submittals is 3:00 p.m.

7. **Step Seven: Complete Work and Submit for Reimbursement**

Carry out the work set forth in the final Scope of Work and file for reimbursement at the conclusion of the project. Proof of payment, invoices and lien releases are required for reimbursement. All permits must have completed final inspections prior to reimbursement.

Questions?

Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

Façade Grant Program Application (FY 2019-20)

APPLICATION CHECKLIST

The application must include the following components.

☐ **Completed Project Information and Signature Page**

Must include property owner signature, if the applicant is not also the owner. A hard copy of all signatures is required. (Page 4 of this application)

☐ **Scope of Work**

A complete scope of work for the proposed improvements. The scope of work must include:

- o An itemized list of all proposed improvements
- o A description of all proposed improvements.
  - Must include colors and/or material choices.
- o Estimated cost for each proposed improvement.

Please use the Scope of Work template included on page 6 of this application. See page 7 for an example scope of work.

☐ **Vendor Estimate**

A written estimate from a vendor for the work to be completed. If the grantee plans to complete the work themselves, then a written estimate of material costs.

☐ **Graphic representation of proposed changes**

This should illustrate the proposed façade improvement. Acceptable formats include: conceptual sketch, schematic drawings, photo representation, and/or graphic mock-up.

☐ **Samples of proposed materials (if needed)**

This may include samples or photographs of materials or fixtures to be used in the façade improvements.

Submit completed applications to:

Amanda Gehrke
City of Alameda, Community Development Department, 2nd Floor
950 West Mall Square
Alameda, CA 94501

Questions?

Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

Façade Grant Program Application (FY 2019-20)

PROJECT INFORMATION AND SIGNATURE PAGE

Check One: ☐ Owner ☐ Tenant

Applicant Information

Name

Business Name

Mailing Address

City, State and Zip

Email

Business Phone

Mobile Phone

Applicant and Property Owner Signatures

Print Applicant Name Date

Applicant Signature Date

Grant Information

Grant Level (1, 2 or 3)

Grant Amount

Façade Grant Property Address

City, State and Zip

Print Property Owner Name Date
(if applicant is not also owner)

Property Owner Signature Date
(if applicant is not also owner)

Questions?
Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

Façade Grant Program Application (FY 2019-20)

SCOPE OF WORK TEMPLATE

Façade Grant Property Address:
Business or Property Owner Name:
Business Name (if applicable):

Improvement	Description	Estimated Cost
TOTAL		

Visit www.alamedaca.gov/business/façade-grant-program
to download an electronic version of this template

Questions?
Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

Façade Grant Program Application (FY 2019-20)

EXAMPLE SCOPE OF WORK

Façade Grant Property Address: 1234 Any Street, Alameda, CA
 Business or Property Owner Name: ABC Restaurant
 Business Name (if applicable): Jane Smith

Improvement	Description	Estimated Cost
Paint exterior of building	Body: 2 Coats Benjamin Moore Ultra Spec EXT Flat #447. Applied at a DFT of 1.5 mils. Color: Kingsport Gray HC-86 Trim: 2 coats Benjamin Moore Ultra Spec EXT Gloss #449. Applied at a DFT of 1.5 mils. Color: Big Bend Beige AC-37 Accent: Modern Masters Gold Rush ME 658	\$10,000
Replace fabric on existing awning	Sunbrella Marine Blue #4678	\$4,000
Blade Sign	Add new blade sign (<i>note - application should also include drawings showing design and placement of blade sign</i>)	\$500
Light fixtures	Add new exterior light fixtures (<i>note – application may also include photos of selected light fixtures, or those similar to what might be selected</i>)	\$1,500
TOTAL		\$16,000

Questions?

Contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov

CITY OF ALAMEDA

Façade Grant Program Guidelines (FY 2019-20)

The City of Alameda's (City) Façade Grant Program (Program) provides 50/50 matching grants to business and property owners for the completion of façade improvements on buildings in the City. This document contains information about grant amounts, eligibility, evaluation criteria, and other Program guidelines. Please contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov with any questions.

LEVELS OF FUNDING

The Program provides 50/50 matching grants. Three levels of grant funding are available:

- **Level One:** To be used for signage and awnings. The maximum grant amount is 50% of the grantee's cost up to \$5,000.
- **Level Two:** To be used for paint and signage that is historic, large-scale, neon or marquee style. The maximum grant amount is 50% of the grantee's cost up to \$10,000.
- **Level Three:** To be used for all Level One or Two improvements, plus the restoration/refurbishment of architectural elements such as transom windows, cornices, trim and other architectural details. The maximum grant amount is 50% of the grantee's cost up to \$15,000.

	Maximum Grant Amount	% of Total	Grantee must spend
Level One	\$5,000	50%	\$10,000
Level Two	\$10,000	50%	\$20,000
Level Three	\$15,000	50%	\$30,000

Grantees may request less than the maximum amount of the grant for any level

2019-20 SPECIAL PROMOTIONS:

Exterior Paint

For the remainder of the 2019-20 program only, exterior painting will be reimbursed at the 80/20 level (i.e. the City will grant up to 80% of the cost of the work, up to the maximum grant amount).

Restoration of Historic Facades

For the 2019-20 program only, restoration of historic facades will be reimbursed at the 80/20 level (i.e. the City will grant up to 80% of the cost of the work, up to the maximum grant amount).

Features of historic facades can include signs, doors, windows, and/or other architectural elements (transom windows, cornices, trim etc), as well as other features that contribute to the historic character of the building. The final determination of what qualifies as restoration of an historic feature will be determined on a case-by-case basis in conjunction with the City of Alameda Planning Department. Please contact Amanda Gehrke at 510-747-6896 or agehrke@alamedaca.gov to determine if your project qualifies for this promotion.

Note: the building must be on the City's Historic Study List, and/or built before 1942 to qualify for the 80/20 promotion.

ELIGIBILITY

Location, Business and Property Type: The following business/properties within the City locations described below are eligible to participate in the Program:

- Retail, restaurant, theater or service* businesses.
- Commercial properties that include retail, restaurant, theaters or service businesses.
- Other commercial businesses/property types (cultural, office, etc.) are considered on a case-by-case basis, so long as the business or property is located within one of the following City areas:
  - Webster Street Business District.
  - Downtown Alameda Business District.
  - An Historic Station area, including: Grand, Mastick, Bay, South High St., Chestnut, Morton, Versailles, Willow, Fifth Street, Caroline, High Street North and Stanton.
  - A Gateway into the City, including: Webster Tube, Park Street Bridge, Fruitvale Bridge, High Street Bridge and the Doolittle Drive entrance area. The business property must have a front or side façade that is visible from one of the above gateways.
  - Naval Air Station Historic District.

Shopping centers and business parks are not eligible to participate in the Program.

*Service businesses include, among others: personal and pet care services (barber shops, beauty salons, nail salons, pet grooming, etc.), repair services (auto, furniture, electronics, etc.), laundry and dry-cleaning services, caterers, hotels, and fitness centers.

Improvements: Improvements eligible to be made with Program funds must enhance or restore the physical condition or appearance of the building. Types of eligible improvements include, but are not limited to:

- Painting;
  - New, or refurbishment of existing, awnings;
  - New signs, and/or replacement, retrofit, or restoration of legacy signs;
  - Sign removal;
  - Constructed outdoor eating areas;
  - Window and/or door replacement;
  - Replacement or refurbishment of non-structural materials/features such as cornice bands, parapets and similar architectural features; and
  - Rehabilitation of historic features.
- Improvements must comply with:
- All City laws, including its building code, sign regulations and zoning ordinances.
  - For properties located in the Webster Street Business District, the Webster Street Design Guidelines <http://alamedaca.gov/community-development/planning/policies-regulations>.
  - City Design Review requirements.

Applications will not be accepted for improvements that have already been completed or commenced.

Applicant: A Program application may be submitted by an owner or tenant for an eligible project meeting the requirements described above. If the applicant is a tenant, the owner must also sign the Program application.

Tenants and owners may apply for separate grants for the same building and/or storefront.

Frequency: Tenants and owners are considered separately in connection with grant applications.

- Owners: Owners may eligible to apply for and receive one façade grant every five (5) years on any individual building.
- Tenants: Tenants may eligible to apply for and receive one façade grant every five (5) years on any individual storefront. A new tenant at a particular address may apply for a new façade grant, as long as the ownership of the business has changed.

APPLICATION PROCESS

- Program applications are available at (i) City Hall West, Community Development Division, 950 West Mall, Room 205 Alameda, CA 94501, (ii) the business offices of West Alameda Business Association and Downtown Alameda Business Association, and (iii) online at <http://alamedaca.gov/business/facade-grant-program>.
- See the Program application for a step-by-step summary of the application process including a detailed checklist of required materials.
- Prior to formally submitting an application, an applicant should meet with Economic Development staff to discuss the project.

REVIEW PROCESS

Application Deadlines: There are two application deadlines for the FY 2019-2020 Program remaining:

- Thursday, February 27, 2020
- Thursday, April 30, 2020

- Expedited application review may be available for time-sensitive projects. Contact Economic Development staff for more information on expedited review.

Façade Grant Committee Review: A committee consisting of the representatives of the Downtown, West and Greater Alameda Business Associations, and City staff from the Economic Development and Planning Departments will review the application.

In response to the application, the committee may:

- Approve,
- Disapprove
- Approve with conditions. If approved with conditions, the committee may request that the grantee make specific changes to the proposed improvements.

Evaluation Criteria: Program applications will be reviewed and evaluated based on the criteria listed below. Proposed improvements that meet the below criteria will be most competitive for grant funding.

- Visually improves storefronts and streetscapes;
- Enhances prominent business locations;
- Fills a previously vacant storefront; and
- Rehabilitates or replaces historic features.

NOTIFICATION AND NEXT STEPS

Notification: After the committee review is completed, Program applicants will be notified via email of the committee's decision. If an address has been provided by the applicant, the committed decision will also be mailed.

Documents: Applicants awarded a Program grant will receive the following documents as part of the notification process:

- **Final Scope of Work:** A final Scope of Work (SOW) summarizing the approved improvements will be provided. If the application was approved with conditions, the SOW will reflect those conditions/changes. The final SOW will be attached to and made a part of the application.
- **Project Completion:** Grantee **must** complete the project in substantial conformance with the final SOW.
- **Project Changes:** Any changes made to the final SOW after the application is approved and the final SOW delivered must be reviewed and approved in writing by the committee (for example, changes to a paint or awning color, sign or architectural design, material choices, etc.). Any change to the final SOW not approved in advance and in writing by the Program committee will not be funded.

Required Forms: The grantee will be required to sign and deliver to Amanda Gehrke at City Hall West, 950 West Mall Square, Room 205 hard copies of the following within 3 weeks of the date the Program award is granted:

- Acceptance form which details the terms and conditions associated with the grant;
- W-9 form which enables the City to process and provide your grant funding; and
- A copy of a valid City Business License.

PERMITS AND DESIGN REVIEW

Permits: All necessary planning, building and other permits must be secured before construction may be commenced. Permits can be obtained from the City Permit Center, 2263 Santa Clara Ave, Room 190, Alameda, CA 94501. The permit counter is open Monday through Thursday, 7:30 a.m. to 3:30 p.m. Last call for walk-in permit submittals is 3:00 p.m.

Deadline to Complete Work: The Program work must be completed:

- For Levels One and Two grants, within **three (3) months** of the acceptance of the terms and conditions.
- For Level Three grants, within **six (6) months** of the acceptance of terms and conditions.

Reimbursement: After the proposed improvements are completed and final permits have been issued (if applicable), the grantee must submit the following to Amanda Gehrke at City Hall West, 950 West Mall Square, Room 205 to receive reimbursement:

- Invoice(s) for work completed;
- Proof of payment for all work; and
-

It is also recommended (but not required), that grantee obtain signed lien releases, in a form compliant with law.

Conditions to Reimbursement:

- New businesses **must be open** and **final permits must be issued** before reimbursement with Program funds.
- Grants are processed in the normal City accounts payable cycle of net 30 days.
- Grantee must have all City permits and fee obligations paid prior to reimbursement with Program funds.

GENERAL

- Contracts for improvements must be between the façade grantee and the contractor.
- The Program is subject to all applicable conflict of interest rules and regulations.
- The Program and the funding of any grants are subject to and conditioned on approval of the funding by the City Council for each fiscal year.

CITY OF DUBLIN

COMMERCIAL FAÇADE IMPROVEMENT GRANT PROGRAM GUIDELINES

I. PROGRAM OVERVIEW

The Commercial Façade Improvement Grant Program ("Program") is an endeavor of the City of Dublin to leverage public funds and private investment to enhance the physical appearance and economic vitality of commercial businesses in the Downtown Dublin Specific Plan Area and the segment of Dublin Boulevard between Village Parkway and Dougherty Road.

The Program offers two types of façade improvement grants, as well as up to a maximum of ten hours of architectural fees or five hours of design assistance to help cover design costs. The Program runs concurrent to the City's fiscal year schedule (July 1 – June 30). The Program features open enrollment; applications shall be considered on a first-come, first-served basis.

The long-term objective is to upgrade the Downtown Dublin Specific Plan Area and the segment of Dublin Boulevard between Village Parkway and Dougherty Road by improving the physical appearance of the area, encouraging the retention of existing businesses, increasing property values, tenant stability, and lease rates for the property. The program also seeks to fund improvements which create outdoor dining or gathering spaces to promote activity in the downtown.

II. PROGRAM COMPONENTS

A. Architectural Design or Design Assistance

The City will provide architectural design services to approved applicants, up to a maximum of ten hours, for exterior commercial building façade improvements. The City will also reimburse applicants for the services of a professional designer (for paint/signage/awnings selection) for up to five hours.

B. Façade Improvement Grants

- i. Mini-Grant – This grant provides for reimbursement of up to Five Thousand dollars (\$5,000) for commercial building façade improvements with no match requirement. Projects must be completed within 12 months of grant approval or Building Permit issuance.
- ii. Matching Grant – This grant will provide a reimbursable matching grant of two-thirds (66%) of eligible project costs, up to a maximum of Seventy Thousand dollars (\$70,000). The total cost of the improvement work must be more than Five Thousand dollars (\$5,000). Receipt of a matching grant requires the approved applicant to contribute a minimum of one-third of the total cost of the façade improvement costs. Projects must be completed within 18 months of Building Permit issuance.

Grant proceeds are to be used for labor and materials directly related to the façade construction. Tools may not be purchased with grant funds, but tool rental is allowable. Program funds are to be used for exterior building improvements rather than simple routine maintenance.

All improvements completed through the Façade Improvement Program are "public work" as that term is used in Section 1720 of the California Labor Code. In accordance with Labor Code section 1720 et seq., prevailing wages shall be paid for all façade improvements. Use of volunteer labor is not allowed. All estimates and payments for construction and installation of façade improvements shall include prevailing wages, and shall otherwise comply with the provisions of Sections 1773.8, 1775, 1776, 1777.5, 1777.6 and 1813 of the California Labor Code and all other applicable laws and regulations with respect to prevailing wages. Participants in the program are responsible for ensuring that the improvements are in compliance with the Prevailing Wage Law.

Disbursement of grant proceeds to approved applicants will be in a reimbursement payment issued after City deems the project complete, and upon the submission of invoices and proof of payment and subject to approval of those invoices and proofs of payment by City staff. Construction shall be completed within 120 days after the City issued Notice to Proceed. If the project extends beyond the scheduled completion date, prior staff approval is required.

This program is primarily geared toward commercial property owners. However, business owners who have long-term leases (five or more years) wishing to participate in the Façade Improvement Program may also apply. Applications for business owners will be reviewed on a case-by-case basis.

C. Fee Exemption

Applicants for this program are exempt from planning and building permit fees by the City Manager, who is authorized to waive City fees associated with this program. This fee exemption does not apply to fees mandated by the State of California including, but not limited to, the Strong Motion Instrument program fee and the California Green Building fees.

III. ELIGIBILITY

A. Eligible Applicants/Areas

Owners or long term tenants* of commercially zoned property located within one of the following areas are eligible to apply for assistance:

1. Downtown Dublin Specific Plan area, or
2. Segment of Dublin Boulevard between Village Pkwy and Dougherty Rd.

*Tenants with long-term leases (five or more years remaining on the lease at the time a Program application is submitted) must have the property owner's written consent before any improvements are made. In addition, the grant application must be signed by the property owner. Properties are eligible for grants once every 10 years.

B. Eligible Types of Improvements

All improvements shall conform to City Building Codes, Zoning Ordinance, and applicable Design Guidelines. Eligible improvements include, but are not limited to:

- Removal of old signs, awnings and other exterior clutter
- Exterior painting

- Repair or replacement of exterior siding (including the construction of new façade elements and architectural details)
- Installation of new entry doors that meet ADA accessibility requirements
- Installation of display windows
- Installation of new canvas awnings over windows and entries
- Installation of new signs
- Installation of new exterior lighting
- Installation of permanent landscaping
- Exterior mandatory Title 24 upgrades
- Construction of outdoor dining or gathering spaces

Additional improvements that are deemed to be consistent with the intent of the program will be reviewed and approved/disapproved on a case-by-case basis by the Economic Development Director.

IV. GRANT PROCESS

- Submit an application for grant funds. Submit a completed application detailing all exterior improvements and an itemized estimate of the total project cost. Be as specific as possible. The project list may contain improvements beyond what would be funded by the grant. Projects that include conceptual architectural plans shall be considered favorably. All proposed façade projects/remodels must be approved by the Community Development Director prior to being accepted into the program.
- Informational Meeting. Applicants will meet with representatives from Planning & Building to review the entitlement process & building permit process and to answer any questions that the businesses may have.
- City Staff will review grant applications. Staff will review the application with the business owner, discuss the scope of work, determine a timeline and review the remaining process for the grant.
- Council Economic Development Committee will consider request and select grant awardees. Selection preference will be provided to projects which create new outdoor dining and activity spaces.
- Grant funds reserved. Upon approval of a grant application, including scope of work and timeline, an agreement will be signed between the applicant and City.
- Planning Approval. If planning approval is required, the applicant is responsible for submitting project plans prepared by a licensed architect through the Planning Division.
- Building Permit Approval. If a Building Permit is required, the applicant is responsible for submitting plans that meet all Code requirements through the Building Division.
- Complete Work. After receiving all required approvals and permits the applicant shall complete the improvements within twelve (12) months for Mini-Grants and eighteen (18) months for Matching Grants. The applicant shall be responsible for contacting City staff to request an extension if necessary. An extension is not guaranteed.

- Submit invoices, receipts, and proof of payment. The applicant shall save all documentation as required and submit within 30 days of project completion or Building permit final.

V. FUNDING

Funding for this Program is appropriated by the Dublin City Council as part of its annual budget process. There is no guarantee of the amount of funds that will be appropriated each year. Funds for the Program are available on a first come, first served basis. If funds are exhausted at the time of application submittal, staff will retain the application. If additional funds become available, staff will contact applicants in the order applications were received.

A. Grant Amounts

Eligible property owners or tenants who propose façade improvements can apply for one of two grants.

- Mini-Grant**
This grant provides reimbursement for commercial building façade improvements to approved applicants in the amount of up to Five Thousand Dollars (\$5,000), with no match requirement.
- Matching Grant**
This grant provides reimbursement to approved applicants for a reimbursable matching grant of two-thirds (66%) of eligible project costs, up to a maximum of Seventy Thousand Dollars (\$70,000). The total cost of the façade remodel must be more than Five Thousand dollars (\$5,000). Receipt of a Matching Grant requires the applicant to contribute one-third of the total cost of the façade remodel, and to document its expenditures.

The City of Dublin reserves the right to cancel or modify this Program at any time prior to grant approval, without notice. Continuation of the Program is subject to sufficient funding as appropriated by the Dublin City Council.

VI. IMPLEMENTATION WORK

All improvements shall conform to the City of Dublin Building Codes, Zoning Ordinance, and applicable Design Guidelines. Proposed façade remodels are required to comply with Chapter 8.104 of the Site Development Review Chapter of the Zoning Ordinance. Project improvements commenced prior to the City's issuance of a Notice to Proceed are not eligible for this Program.

City staff will be available to work with approved applicants to assist in the coordination of the project. City staff will carry out periodic inspections.

I, _____ have read and received a copy of these guidelines.
Printed Name

_____
Date

_____
Signature

COMMERCIAL FAÇADE IMPROVEMENT GRANT PROGRAM APPLICATION

Please fill out this application completely and submit or send to:

City of Dublin
Attention: Economic Development Department
100 Civic Plaza
Dublin, CA 94568
(925) 833-6650

SECTION 1. APPLICANT INFORMATION

Name: _____

Circle All That Apply: Property Owner   Business Owner/Tenant

Business Name: _____

Property Address: _____

Mailing Address: _____

Assessor's Parcel Number: _____

Daytime Phone Number: _____

Email: _____

Total Number of Businesses in Building: _____

Name(s) of Other Businesses: _____

_____

SECTION 2. PROPERTY OWNER INFORMATION *(complete if tenant is applicant)*

Property Owner Name: _____

Property Owner Mailing Address: _____

Property Owner Daytime Phone Number: _____

As the legal owner of the above property, I hereby grant authorization to complete the façade improvements indicated on this application.

Signature: _____ Date: _____

SECTION 3. FUNDING

Grant (please check one):

- ☐ Mini-Grant *(Reimbursement in the amount up to \$5,000)*
- ☐ Matching Grant *(Reimbursement of two-thirds the total project cost up to \$70,000 with a minimum total project cost above \$5,000)*

Grant Amount Requested: \$ _____

Estimated Total Project Cost: \$ _____

SECTION 4. SCOPE OF WORK

General Description of Work:

_____

_____

_____

_____

_____

_____

SECTION 5. ACKNOWLEDGMENT

We certify that the owner is the property owner of record and that there are no current code enforcement actions pending against the property.

I have read and understand the Program Guidelines and accept them.

I certify that I am qualified and will abide by such conditions set forth in this application and all reasonable conditions which may be issued by the City of Dublin in the implementation of this project.

Property Owner(s) Signature: _____ Date: _____

_____ Date: _____

Business Owner(s) Signature: _____ Date: _____

_____ Date: _____

1755179.1

CITY OF EMERYVILLE

City of Emeryville

Façade Improvement
Grant Program

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Program Guidelines
Adopted May 2017

Introduction

The City of Emeryville has an extensive history of supporting small businesses through financial assistance for the rehabilitation and upgrade of commercial buildings.

In 1997, the City established the Façade Grant Improvement Program to provide financial grants to businesses for upgrading the exteriors of buildings located on San Pablo Avenue and Park Avenue. In 2002, the program was revised to increase the maximum grant size from 50% of improvement costs to 75% of improvement costs, with a maximum grant amount of \$75,000. In 2009 the program was expanded again, to allow all businesses within neighborhood business districts to participate, including portions of 65th Street, Adeline, Powell and Hollis.

The Façade Grant Program was well received and provided assistance to numerous small businesses over the years with nearly \$1 million in grants approved. However, the funding and administration of this program was provided by the Emeryville Redevelopment Agency. In 2012, the State of California dissolved all redevelopment agencies statewide, effectively ending the program.

Despite this, the City's commitment to supporting small businesses has remained, and the City's Economic Development Strategy for Fiscal Years 2014-2015 and 2015-2016 includes a Strategic Goal to "Support small and local businesses." Also, in January 2016 the City Council established its Priorities, Goals and Strategies for the period Fiscal Years 2016-2018. One of the Goals was to "Support and adopt policies to support worker owned businesses and small businesses."

On November 15, 2016 the City Council held a study session to discuss the establishment of a Business Tax Rebate Program. During this discussion it was noted that City staff had received several requests for façade improvement funds, and as a result the City Council directed staff to revive the Façade Improvement Grant Program.

On January 18, 2017 the Economic Development Advisory Committee (EDAC) reviewed draft guidelines based on the prior Façade Improvement Grant Program. It was noted that the funding environment had changed since the original program was active, and that the current funding environment and evolving business needs necessitated changes to the program. The EDAC established a subcommittee to provide recommendations on a Façade Improvement Grant Program and the subcommittee provided input to staff. The subcommittee's recommendations are included in the following Program Guidelines. The Program Guidelines outline the Façade Improvement Program, including the program objectives, eligibility criteria, maximum grant sizes, and application requirements and process.

Façade Improvement Program

Program Objectives

The Façade Improvement Program has two distinct but related objectives, as follows:

1. Improve the appearance of the City's neighborhood commercial areas by encouraging upgrade of dilapidated commercial buildings
2. Encourage small businesses to lease vacant commercial properties by lowering the capital outlay required for tenant improvements and/or impact fees (i.e. leveling the playing field for under-capitalized small businesses)

Eligible Businesses

All commercial building facades located on San Pablo Avenue, Park Avenue and Adeline Street; in areas designated as "Neighborhood Retail Overlay" and those buildings designated "Significant Structures" by the Emeryville Planning Regulations are eligible for Façade Grants. Please see Attachment A for a map showing eligible areas.

If the applicant business is a tenant, the building owner must also apply as co-applicant.

Applicants must have no active investigations pending for violations of City codes, including the Minimum Wage and Paid Sick Leave Ordinance, Fair Workweek Employment Standards Ordinance, or other City regulations.

New construction projects and buildings occupied by the following types of businesses are *ineligible* for funding: gun stores, pawn shops, check cashing businesses, liquor stores, Adult Oriented Businesses (as defined by Section 9-2.303 of the City Planning Regulations), cigarette stores, video game and gambling establishments.

Finally, businesses that have received a façade improvement grant within the past seven years from the application due date are not be eligible for funding

Eligible Improvements

Exterior improvements including painting, signs, doors, windows, awnings, exterior lighting, parapet improvements, plastering, landscaping, permanent outdoor patio areas *not* in the City's right of way, and design and permit fees for these types of improvements are eligible.

"High-visibility interior improvements", defined as improvements that are visible from the exterior of the building and/or are areas normally occupied by customers (i.e. dining room, lobbies, sales floors), design and permit fees for these types of improvements are also eligible.

Improvements must be of high quality and be designed by a licensed architect. Architectural design assistance may be available through the City. Improvements that were completed prior to execution of a Grant Contract are ineligible for funding.

Façade Grant Amount

Grants pay 75% of the total costs of eligible improvements, including soft costs, up to a maximum of \$75,000.

For example, assume the total cost of a façade improvement project is \$100,000, of which the materials cost is \$50,000 and the remaining \$50,000 is labor, design and permitting costs. For this project, the maximum grant amount is \$75,000 (75% of total \$100,000 cost), and the business pays \$25,000 of the project costs.

The number of grants approved per year is limited by the budget established by the City Council.

Program Requirements

Application Process

Annually, the City will establish a 30-day window for submittal of applications. Information regarding the program and application deadline will be posted on the City's website as well as mailed to every occupant and owner of property in the eligible areas.

If at the close of the application window the total amount of grant funds applied for exceeds the amount of program funds available, the applications will be scored and ranked as described below. The top ranking applications will be recommended for funding, up to the available amount of funds.

If the total amount of grant funds applied for is less than the amount of program funds available, all eligible applications will be recommended for funding, with any remaining funds available on a first come first served basis for the remainder of the fiscal year.

Scoring Criteria

Applications will be scored by a panel of City staff members and a member of the Economic Development Advisory Committee (EDAC) appointed by the EDAC. The panel will score the applications using the following guidelines:

Lease term: 5 points awarded to applications for improvements of owner-occupied buildings or with lease terms with 10 years remaining from the application deadline, 3.5 points for lease terms with between 5 and 10 years remaining, 2.5 points for lease terms with between 3 and 5 years remaining, 1 point for lease terms with between 1 and 3 years remaining, and .5 point for lease terms with less than 1 year remaining.

Length of time property has been vacant: 10 points awarded for applications for properties that have never been occupied *and* have been vacant for one year or more at the application deadline, 7 points for properties that were previously occupied but have been vacant for one year or more, 5 points for properties that have been vacant for up to one year, 1 point for a property that is currently occupied.

Existing condition of building: applications will be ranked against each other for relative condition of building, with 1 point awarded for the application for a property in the least need of an aesthetic upgrade (i.e. in the best condition), 2 points for the next-least needed, and so on for up to 5 points.

Greatest long term benefit: scoring criteria shall favor applications for improvements that include elements that will improve the overall condition of the property and can be used by other businesses in the future. Based on the percentage of improvements devoted to modifications that would provide long-term benefit, a proposal would be rated as follows: 75%-100% of improvements being non-individual business specific would be granted up 5 points; 25-74%= 3 points 1%-24% = 1 point.

Based on this rating system, a proposal for only a sign would be 0%.

The applications will then be ranked in order of total scores, with funding recommended for the highest scoring applications.

Application Requirements

All projects will require planning division permits, and may require building permits as well. Early consultation with the Planning and Building Division is recommended prior to submitting an application for funding. To ensure efficient use of program funds, applications must be submitted with at least two construction bids.

Façade Grant Contract

To be eligible for reimbursement, a Façade Grant Contract must be executed before work is begun. The Façade Grant Contract sets the terms and conditions of the grant funding.

The Façade Grant Contract describes the payment process, where grant funds are provided to the applicant on a reimbursement basis. First, applicants must approve the work and pay the contractor, then submit documentation of the applicant's approval and payment of the contractor to the City in a reimbursement request. The City then reviews the reimbursement request and reimburses the applicant.

All receipts must be submitted as well as proof of payment (i.e. cancelled checks) as part of the reimbursement request.

Other Requirements

Contractors must comply with the California Labor Code, including but not limited to requirements regarding hours of labor, nondiscrimination, payroll records, apprentices, worker's compensation and prevailing wages. Applicants must require its contractors to submit certified copies of payroll records to the applicant.

If a contractor is used, the applicant must provide a copy of the applicant's contract with each contractor performing grant-funded work. The contractor(s) must have a valid California Contractor's license.

Construction of grant funded improvements must be completed within 180 days of execution of the façade grant contract. A time extension may be possible with prior City approval.

The quality of work must meet design plans and specifications as approved by the Planning Division and EDH in order to be eligible for reimbursement.

Application Process

Attachment A – Eligible Areas by Geographic Location and Eligible Structures by “Significant” status

Attachment B - Façade Grant Program Application Form

APPLICANT INFORMATION

Applicant is: ☐ Owner ☐ Tenant Applicant

Name: _____ Relationship to Business: _____

Home Address: _____

Street _____ City _____ State _____ Zip _____

Phone Number _____ Email: _____

BUSINESS INFORMATION

Business Name: _____ Business License #: _____

Business Address: _____ Emeryville, CA 94608

BUILDING OWNER INFORMATION (note: if applicant is a tenant, building owner must apply as a co-applicant)

Building Owner Name: _____

Building Owner Address: _____

Street _____ City _____ State _____ Zip _____

Phone Number _____ Email: _____

FAÇADE IMPROVEMENT INFORMATION

Describe Proposed Façade Improvements (attach separate pages if necessary):

Cost of Façade Improvements: Design \$ _____ Permitting \$ _____ Construction \$ _____

Grant Amount Requested: \$ _____

Attach: ☐ plans/drawings ☐ Copy of current lease

[NEXT PAGE]

PROGRAM QUESTIONS

Please suggest any other incentives or assistance programs that the City could offer to help your business thrive:

I, (print building owner name) _____ Owner of the property located at (business address) _____, Emeryville, CA have reviewed and approved the proposed façade improvement requested for funding in this application, and am applying jointly with _____ (print applicant name) for the City of Emeryville Façade Improvement Grant Program. (Building Owner signature): _____

CITY OF EMERYVILLE

FAÇADE IMPROVEMENT GRANT PROGRAM CONTRACT

By this CONTRACT entered into this _____ day of _____, 201____ by and between the CITY OF EMERYVILLE (hereinafter called "CITY") and [BUSINESS NAME] (hereinafter called "APPLICANT"), the parties do mutually agree as follows:

WHEREAS, the City Council adopted the Emeryville General Plan (the "General Plan") on October 13, 2009; and

WHEREAS, the General Plan calls for the city to "...pursue retail uses that will serve the need of Emeryville residents, and encourage these uses to locate in the Neighborhood Centers" at Policy LU-P-28; and

WHEREAS, the General Plan also calls for “the development and retention of small business, start-up firms, partnership incentives and buildings that accommodate these businesses” at Policy LU-P-29; and

WHEREAS, in furtherance of General Plan Policies LU-P-28 and LU-P-29, the City desires to improve certain properties in the City to support business activity; and

WHEREAS, on [date], 2017 the City Council approved Resolution [reso_number] establishing the Façade Improvement Grant Program (the “Façade Program”); and

WHEREAS, the City administers the Facade Program, which provides matching assistance to property owners to renovate their commercial building facades within certain areas; and

WHEREAS, the City intends to use Economic Development funds to rebate costs of improvements to the owner of the property located at [property address] (["Business Name"]); Parcel Number [parcel number] (hereinafter called "Property"); and

WHEREAS, the Applicant has agreed to perform or cause the performance of the work to improve the facade of the above described Property; and

WHEREAS, the Applicant warrants it is the Owner of the Property and/or authorized to perform the proposed improvements, which are attached as Exhibit A to this Contract; and

WHEREAS, the Applicant has prepared and presented to City a project budget and warrants, to the best of his/her knowledge, that the total cost of the facade improvement is [total cost of project (\$numerically)] and has requested a façade grant of [grant request amount (\$numerically)] through the Façade Program and the City has consented to such a grant.

NOW, THEREFORE, the parties do mutually agree as follows:

I. Amount of Grant. The amount of money to be granted is not to exceed [AMOUNT OF GRANT (\$numerically)] ("GRANT"). The amount of grant is 75% of the total cost of the facade improvement,

including soft costs, up to a maximum dollar amount of [\$grant amount].

II. Payment Process.

1. Payment shall be made to APPLICANT by the CITY for seventy-five percent (75%) of the actual amount up to the GRANT amount, as work is completed, after the APPLICANT has provided the CITY with written proof of expenditure of the APPLICANT'S share of the project costs. Prior to the release of any disbursement, the CITY must receive from the APPLICANT copies of invoices and proof of payment for the amount to be reimbursed. Of the total GRANT amount, ten percent (10%) shall be withheld until the property is in compliance with relevant Emeryville Municipal Code provisions and other applicable laws and the improvements have been approved by CITY staff.
2. This CONTRACT shall not be construed or deemed to be a Contract for the benefit of any third party or parties, and no third party shall have any claim or right of action hereunder for any cause whatsoever.

III. Contract with Contractor. APPLICANT will provide CITY with a copy of APPLICANT'S contract with each Contractor performing work approved for this program. Contractor shall have a valid State of California Contractor's License. All work performed under this Contract will be carried out in a workmanlike and professional manner. Permits must be obtained from the City of Emeryville, including, but not limited to, the Building Department, Planning Department and/or Public Works Department for all work requiring permits.

IV. Labor Code/Prevailing Wage. APPLICANT acknowledges and agrees that the APPLICANT'S improvements to be constructed with the proceeds of the GRANT constitute construction, alteration, demolition, installation, or repair work done under contract and paid for in whole or in part out of public funds under California Labor Code Section 1720(b)(4) or 1720(b)(5). APPLICANT shall comply with all requirements of the Department of Industrial Relations in accordance with the California Labor Code, and all other applicable federal, state and local laws and regulations pertaining to labor standards and payment of prevailing wages (collectively, "Prevailing Wage Laws"). APPLICANT shall (i) require its contractors and subcontractors to submit certified copies of payroll records to APPLICANT; (ii) maintain complete copies of such certified payroll records; and (iii) make such records available to CITY and its designees for inspection and copying during regular business hours at 1333 Park Avenue, Emeryville, California, or at another location within Alameda County, as mutually agreed. The appropriate wage determinations can be obtained from the California Department of Industrial Relations (<http://www.dir.ca.gov/>).

APPLICANT shall defend, indemnify and hold harmless the CITY and its officers, employees, volunteers, agents and representatives from and against any and all present and future claims, arising out of or in any way connected with APPLICANT'S obligation to comply with all Prevailing Wage Laws, including all claims that may be made by contractors, subcontractors or other third party claimants pursuant to Labor Code Sections 1726 and 1781, as amended and added by Senate Bill 966. This obligation to indemnify the City of Emeryville and its officers, employees, volunteers, agents and representatives shall survive termination of this CONTRACT.

APPLICANT hereby waives, releases and discharges forever the CITY and its employees, officers, volunteers, agents and representatives, from any and all present and future claims arising out of or in any way connected with APPLICANT'S obligation to comply with all Prevailing Wage Laws in connection with the work of APPLICANT Improvements.

APPLICANT is aware of and familiar with the provisions of Section 1542 of the California Civil Code which provides as follows:

A general release does not extend to claims which the creditor does not know or suspect to exist in his favor at the time of executing the release, which if known by him must have materially affected his settlement with the debtor.

As such relates to this Section IV, APPLICANT hereby waives and relinquishes all rights and benefits which it may have under Section 1542 of the California Civil Code.

- V. Plans. Plans and Specifications are hereby incorporated into this CONTRACT as Exhibit A. Work eligible for the reimbursement is limited to the work described in Plans and Specifications which have been approved by CITY. APPLICANT agrees to notify CITY of any changes or revisions of the Plans and Specifications. Changes include but are not limited to changes in design, color(s), materials, and scope of work. The APPLICANT shall provide CITY with such notice immediately and shall allow CITY seven (7) working days to review such revisions. Within seven working days the CITY will notify the APPLICANT if the CITY accepts the proposed changes. Upon acceptance by all parties, such changes shall be approved in writing.
- VI. APPLICANT'S Failure to Comply with CONTRACT. The CONTRACT may be canceled or a breach may be found to exist if APPLICANT does not comply with the provisions of this CONTRACT, with all Emeryville Municipal Code provisions, or with the other applicable rules and regulations. CITY may withhold payment until compliance is obtained. In the event of a cancellation, the CITY shall not be responsible for any reimbursement or payment to APPLICANT, Contractor or Sub-Contractor.
- VII. Hold Harmless and Indemnification. APPLICANT shall take all responsibility for the work, and shall bear all losses and damages directly or indirectly resulting to him/her, to CITY and its officials, officers, agents, and employees, or to third parties resulting from the performance or character of the work described in this CONTRACT. APPLICANT shall assume the defense of and shall indemnify and hold harmless CITY and its officials, officers, employees, and agents from and against any or all loss, liability, expenses, claims, costs, suits, and damages of every kind, nature and description, including attorneys' fees and costs, directly or indirectly arising from the performance of the work. This obligation to indemnify the CITY and its officers, employees, volunteers, agents and representatives shall survive termination of this CONTRACT.
- VIII. Schedule. APPLICANT agrees to complete work described in attached Plans and Specifications within ONE HUNDRED EIGHTY (180) days from the effective date of this CONTRACT.
- IX. Nondiscrimination. There shall be no discrimination against or segregation of any person or group of persons on account of race, color, creed, religion, sex, marital status, national origin, ancestry or disability in the performance of this CONTRACT or use of the Property.
- X. Amendments. Any amendments to this CONTRACT shall be made in writing and signed by both parties to this CONTRACT.
- XI. Applicable Law and Attorney's Fees. If any action at law or in equity is brought to enforce or interpret the provisions of this CONTRACT, the rules, regulations, statutes and laws of the State of California will control. The prevailing party shall be entitled to reasonable attorney's fees in addition to any other relief to which said party may be entitled.
- XII. Severability. The caption or headnote on articles or sections of this CONTRACT are intended

for convenience and reference purposes only and in no way define, limit or describe the scope or intent thereof, or of this CONTRACT nor in any way affect this CONTRACT. Should any article(s) or section(s), or any part thereof, later be deemed unenforceable by a court of competent jurisdiction, the remainder of this CONTRACT shall remain in full force and effect to the extent possible.

- XIII. Communications Relating to Daily Activities. All communications relating to the day to day activities of the work shall be exchanged between Emi Theriault (510-596-4357) for the CITY and [Applicant name (phone number)] for the APPLICANT.

IN WITNESS WHEREOF the CITY and APPLICANT have executed this CONTRACT, which shall become effective as of the date the City Manager executes this CONTRACT on behalf of CITY.

APPROVED AS TO FORM:

CITY: By: Michael Guina, City Attorney
APPLICANT:

Carolyn Lehr, City Manager [Applicant name]

Date Title

Date

CITY OF FAIRFIELD

CITY OF FAIRFIELD

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Administrative Guidelines and Application

APPLICANT NAME: _____

PROJECT ADDRESS: _____

PROPOSED PROJECT (SELECT ONE): FAÇADE ☐ OUTDOOR SEATING ☐ SIGNAGE ☐

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Introduction

The Façade, Outdoor Seating, and Signage Improvement Program (the "Program") is, as its public purpose, intended to encourage business owners and/or commercial property owners to enhance the appearance of properties through improvements of the exterior facades of commercial buildings, the addition of outdoor seating, and/or the installation of non-temporary business building signage in commercial areas. Façade, outdoor seating, and signage improvements can have a significant impact on appearance, community pride, economic setting, and marketability of the properties and businesses located in the City of Fairfield's Heart of Fairfield Plan Area.

The Program will provide for City of Fairfield funding assistance of up to fifty percent (50%) of the overall cost of an improvement project. Funding assistance provided shall not exceed \$20,000 for building façade improvements, \$10,000 for the addition of outdoor seating improvements, and \$5,000 for non-temporary business building signage improvements. The Program shall be administered by the Community Development Department. The Director of Community Development will make the determination as to the eligibility of applicants and projects to participate in the Program based on qualifying and eligibility measures as outlined in these guidelines.

These guidelines and financial terms are in effect until June 30, 2019, or until such time as the Program funds are expended, whichever date occurs first. In the event that the Program funds have not been fully expended by June 30, 2019, the Director of Community Development shall have the option to extend the term of the Program for one (1) year increments until Program funds have been fully expended.

Program Elements

A. Goals and Objectives

1. To encourage business owners and/or commercial property owners to improve the exterior appearance of buildings, create new outdoor seating areas, and add or improve non-temporary business building signage within the Heart of Fairfield Plan area.
2. To enhance the appearance of the streetscape, revitalize and reenergize the business climate in the Heart of Fairfield Plan Area.
3. To create a more attractive commercial environment in order to strengthen economic vitality in the Heart of Fairfield Plan Area.

B. Eligibility Requirements

1. Applicant Eligibility

- i. Property owners and tenants of commercial buildings
- ii. All tenants must provide to the City written consent from the property owner where the proposed improvements are to occur.
- iii. Tenants must provide written evidence that they have a minimum two (2) years lease term remaining after the projected completion of improvements

- iv. Property owners who have completed eligible improvements after December 1, 2016 may qualify for assistance, subject to these guidelines.
  - v. Applicants must have a current Business License to conduct business at the address where improvements are to occur and must not be delinquent or past due on any Downtown Business Improvement District fees, where applicable, for the term of the Façade Easement.
  - vi. Property owners and tenants of legal non-conforming uses are not eligible for program funds.
2. Property Eligibility
- i. The property must have an address within the Heart of Fairfield Plan Area and downtown core (see attached map designating area of eligibility).
  - ii. Businesses such as casual dining restaurants and retail will be given preference in the application process to achieve the program's goals more efficiently.
3. Exclusions The following will not be included within this program:
- i. Improvements not visible from a public right of way or neighboring property.
  - ii. Interior improvements within a building.
  - iii. Structural improvements not related to exterior improvements, including seismic upgrades.
  - iv. Improvements necessitated by vandalism.
  - v. Any building used exclusively for residential or industrial occupancy.
  - vi. The use of materials and fixtures that are unreasonably opulent e.g. gold plating, as determined by the Director of Community Development.
- C. Eligible Improvements. Eligible applicants may only qualify for funding assistance for one (1) eligible improvement in each aforementioned category per one year term of the Program.
- 1. Building facades Eligible façade improvements must be integrated into a comprehensive architectural theme and may include, but are not limited to, such items as improvements to front entrances and storefronts; signage; display windows and glazing; painting/stucco; wood treatments; artistic murals; exterior lighting, awnings, and visible roof repairs.
  - 2. Outdoor Seating Eligible outdoor seating improvements must be consistent with the Program's set concepts (see attached concept drawing) and may include such items as fencing and dividers, seating and tables, moveable landscaping, canopies, lighting, and outdoor heaters.
  - 3. Signage Eligible signage improvements must be non-temporary building sign cabinets or fascia elements that are integrated into building facades.

All property improvements made under this program must be consistent with the City's Zoning Ordinance, General Plan, and the Heart of Fairfield Plan. As with any other project, the property improvements under this program must also adhere to all applicable building codes, sign ordinances, and development/design standards for the City of Fairfield. Any code violations must be corrected before funding is released. Should any code violations occur related to any improvements made using funding from this Program and remain uncured for a period of time as outlined in a code enforcement citation, the participant may be required to reimburse the City for any unamortized funding over a 5 year period from the date funding is released.

Program Requirements

- A. Funding Availability. Any and all funding assistance is strictly subject to availability of Program funds. All approved payments made by the City under the terms of the Program shall represent payments or reimbursements of a portion of the actual costs incurred by the applicant.

- 1. Building Façade Improvements The City of Fairfield will provide business owner or commercial property owner funding assistance of up to 50% of a project's total cost, not to exceed \$20,000 for improvements to the façade. The Director of Community Development may consider special circumstances for buildings with more than one prominent façade to provide assistance over and above the \$20,000 limit.
- 2. Outdoor Seating Improvements The City of Fairfield will provide business owners or commercial property owners funding of up to 50% of the total cost of new outdoor seating area improvements, not to exceed \$10,000.
- 3. Signage Improvements The City of Fairfield will provide the business owner funding of up to 50% of the total cost of the creation and/or installation of non-temporary business building signage, not to exceed \$5,000.

- B. Eligibility of Soft Costs

The "soft costs" eligible under this section include:

- 1. Architectural design review, plan check, boundary survey
- 2. Architect services to the property or business tenant; e.g. preparation of bids, preparation and filing of plans, construction monitoring, progress payments, lien releases, or change orders.
- 3. Costs of current title report for the property.
- 4. Such other costs, fees, and exterior improvements approved by the Director of Community Development, which are consistent with the objectives of the program.

- C. Prevailing Wages, Bids, Selection of Contractor

- 1. Under all program components, participants who apply for and are awarded at least \$1,000 of City funds are required to ensure that all workers employed pursuant to this program shall be paid not less than the applicable prevailing wage published for Solano County and otherwise comply with the provisions of the California Law and Labor Code with regard to the payment of prevailing wages. (Labor Code Section 1720 et. seq.)
- 2. Written evidence of no less than two (2) bids (including soft costs, if applicable) from contractors registered with the Department of Industrial Relations in accordance with Labor Code Section 1725.5 are to be submitted to the Community Development Department for review along with proof of registration.
- 3. For participants who apply and are awarded less than \$1,000 of City funds, written evidence of no less than two (2) bids (including soft costs, if applicable) from contractors are to be submitted to the Community Development Department for review.
- 4. Participants must select the lowest qualified bidder who meets the job requirements and is responsive to the written bid proposal, and inform the Director of Community Development or designee of their decision. (Because unforeseen contingencies commonly occur during rehabilitation, 10% should be added to the bid to provide for such if not already included.)

5. Participants must submit proof to the Director of Community Development or designee that the selected contractor (and his or her subcontractors) has the following:
    - i. A State of California Contractor's License.
    - ii. A City of Fairfield Business License.
    - iii. Worker's Compensation and Liability insurance to the satisfaction of the City Attorney of the City of Fairfield.
- D. Façade Improvement Assistance: Recordation of a Façade Easement
- In order to receive funding assistance for façade improvements, the property owner of the participating building must grant the City of Fairfield an easement over the building façade for a period of five years. Said easement shall include the following provisions:
1. The easement shall cover the façade of the building, including all improvements/installations funded by this Program.
  2. The building owner may request the City terminate and release the easement at any time, subject to payment of an early termination and release fee in an amount equal to the value of all funding assistance received for the improvements for which the easement was granted. Said value shall be discounted by 20% for each calendar year subsequent to the completion of the improvements, the disbursement of funds by the City, and recordation of the Façade Easement.
  3. The building owner shall be obligated to maintain the building in accordance with the maintenance provisions of the Façade Easement Agreement.
- E. Inspection, Release of Funding
1. Progress inspections by City staff may be conducted to ensure that the improvements are being constructed in accordance with the approved plans and the City's Codes.
  2. A final inspection by City staff shall be conducted to determine that the improvements have been completed in accordance with the plans, and with the City's Codes.
  3. Upon completion of the proposed improvements, the City will reimburse applicant for project related invoices (direct expenses) for up to the maximum amount allowed under these guidelines. Applicants shall be responsible for any and all costs, including soft costs in excess of the funding assistance received or the maximum amount allowed as stated above in the Program Policies Subsection A of these guidelines.

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Steps In Process

1. Step One: Application Submittal and Evaluation

Qualifying Applicants must submit a completed application with the required attachments to:

City of Fairfield
Attention: Economic Development Division
1000 Webster Street, 2nd Floor
Fairfield, CA 94533
OR
Send via email to: econdev@fairfield.ca.gov

Applications will be deemed complete if a submittal includes, but is not limited to, the following:

- A. Fully completed application form;
- B. Detailed description of the proposed improvements;
- C. Photographs of the current condition of the area where the improvements are to occur;
- D. Drawings or plans showing the proposed improvements;
- E. A minimum of two (2) bids, subject to the terms of the program, showing total cost for the proposed improvements;
- F. Description of the source of private investment to be used for all project costs that exceed the amount of funding assistance from this Program;
- G. Written consent from the building owner where the improvements are to occur (if applicable).

Applications are considered incomplete if all required documents are not included upon application submission. Incomplete applications are not eligible for grant funding.

Applications will be evaluated for eligibility and how effectively the proposed improvements fulfill the Program's purpose, including, but not limited to:

- A. Extent to which improvements will enhance a building façade or streetscape;
- B. Extent to which improvements will contribute to the revitalization and activation of the area immediately surrounding the building;
- C. Total amount of funding assistance requested relative to the type of proposed improvement(s);
- D. Visual prominence of the building and its location within the area of eligibility;
- E. Projected schedule to completion of proposed improvements.

2. Step Two: Conditional Notification of Approval or Notice of Denial

The City will notify applicants of conditional approval or denial of funding assistance by either mailed or emailed written correspondence.

3. Step Three: Notice of Approval and Notice to Proceed

The City will provide conditionally approved applicants a Notice to Proceed upon the satisfactory fulfillment of the provisions outlined in these guidelines.

A. Time Limit Requirements

- Bids must be obtained and a contractor selected within 60 days from the date the Notice to Proceed is issued.
- The following improvements must be completed within the corresponding days from the date the Notice to Proceed is issued:

Structural Façade Improvements	270 Days
Façade Painting Improvements	90 Days
Outdoor Seating Improvements	180 Days
Signage Improvements	180 Days

B. Time Extension Requests

- A request for a time extension must be made in writing to the Director of Community Development.
- The request must state in detail the reasons for the request.
- The request must be received by the Director of Community Development prior to the deadline for selection of a contractor and/or the deadline for the completion of the project, above.

Notwithstanding anything to the contrary contained herein, if any improvements are not completed within the number of days following issuance of the Notice to Proceed outlined in Step 3(A) above, and no time extensions have been granted, participation in this program may be canceled at the sole discretion of the City. In such event, the participant would be required to reimburse the City for the City's costs for services provided.

4. Step Four: Façade Easement

Prior to release of funding for building façade improvements, the building owner of the participating building must grant the City of Fairfield an easement over the building façade for a period of five years.

The easement shall be in the form determined by the City and shall use the documentation provided by the City.

5. Step Five: Permits

Applicant or his/her authorized agent shall obtain any and all applicable permits for proposed Façade, Outdoor Seating, and/or Signage improvements/installations prior to any work beginning.

6. Step Six: Inspection

City staff will visit participating building to verify proposed improvements were completed as approved and all provisions of these guidelines have been satisfied.

7. Step Seven: Release of Funding

Applicant shall submit invoices to City for costs associated with eligible improvements made. Upon final inspection of improvements by City staff, and verification that the provisions of these guidelines have been fully satisfied, the Director of Community Development may authorize the release of funding in the form of a check to Applicant. (Checks usually issued within three (3) weeks after invoice is received).

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Program Target Area

The program eligible boundaries mirror the boundaries of the Heart of Fairfield Plan which includes commercial properties roughly bounded by I-80 on the west, the Union Avenue on the east, Kentucky Street on the north, and Illinois Street on the south.

The Heart of Fairfield Plan Area encompasses two important neighborhoods in Fairfield: Downtown and West Texas Street. The Program Target Area map below further illustrates the general eligible area.

Contact Information

For additional information about this program or to schedule a meeting with City staff to discuss your project, please contact the Economic Development Division at: 707-428-7462 or email econdev@fairfield.ca.gov.

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Application Checklist

The application must include the following components:

- ☐ **Fully Completed Application Form**
  - o Must include property owner signature, if the applicant is not also the owner. A hard copy of all signatures is required.
- ☐ **Detailed Description of the Proposed Improvements**
  - o A complete scope of work for the proposed improvements. The scope of work must include: an itemized list of all proposed improvements, a description of all proposed improvements, must include colors and/or material choices, and an estimated cost for each proposed improvement
- ☐ **Graphic representation of proposed changes**
  - o This should illustrate the proposed façade improvement. Acceptable formats include: conceptual sketch, schematic drawings, photo representation, plans and/or graphic mock-up.
- ☐ **Written consent from the building owner where the improvements are to occur (if applicable)**
  - o If applicant is not the building owner, written consent from building owner must be provided
- ☐ **Photographs of the current condition of the area where the improvements are to occur**
  - o Close-up photographs of the storefront in its current condition, and another photo of the entire building façade including the adjacent building storefronts
- ☐ **A description of the source of private investment to be used for all project costs that exceed the amount of funding assistance from this program**
  - o For example, an applicant's cash on-hand and/or a bank loan
- ☐ **Written evidence that tenants have a minimum of two (2) years lease term remaining after the projected completion of improvements**
- ☐ **Minimum of two (2) bids showing total cost of proposed improvements**
  - o A written estimate from a minimum of 2 vendors for the work to be completed. If prevailing wages apply, proof of contractor's DIR registration as well. If the grantee plans to complete the work themselves, then a written estimate of material costs.

Submit completed applications with the required attachments to:

City of Fairfield
Attention: Economic Development Division
1000 Webster Street, 2nd Floor
Fairfield, CA 94533
Or

Send via email to: econdev@fairfield.ca.gov

For questions, please contact the Economic Development Division at:
707-428-7462 or email econdev@fairfield.ca.gov

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Project Information

Date Submitted: _____ Amount of City Grant Request: _____
Project Start Date: _____ Applicant's Funding Match: _____
Project Completion Date: _____ Total Estimated Project Cost: _____

Business Information	
Name of Applicant:	
Contact #:	Email:
Name of Business:	
Business Address:	
Mailing Address:	
Property APN:	
Length of Lease (if applicable):	
Property Owner Information	
Property Owner's Name:	
Property Owner Contact #:	Property Owner Email:
Property Owner Address:	
Detailed Project Description & Goal	
☐ Attach separate sheet if needed	
Proposed Project (select one): Façade ☐ Outdoor Seating ☐ Signage ☐	
What Is The Source of Private Match Funding?: Cash On-Hand _____ Financing _____	

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Signature Page

General Conditions: The Property Owner and Applicant, if different, agree and acknowledge the following terms and conditions in addition to those listed in the Program Requirements section of this application:

- **WAIVER.** The undersigned understand and agree that the City of Fairfield ("City") and its officers, agents and employees shall have no responsibility or liability for any failure or inadequacy of performance by person or firm contracting, subcontracting or employed to perform any part of the aforesaid improvement work, including the architect, nor for any defective workmanship or materials involved therein, and hereby expressly waives any and all claims, rights or demands against the City, the City, its agents or employees.
- **INDEMNIFICATION.** The undersigned shall indemnify, defend and hold harmless City from and against any and all claims, liabilities, losses, damages, costs and expenses resulting out of the acts or omissions of the borrower or the borrower's contractors, subcontractors, or employees of the undersigned, pertaining to the aforesaid improvement work or the use or operation of the property.
- **APPLICANT ACKNOWLEDGEMENT AND AGREEMENT**
  1. The applicant is solely responsible for all safety conditions and compliance with all safety regulations, building codes, ordinances, prevailing wage, and other applicable regulations.
  2. Applicant must have a current Business License to conduct business at the address where improvements are to occur and must not be delinquent or past due on any Downtown Business Improvement District fees, where applicable, for the term of the Façade Easement.
  3. All property improvements made under this program must be consistent with the City's Zoning Ordinance, General Plan, and the Heart of Fairfield Plan. As with any other project, the property improvements under this program must also adhere to all applicable building codes, sign ordinances, and development/design standards for the City of Fairfield. Any code violations must be corrected before funding is released.
  4. The property owner awarded City funds for façade improvements will grant the City of Fairfield an easement, in a form to be determined by the City, over the building façade for a period of five (5) years.
  5. The property owner shall be obligated to maintain the building in accordance with the maintenance provisions of the Façade Easement.
  6. The applicant authorizes the City of Fairfield to promote an approved project, including but not limited to displaying a sign at the site, during and after construction, and using photographs and descriptions of the project in City of Fairfield materials and press releases.
  7. The applicant understands and acknowledges the City of Fairfield reserves the right to make changes and/or additions to conditions of the Façade, Outdoor Seating, and Signage Improvement Program as it deems necessary.
  8. If at any time you wish to withdraw your application, you must notify the City of Fairfield Economic Development Division in writing at 1000 Webster Street, 2nd Floor, Fairfield, CA 94533, as soon as possible.
  9. The applicant has read and understands the program description and agrees to its terms.

Applicant and Property Owner Signatures

Print Applicant Name _____ Date _____

Print Property Owner Name _____ Date _____
(If applicant is not also owner)

Applicant Signature _____ Date _____

Property Owner Signature _____ Date _____
(If applicant is not also owner)

HEART OF FAIRFIELD PLAN AREA FAÇADE, OUTDOOR SEATING, AND SIGNAGE IMPROVEMENT PROGRAM

Scope of Work Template

Façade Property Address:

Business or Property Owner Name:

Business Name (if applicable):

Improvement	Description	Estimated Cost
		TOTAL COST:

CITY OF OAKLEY

City of Oakley
Downtown Revitalization
Loan Program

2014 - 2015

Executive Summary

As the City of Oakley has experienced its growth, a continuing goal has been to maintain its small town character, particularly in the downtown area. The City has partnered with the private sector to make a substantial financial commitment to the downtown corridor with the development of the Civic Center Plaza, the Oakley Plaza and neighboring commercial uses.

The goal of the Downtown Revitalization Loan Program is to leverage public funds and private investment to further enhance the physical appearance and economic vitality of the commercial buildings and businesses in the downtown corridor. The long-term objectives of the program include improving the physical appearance of the buildings and area, encouraging the retention and attraction of businesses to the corridor, increase property values, increase tenant stability, increase pedestrian walkability and create a stronger "sense of place".

Loan funds under the program can be used in the following ways:

1. Façade Improvements
2. Landscaping and exterior lighting
3. Signage
4. ADA compliance
5. Building infrastructure upgrades needed for new tenant conversion
6. Demolition

Goals

Leverage public funds and private investment to enhance the physical appearance and economic vitality of the commercial buildings and businesses in the downtown corridor

Encourage the retention and attraction of businesses

Increase property values

Increase tenant stability

Increase pedestrian walkability

Create a stronger “sense of place”

Loan Parameters

❖ Eligible Applicants

- The loan program is targeted to property owners and/or tenants located in the Oakley Downtown Specific Plan Project Area (see attached map)
  - A tenant with a remaining lease term of 10 years or more may be eligible for the Program, with written consent of the property owner
  - With the recommendation of City staff, the Oakley City Council may consider a loan outside of the Downtown Specific Plan Project Area for a project that exceeds the stated objectives of the program and will act as a catalyst to the economic development goals of the entire City.

❖ Maximum Loan Amount

- The Program will fund up to \$75,000 of approved project costs
- With the recommendation of City staff, the Oakley City Council may consider approval of a loan higher than the maximum limits for a project that exceeds the stated objectives of the Program and will serve as a catalyst for future improvements in the Downtown
- Loan funding will be available on a first-come, first-serve basis

❖ Project Equity Requirements

- Loan applicant is required to contribute minimum equity of 10% of the total project costs
- Proof of applicant equity expenditures is required prior to loan funding

❖ Collateral Requirements

- Each loan shall be secured with appropriate collateral as determined by City staff. Typical collateral could include a Deed of Trust, UCC Filing and/or a personal guarantee

❖ Loan Terms

- The term of the loans will be 5 years for loans up to \$25,000 and 10 years for loans greater than \$25,000
- Of the total loan amount approved, 50% will be issued as a forgivable 0% interest loan. This portion of the loan will be written down in equal annual increments for the term of the loan, as long as the improvements are in place
- The remaining 50% of the approved loan amount will be in the form of a low interest loan at a 2% fixed rate for the life of the loan
- Loan payments may be deferred for a period of 12 months at the request of the applicant

❖ Prevailing Wage

- The applicant shall require its contractors and subcontractors to pay prevailing wages to all persons performing work on the project as required by California Labor Code section 1720.

❖ Other Terms

- All improvements must conform with the Uniform Building Code and the City of Oakley Planning and Building permit and approval process
- Property owners with outstanding building code or code enforcement violations will not be eligible for the program
- Loans can be prepaid with no prepayment penalty
- If new applicant is approved, loans may be assumed
- Loan will become due and payable if:
  - Building is sold (loan to property owner)
  - Business is sold (loan to tenant)

Loan application process

1. Meet with Economic Development staff to discuss applicant's preliminary plans and proposed project impacts
2. The City of Oakley will provide an architect/design firm to provide conceptual drawings of the proposed improvements up to a maximum amount of \$2,000 per application.
3. Submit loan application together with the following:
  - a. Description of the proposed improvements
  - b. Description of the impact of the proposed improvements towards the stated goals of the program
  - c. Preliminary cost estimate
  - d. Proof of property ownership or long-term lease agreement with attached property owner consent
  - e. Proof of loan repayment ability in the form of three years tax returns/and or business financial statements
4. Loan applications will be reviewed by City Staff, recommended to the City Manager and considered by the City Council for final approval based on the following criteria:
  - a. Strength of project impacts towards program goals of enhancing the physical appearance and economic vitality of the downtown corridor
  - b. Applicant credit history to be pulled at time of application
  - c. Applicant equity requirement
  - d. Applicant loan repayment ability
5. Loan funds will be dispersed after proof of project equity funds verified and loan documents executed

Figure II.1

CITY OF PLEASANT HILL

**Commercial Façade Improvement
Grant & Loan Program**

Program Guidelines – October, 2012

I. PROGRAM OVERVIEW/STATEMENT OF PURPOSE

The Commercial Façade Improvement Grant and Loan Program ("Program") is designed to leverage public funds and private investment to enhance the physical appearance and the economic vitality of commercial businesses located in targeted areas throughout the City. The Program will offer, to qualified participants, both façade improvement grants and loans, as well as architectural and design services to visually enhance buildings that can be viewed from the public right-of-way. The long term objective is to upgrade the commercial areas of the City by improving both the physical appearance and economic vitality of the areas, thereby helping to increase property values, tenant stability and lease rates for the property while fostering local economic development and growth through job creation and business retention.

II. POLICY

Grants and loans from the City of Pleasant Hill will be made available to qualified eligible participants for façade improvements to buildings located in designated commercial areas of the City.

A. ELIGIBILITY

1. Eligible Applicants/Areas

Phase I of the Program is targeted to property owners or business owners/tenants* located in the following designated target areas. A combination of grants, loans and owner equity will be required for property owners or business owners to participate. See Financing Assistance & Terms, Section II.4.

Pleasant Hill Square Shopping Center located at 2001 Contra Costa Boulevard

Deb's Flower Mart located at 1907 Contra Costa Boulevard

A-1 Smog Repair Building located at 2049 Contra Costa Boulevard

College Park Center located at 702-716 Contra Costa Boulevard

Grayson Plaza & 7-11 located at 670-690 Gregory Lane and 2396 Pleasant Hill Road, and Pleasant Hill Market located at 2397 Pleasant Hill Road

*Due to the configuration of some buildings, it may not be appropriate for a single tenant to participate in this program unless all tenants participate. Single tenant applications will be reviewed on a case by case basis. Business owners or tenants with long-term leases (five or more years remaining on the lease at the time a Program application is submitted), must have the property owner(s) written consent before any improvements are made. In addition, the grant and loan application must be signed by the property owner.

After the time period allotted for Phase I funding has passed, any remaining funds will be made available for Phase II of the program.

Phase II of the Program will provide mini-grants up to a maximum of \$15,000 and will be open to all property owners or commercial businesses located within any commercially zoned area of the City beginning on April 1, 2013, or an alternative date as determined by the City Manager. The mini-grants will have a 50% match requirement and must be used only for improvements that can be viewed from the public right-of way, i.e, awnings, signage, exterior façade upgrade, installation of display windows, exterior lighting, and landscaping improvements.

2. **Funding** for the Façade Improvement Grant and Loan Program will be available on a first-come, first serve basis and will not automatically be reallocated by the Pleasant Hill City Council in future years.

3. **Scope of Improvements**

Eligible types of improvements include, but are not limited to:

- Removal of old signs, awnings and other exterior clutter
- Exterior façade upgrades, including repair or replacement of exterior siding, new architectural details and painting
- ADA upgrades including new entry doors
- Installation of display windows
- Installation of new overhangs, such as canvas awnings over windows and entries
- Installation of new signs
- Installation of new exterior lighting
- Installation of permanent landscaping
- Installation of trash/garbage enclosures

Additional improvements that are deemed to be consistent with the intent of the program will be reviewed and approved/disapproved on a case-by-case basis by the City Manager, Economic Development Manager and City Planner.

4. **Financing Assistance & Terms**

Eligible property or business owners participating in Phase I of the Program are eligible to receive a City grant not to exceed 25% of eligible total façade improvement costs, and a City low interest loan not to exceed 50% of total eligible façade improvement costs. The property or business owner must provide 25% owner equity of the total façade improvement costs for the project.

Loan Terms – The term of the façade improvement loans for property owners shall be the shorter of fifteen (15) years or the date on which the property is sold or transferred; for business owners/tenants, a maximum of 10 years for business owners/tenants dependent on remaining term of existing lease. Tenants must have the property owner’s written consent before submitting an application for participation in the Program.

Interest Rate on Loans – The interest rate on the loans from the City of Pleasant Hill shall be determined on a case-by-case basis, and will be based on the credit worthiness of the property owner/tenant. In no event will the interest rate on the loans exceed 5%. The property owner will grant to the City of Pleasant Hill a nonexclusive façade easement. The loans shall be fully amortized with compounded interest.

Maximum Loan Amounts - Maximum loan amounts for eligible program participants have been based on project design estimates that were prepared by the City’s Architectural Design Consulting Firm, SZFM Design Studios. Maximum loan amounts vary depending on scale of project and number of participants. Please contact City Staff for additional information on maximum loan amounts for the Program.

Payments on Loans - The loan shall be repaid in equal monthly payments to begin one year from the date that the loan agreement is executed. There is no prepayment penalty.

Easement Deed. The loan shall not be secured with a deed of trust, but the owner will be required to convey to the City a façade easement, which gives the City certain rights until the loan is paid off, including the right to undertake

façade maintenance if the owner or tenant fails to maintain it appropriately. Any amounts due but unpaid on the loan and any costs incurred by the City for maintenance shall be a lien on the property payable no later than the sale or other transfer of the property.

5. Architectural Design Assistance, Permits & Fees

To encourage quality building design, the City of Pleasant Hill will offer eligible applicants financial assistance with professional design fees. Those applicants who are approved for a Façade Improvement Loan shall be eligible to receive additional financial assistance to help cover the costs incurred for the preparation of the final architectural plans, provided that such plans are prepared by a licensed architect. This assistance shall be provided on a reimbursement basis in conjunction with an approved Façade Improvement Loan.

III. PROCEDURE

A. Application Process

1. Following initial contact, the applicant may meet with the City Manager's Office/Economic Development and the Community Development Division to discuss the applicant's preliminary plans, at which time the applicant will be provided with an application form. If the applicant does not wish to discuss the plans, he/she may begin the process by obtaining an application form from the Economic Development Manager. The Property owner or business owner completes the application form (Exhibit "1") and submits the application to the Economic Development Manager together with the following:
  - a) A photograph of the existing storefront;
  - b) Preliminary plans for the proposed façade improvements;
  - c) Authorization from the property owner to commence with the project if the tenant/business owner is filing the application;
  - d) Any application fees required by the City of Pleasant Hill fee schedule;
  - e) Preliminary Title Report; and
  - f) Property Appraisal or letter on opinion of value for the purpose of establishing the loan to value ratio. Staff will review documents for

Page 5 of 12

completeness and may request additional information from the applicant if deemed necessary;

2. If determined necessary by the City Planner or designee applicant obtains an Architectural Review Commission (ARC) application and submits the necessary information as per application requirements.
3. Upon ARC approval and approval by the Planning Division applicant shall prepare and submit 3 copies of the final plans and specifications, together with a detailed cost estimate to the Building Division for permit processing. Applicant shall pay all relevant permit processing fees as outlined in the City of Pleasant Hill Fee Schedule.
4. The Building Division shall forward one copy of the plans and the cost estimates to the City Manager/Economic Development Manager.
5. Based on the detailed cost estimate submitted by the applicant the City Manager shall determine the maximum eligible façade improvement loan amount.
6. Upon completion of a satisfactory review and approval by staff, the building permit will be issued.

B. Loan Approval

1. Applicant shall contact the Economic Development Manager to discuss the proposed loan.
2. Staff shall run a credit report on the applicant.
3. Depending on the the scope of the façade improvement project, the financial need and the credit history of the applicant, staff will make a determination as to the applicable interest rate of the loan as specified in Section II. A. 4.
4. Loans in conformance with the policies set forth herein may be reviewed by a private lender or other person or entity acting in the capacity of loan originator and will also required approval by the City Manager.
5. Loans requiring exemptions to these policies shall be considered for approval by the Economic Development Committee.
6. Upon review/approval by the City Manager, a Letter To Proceed/Notice of Loan

Page 6 of 12

Approval shall be sent to the applicant, along with a Loan Agreement, Façade Easement Deed, and a Promissory Note.

C. Loan Closing

1. The City Manager is authorized to execute loan agreements on behalf of the City upon loan approval.
2. Loan documents are signed by the applicant and recorded.

D. Grant and Loan Disbursements

1. Disbursements shall not be made until the applicant provides the Economic Development Manager with paid invoices totalling at least 25% of the total project cost.
2. Once the applicant has contributed 25% towards the total project cost, disbursements will be made on a reimbursement basis per paid invoices. Such reimbursement requests shall be made by the applicant through the Economic Development Manager/City Manager's Office.
3. The final 10% of the total loan amount shall be held until:
  - a) The applicant submits paid invoices showing that the work has been completed in full;
  - b) The applicant provides the Economic Development Manager with a copy of the approved final building inspection (if relevant); and
  - c) The applicant submits a photograph of the building showing completion of all improvements.

E. Loan Servicing

1. Loan payments shall be processed by the Finance Department or the City may contract with a private lender or other person or entity to originate and service the loans, and to carry out the City's obligations under the Commercial Façade Improvement Grant & Loan Program.
2. All recaptured funds shall be deposited in the Commercial Façade Improvement Revolving Loan Fund, as appropriate.

F. Compliance with all Applicable Laws and Codes

1. All improvements shall conform to the City of Pleasant Hill applicable building codes, zoning ordinance, and any applicable design guidelines or master sign program requirements. Project improvements that are commenced prior to the City's issuance of a Letter To Proceed/Notice of Loan Approval are not eligible for this Program. Façade renovation alone will not trigger Building Code compliance for the balance of the building unless the work has been done without permits or unsafe working conditions exist which are hazardous to the public safety.
2. Loans provided by the City for construction of façade improvements must comply with prevailing wage requirements found in the California Labor Code (Exhibit "2"-Prevailing Wage Disclosure).

G. Construction Completion Date

All façade improvements shall be completed within *180 days* of the execution of the loan agreement, unless applicant receives prior written approval for an extension from the City Manager.

H. Appeal Process

In the event there is a disagreement concerning the application of this Program or an applicant's eligibility, the applicant may appeal the decision to the City Manager. If there is a continued disagreement after the City Manager has reviewed the decision, the decision may be appealed to the Economic Development Committee. If there is still continued disagreement after the Economic Development Committee has reviewed the decision, the matter may be appealed to the City Council.

I. Program Review

The Program shall be reviewed by the Economic Development Committee on annually. The Committee shall review the effectiveness of the implementation process and the utilization of the budgeted and allocated funding for the program. If it is determined that changes are needed in the parameters of the program, such changes shall be considered by the City Manager.

EXHIBIT 1

Commercial Façade Improvement Grant & Loan Application

Please fill out application completely and submit or send to:

City of Pleasant Hill
Attention: Economic Development Department
100 Gregory Lane
Pleasant Hill, CA 94523
(925) 671-5213

Section 1. Applicant Information

Name: _____

Circle All That Apply: Property Owner   Business Owner/Tenant

Business Name: _____

Property Name: _____

Mailing Address: _____

Assessor's Parcel Number: _____

Daytime Phone Number: _____

Email: _____

Total Number of Businesses in the Building: _____

Name(s) of Other Businesses in the Building: _____

_____

_____

_____

_____

Section 2. Property Owner Information (complete if tenant is applicant).

Property Owner Name: _____

Property Owner Mailing Address: _____

Property Owner Daytime Phone Number: _____

As the legal owner of the above property, I hereby grant authorization to complete the façade improvements indicated on this application.

Signature: _____ Date: _____

Section 3. Scope of Work:

Please provide a general description of the façade improvement work that is planned:

_____

_____

_____

_____

_____

_____

Section 4. Funding:

Please estimate as close as possible the final cost of your project: \$ _____

I/We certify that the owner is the property owner of record and that there are no current code enforcement actions pending against the property.

I/We have read and understand the City of Pleasant Hill Commercial Façade Improvement Grant & Loan Program Guidelines and accept them and wish to apply:

I/We certify that I/we are qualified and will abide by such conditions set forth in this application and all reasonable conditions which may be issued by the City of Pleasant Hill in the implementation of this project.

Building Owner(s) _____ Date: _____
 _____ Date: _____
 Business Owner(s) _____ Date: _____
 _____ Date: _____

EXHIBIT 2

PREVAILING WAGE DISCLOSURE

The California Labor Code imposes prevailing wage requirements upon projects (in excess of \$1,000.00) "paid for in whole or in part out of public funds". Laws and Regulations pertaining to the payment of prevailing wages can be found in the California Labor Code Sections 1720-1815.

If you receive a loan from the City of Pleasant Hill for construction, alteration, demolition, installation, or repair work done under contract, the prevailing wage requirements will apply to the entire project. This means that any contractor or subcontractor who performs work on the project must pay workers the prevailing wage for the appropriate trade, classification or type of work. The current prevailing wage rates are determined by the California Director of Industrial Relations and available from the Department of Industrial Relations website at:

http://www.dir.ca.gov/DLSR/statistics_research.html

Each contractor and subcontractor must keep accurate payroll records and prevailing wage rates must be posted at the job site.

Non-compliance with prevailing wage requirements may subject a contractor and/or subcontractor to penalties.

Borrower undertakes and agrees to defend, indemnify, and hold harmless the City of Pleasant Hill, and their staff, officers and employees from and against all suits and causes of action, claims, losses, demands and expenses, including, but not limited to, reasonable attorney's fees, City Attorney fees, and costs of litigation, damage or liability of any nature whatsoever, arising in any manner by reason of or incident to the performance on the part of the Borrower or any contractor or subcontractor of Borrower in regards to prevailing wage requirements.

Each contractor and subcontractor on the project must sign this disclosure.

I certify that I have read the above and will comply with the prevailing wage requirements applicable to this project:

Signature on file:

_____
Owner/Borrower **Date**

_____
Contractor **Date**
R:/economicdevelopmentcommittee/Draft FacadeGuidelines.final

CITY OF SAN FRANCISCO

SF SHINES FAÇADE AND TENANT IMPROVEMENT PROGRAM APPLICATION

Applicant(s) Name: _____

Applicant is (check all that apply): ☐ Property Owner ☐ Business Owner/Merchant

Property Owner (s): _____

Address: _____

City, State, ZIP: _____

Phone / Email: _____

Business Owner/Merchant (s): _____

Business Name: _____

Business Address of Proposed Improvements: _____

City, State & ZIP: _____

Phone / Fax #: _____

Email Address: _____

Years In Business: _____

Start and End Date of Lease: _____

Type of Business: ☐ For profit ☐ Non profit

1. Choose the improvement(s) you would like to make to your business:

Tier 1	Tier 2	Tier 3
Power wash and paint	Awning	Windows
Remove security grilles/roll up	Doors	Storefront Bulkhead
Replace glazing	Interior layout/Design	ADA bathroom
Lighting/signage	Fixtures/Fixed equipment	Kitchen design
Other	Other	Other

OFFICE OF ECONOMIC AND WORKFORCE DEVELOPMENT
City Hall, 1 Dr. Carlton B. Goodlett Place, Room 448 – San Francisco, CA 94102
MAIN: (415) 554-6969 | FAX: (415) 554-4565

3. Do you need branding or architectural design assistance? ☐ Yes ☐ No

If no, please provide a copy of architectural drawings and renderings with proposed improvements.

4. Please describe the proposed scope of work for your project:

5. Which SF Shines objectives will this façade and/or tenant improvement achieve?

☐ Promote pedestrian oriented design principles ☐ Increase neighborhood safety ☐ Enhance the neighborhood streetscape
☐ Restore historic character ☐ Increase storefront transparency ☐ Remove barriers of accessibility

Describe how you will achieve these objectives:

6. What is your estimated total project cost?

* Please include a copy of the contractor's estimate if available

Estimated project budget/ cost estimate: _____

Client's contribution: _____

Requested grant amount: _____

8. Is your business Americans with Disabilities Act (ADA) compliant? ☐ Yes ☐ No ☐ Don't Know

If no or don't know, do you want to have your business assessed for compliance? ☐ Yes ☐ No

9. Do you carry the following insurance coverage?

*Proof of insurance naming the City of San Francisco and the Office of Economic and Workforce Development (OEWD) must be provided if grant is approved.

Workers Compensation ☐ Yes ☐ No

Commercial General Liability ☐ Yes ☐ No

Business Auto Insurance ☐ Yes ☐ No

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- ☐ I am including the following documentation with the application:
- ☐ Contractor's estimate of proposed work
  - ☐ Executive Summary (a brief description of the business, product and/or services provided).
  - ☐ Copy of existing property deed or lease agreement.
  - ☐ Proof of Business License and Insurances
- ☐ I have read and understand the program guidelines of the Office of Economic and Workforce Development's SF Shines Program
- Applicant will make the best effort to meet the SF Shines program goals
  - Applicant will obtain the property owner consent for the project
  - The Façade and Tenant Improvement grant is paid to the applicant as reimbursement of paid invoices to third party contractor when the project is completed
  - Applicant is responsible for obtaining all required permit drawings and building permits
  - Applicant must submit copies of job cards and approved permits at reimbursement request
  - All construction work to be performed by third party contractors shall be subject of agreement between applicant and contractor
- ☐ I cannot start construction work on any improvements until my application is approved and an agreement is signed with the Office of Economic and Workforce Development
- ☐ I certify that there are no current code enforcement actions pending against this property
If yes, please describe: _____
- ☐ I accept the qualifications and conditions and through signature(s) below, certify that I am qualified and will abide by such conditions set forth in this application
- Applicant's Name: _____
- Signature: _____
- Title: _____
- Date: _____

Please deliver completed application and supporting documents to:

Office of Economic and Workforce Development, SF Shines Program
City and County of San Francisco
1 Dr. Carlton B. Goodlett Place, Room 448
San Francisco, CA 94102
Attn: Darcy Bender
 Or
 email: sfshines@sfgov.org

OFFICE OF ECONOMIC AND WORKFORCE DEVELOPMENT
 City Hall, 1 Dr. Carlton B. Goodlett Place, Room 448 – San Francisco, CA 94102
 MAIN: (415) 554-6969 | FAX: (415) 554-4565

CITY OF SAN FRANCISCO

SF SHINES: FAÇADE and TENANT IMPROVEMENT PROGRAM STANDARDS

I. Program Description & Objectives

In an effort to improve the City and County of San Francisco's (the "City") business corridors, the SF Shines Program (the "Program") provides grants, design assistance and project management to property owners and merchants to improve commercial storefront facades and business interiors. The SF Shines Program is an economic development service of the Invest in Neighborhoods Initiative that provides focused, customized assistance to help small businesses thrive, increase quality of life, improve physical conditions, and build community capacity.

The Program's objectives are to:

- Encourage investment in the neighborhood
- Increase neighborhood safety
- Attract and retain retail businesses
- Improve business identity
- Restore the historic and architectural character of the neighborhood
- Improve the pedestrian experience of the corridor
- Assess and remove barriers to accessibility
- Leverage the most investment return for the size of the grant

II. Program Parameters

1. Eligibility:

Business and property owners located within selected Invest in Neighborhood Program (INP) commercial corridors may apply. Participating properties must be commercial and/or mixed use buildings with first floor retail storefronts. Information on current INP commercial corridor areas can be found at <http://investsf.org/sf-shines/>

2. Grant Funding:

Grants amounts are based on funding availability and eligible improvements that meet the SF Shines program criteria including neighborhood, façade and tenant improvement project selection criteria. SF Shines grants require a minimum 25% match of the entire project. Private match may be waived based on demonstrated financial hardship. Grants for the project will be reimbursed to the Client once construction is complete and the terms stated in the SF Shines Standards and Agreements have been met. The Client is responsible for all permits and payments to professionals, City departments, and contractors and any other additional project costs that exceeds the approved grant amount.

Program's Standards. A final design must be agreed between OEWD and Client before proceeding with the project agreement.

III. Project Selection Criteria

The primary objectives for City's commercial corridors are to increase economic vitality for businesses and pedestrian presence through high quality design and improvements that promote safety, interest and demand for diverse product and services, and improves the experience of the corridor. Prospective Program applicants will be evaluated and approved by the SF Shines Façade Improvement Program Executive Committee ("FIPEC") and will determine the grant amount based upon the scoring of the following criteria:

1. Neighborhood Criteria

- a. **Location Priority:** Business is located in a priority zone within the neighborhood which requires physical improvement as part of a larger strategy. Priority criteria includes:
  - i. Crime prevention
  - ii. Clustering
  - iii. Fills key vacancy.
- b. **Retention/Sustainability:** Making physical improvements will ensure the business is able to stay at the current location and is a neighborhood asset. Priority criteria includes:
  - i. Result in lease extension or a long term lease
  - ii. Implement ADA improvements
  - iii. Business is a neighborhood asset
  - iv. Business applies to the strengthening goals of a customized Individual Development Plan (IDP) and agrees to long term sustainability of business strategy and services.
- c. **Business Attraction:** Physical improvement will attract a desirable business that is catalyst for the neighborhood. Priority criteria includes:
  - i. Catalyst project
  - ii. Neighborhood desired business
- d. **Community Benefit:** Business provides a community benefit to the neighborhood. Priority criteria includes:
  - i. Service to low-moderate income clients
  - ii. Preserves cultural historic character
  - iii. Hires locally
  - iv. Reinvest in local community
- e. **Corridor Physical Attractiveness:** Physical improvements will increase foot traffic and attract people to the commercial corridor. Priority criteria includes:
  - i. Corridor attraction
  - ii. Visual monument
  - iii. Reduces neighborhood blight
- f. **Improvement Outweighs Public Investment:** The monetary investment of program is minimal when compared to the amount leveraged. Priority criteria includes:
  - i. Improvement outweighs public investment

Program's Standards. A final design must be agreed between OEWD and Client before proceeding with the project agreement.

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2. Façade Improvement Criteria

Proposed improvements provide the following benefits:

- a. **Large investment impact:** Maximize impact of grant through clustering of building improvements. Project is a corner property or includes two or more business.
- b. **Restore neighborhood's historic character:** Improvements restore historic building elements such as storefronts, transom windows, historic signs and ornamental details.
- c. **Reduce blight:** Reduce the visible decline and disrepair of the exterior through building improvements including replacement of damaged glass, new paint, graffiti removal, removal of roll ups and security grilles.
- d. **Remove blank areas:** Discourage crime by adding eyes on the street, improving storefront transparency and removing blank or hidden areas. Building improvements include uncover windows and doors, increase window openings and remove hidden spaces.
- e. **Remove non-conforming elements:** Remove outdated elements that obscure architectural building features and diminishes the identity of the business including illuminated box signs, non-conforming awnings and signage.
- f. **Remove barriers of accessibility:** Improve the primary entry to the business to help persons with disabilities gain greater access to goods and services and assist businesses in complying with accessibility requirements. Proposed improvements may include new entry door, power door operators and level landings.
- g. **Add pedestrian elements:** Create an inviting atmosphere that encourages pedestrian activity and attracts new customers to the corridor. Pedestrian elements may include new awnings, architectural lighting, projecting sign, window decals, wall mounted signage, planters and landscaping.

3. Tenant Improvement Criteria

Proposed improvements support the following criteria:

- a. **Service and character of the project:** The business use, goods and services offered to the community reinforces and improves the character of the commercial corridor.
  - i. Reinforces the character of the neighborhood (local small business, neighborhood desired services, legacy business)
  - ii. Improves neighborhood conditions (removes blight, supports pedestrian oriented principles, provides healthy goods and/or services, promotes a desirable change of use)
- b. **Interior improvements:** Proposed improvements welcomes customers, increases visibility into the business, and improves business operations.

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- i. Supports an open transparent façade
- ii. Removes barriers of accessibility
- iii. Interior improvements benefit business operations
- c. **Impact of Project:** Project has significant impact on surrounding properties and supports other types of public realm improvements, neighborhood or private investments.
  - i. Project maximizes investment of public funds
- d. **Financial Contribution:** Project leverage more private investment and/or from other sources of funding that exceeds the required minimum grant contribution.
  - i. Grant maximize leverage of private investment

IV. Client Obligations

Client understands that the following are his/her/its initial responsibilities:

1. Program Obligations

- Designate one person as the contact person for the project. This should be the Client.
- If Client is not the Property Owner, Client should demonstrate evidence of a long-term investment in the neighborhood, with a long-term lease (minimum three (3) years remaining on the lease). Client shall obtain and submit a signed SF Shines property owner consent form.
- Abide by federal/state procurement guidelines, including use of a bid process for contractor selection and compliance with City's prevailing wage standards.
- Agree to the terms of these Program Standards; sign a Preliminary Agreement, a Project Agreement, and a Contractor's Agreement.
- Make good faith efforts to commit and invest in the neighborhood and stay in business for a 3 year period following the completion of the project.
- Ensure that OEWD is the first point of contact in event of store struggle, store closure, or change of ownership in business.
- Complete recommended technical assistance with the Small Business Development Center (SBDC).

2. Project Obligations:

- Meet with SF Shines project manager, Invest in Neighborhoods staff and assigned architect throughout the different phases of the project.
- Provide full information about the Client's objectives, schedule, constraints and existing conditions of the project. Work with OEWD to establish a budget that includes reasonable contingencies and meets the Program Standards.
- Maintain responsibility for notifying residents and neighbors about project, if necessary.
- Have sufficient funds in place to complete the proposed work including cost for building permits before proceeding with the project.
- Provide decisions and furnish required information as expeditiously as necessary for the progress of the project.
- Commit to a project timeline and the scope of work by communicating with OEWD staff, and the assigned Architect. Provide project updates on a regular basis.

- Furnish consulting services not provided by the Architect but required for the project such as structural, mechanical and civil engineering. Architect shall assist in determining consulting services required for the project.
- 3. Maintenance Requirements - Client agrees to maintain the façade and to confer with OEWD before undertaking any major changes in the renovated façade for at least three (3) years following the completion of the project. If Client or Property Owner is unable to meet this requirement, then OEWD reserves the right to reconsider the allocation of these funds.

Façade maintenance includes, but is not limited to:

- Existing security grilles and roll up doors must be removed from building façades.
- Approved sliding folding gates, if any, must be kept completely open during business hours to guarantee maximum visibility from and into the street;
- Maintaining the sidewalk in front of the Project clean and clear of clutter and garbage at all times;
- Keeping facades clean;
- Cleaning awnings at least once a year;
- Ensuring signs/façade are lit (if applicable);
- Ensure that windows are kept free and clear to allow for visibility into the store;
- Removal of graffiti in a timely manner; and
- Working with neighbors and San Francisco Police Department in a good faith effort to eliminate illegal activity in and in front of the buildings.

Conditions that constitute a failure to maintain a property in good condition include, but are not limited to, peeling paint, chipped surfaces, broken windows, covered transom windows or doors, boarded windows, excessive bird droppings or debris, graffiti, and illegal or non-conforming awning and signage, and obstructed windows.

At any time during the three years from the date of funding that OEWD determine the façade improvements have not been maintained in good condition, City will notify the Client in writing of any deficiencies and provide thirty (30) days for corrective actions to be taken. Failure to maintain improvements or take corrective action will result in ineligibility of an award for future grants to the Program participant.

Should the Client close, sell or, vacate the location for any reason, including foreclosure and/or any other legal action, within a 3 year period of the receipt of the grant, the Client will be considered in default of the grant agreement. OEWD reserves the right to retain any and all improvements and equipment paid for by the Program, and reserves the right to request immediate repayment of any or the entire grant amount.

4. Insurance Requirements

OEWD requires the following insurance for all Clients and contractors (including general contractors, architects, engineers, and any other professionals employed in connection with the Program project, and hired by the Client). The insurance certificates must name the City and County of San Francisco and the Office of Economic and Workforce Development as additional insureds on the following policies: Comprehensive or Commercial General Liability Insurance, Business Automobile Liability Insurance, and Workers Compensation Insurance.

- **Comprehensive or Commercial General Liability Insurance:** Minimum amount of \$1,000,000 should include the following: Premises and Operations, Property Damage, Contractual Liability, Independent Contractor's Protection, Personal Injury, Products and Completed Operations, and Broad Form Property Damage.
- **Business Automobile Liability Insurance:** Limits not less than \$1,000,000 each occurrence combined single limit for bodily injury and property damage, including coverage for owned, hired and non-owned automobiles.
- **Workers Compensation Insurance:** as required by law, and Employer's Liability Insurance with limits not less than \$1,000,000 per occurrence.
- **Real Property Insurance (CDBG-funded projects only):** The grant agreement requires that "all real property constructed, improved or rehabilitated,...leased or purchased in whole or in part by CDBG funds" must be insured for 100% of its replacement value. The City must be named as a loss payee in property insurance policies, and the certificate must indicate this status. This means that if the building is destroyed, and the building and the OEWD funded improvements are not reconstructed by the insurance company, the City will be compensated directly by the insurance company for the value of the funded improvements.
- **Professional Liability Insurance:** Required for all architects, engineers, and any other design professionals employed in connection with the Project and hired by the Client. Insurance shall have limits not less than \$1,000,000 per claim related to negligent acts, errors or omissions with professional services to be provided in connection with the project and any deductible not to exceed \$10,000 per claim.

5. Employment & Contracting Requirements

The Client shall employ a general contractor licensed in the State of California and with the City of San Francisco experienced in the type project to be constructed to perform the construction work and to provide price information. General contractor shall comply with Federal Labor Standard Provisions and California State Labor Standard Provisions.

- For all contract amounts between \$20,000 and \$100,000, the general contractor must either:
  - Post a Performance Bond and a Labor and Material Bond in amounts not less than 100% of the amount of the work; **OR**
  - If both Owner and OEWD approve, the requirement for posting of a Performance Bond and Labor and Material Bond may be waived. In such event, a larger percentage of each progress payment may be withheld. For example, 50% of each payment or one lump sum payment will be made for all work performed. This or another amount agreed to will not be paid until thirty-five (35) calendar days have elapsed after a valid Notice of Completion has been recorded. The Owner may withhold from such final payment an amount equal to 1 1/2 times the total of any mechanic's lien claims that may have been recorded to protect Owner against such lien claims. To be considered, the general contractor must request a waiver and, if approved, must agree in writing to the required payment schedule.
- For all contracts exceeding \$100,000, the general contractor must provide Performance and Material Payment Bonds equal to 100% of contract amount.

V. OEWD Role

The following describes OEWD's role during the design and construction of the Project:

- OEWD is the Project Coordinator of the SF Shines Program. As Project Coordinator, OEWD staff will manage the façade and tenant improvement projects and determine if Client completes construction of the Project.
- OEWD will facilitate meetings between Client and the Architect.
- OEWD staff may assist the Architect with obtaining necessary building permits.
- OEWD with assistance of the Architect will provide construction administration including reviewing contractor's submittals, visiting the site, reviewing and certifying payments and rejecting nonconforming work.
- OEWD staff will be available to the Client throughout the Project, as needed, as an informational resource.
- OEWD staff will ensure the proper reimbursement to the Client at the completion of the Project to the satisfaction of OEWD as laid out in the Program Standards, Preliminary and Project Agreements.

VI. Steps in the SF Shines Process

Each project will go through the following steps, and at the conclusion of each phase the Client shall sign an agreement, which will be kept on file.

Application Phase

- Step 1: Gather information:** Contact SF Shines project manager or Invest in Neighborhoods (IIN) point person to discuss project eligibility and program requirements.
- Step 2: Submit Completed Program Application.** Prospective applicants shall submit an SF Shines application, business questionnaire and supporting documents to OEWD. FIPEC will review the applications, supporting documents and the San Francisco Small Business Development Center (SBDC) business assessment letter and will make final approvals.
- Step 3: Initial Program Consultation.** Once applicant is selected, OEWD staff will review Program Standards and requirements with the Client. Client signs the Program Standards stating that this document has been disclosed, discussed, and understood.
- Step 4: Sign Preliminary Agreement.** Client meets with SF Shines project manager and signs the Preliminary Agreement. This agreement guarantees the Client's placement in the Program.

Design Phase

- Step 5: Site Visit.** OEWD and the architectural partner will visit the site with the Client to outline the design portion of the project.

Step 6: Development of Proposed Design. Approved applicants are allowed limited design consultation with the architectural partner at no charge to develop a conceptual design and permit drawings for the project. OEWD must approve the initial concept and the Client shall sign off on the design and estimated cost prior to proceeding with the permit drawings.

Step 7: Permit Process. Once designs are finalized, the architectural partner will obtain the Mayor's Office on Disability and over the counter permit review approvals. Historic designated buildings will require permit submittal through the Central Permit Bureau. Timeline for review varies.

Bidding Phase

Step 8: Bidding: Clients must obtain at least three (3) qualified bids. OEWD staff will assist the Client in finding appropriate contractors, if necessary. The Client will choose a contractor and submit appropriate documentation to OEWD. OEWD has final approval of the contractor before any legal contract is executed. The contractor is subject to City, state and/or federal labor law regulations.

Step 9: Contractor Selection. OEWD will assist the Client in selecting the lowest qualified bidder. Once the lowest qualified bidder is selected, OEWD will notify the Client of the contractor approval.

Step 10: Contractor's Agreement: The contractor and the Client shall sign a "Contractor's Agreement" establishing the final contract amount and project schedule.

Step 11: Sign Project Agreement. Once the project has been approved and the Contractor's Agreement has been signed, OEWD shall offer its financial commitment to the Client by signing a Project Agreement, which insures that all Program requirements are met and that the Client will not hold OEWD and the City liable for losses related to the Program.

Construction Phase

Step 12: Construction. The contractor shall carry out the façade and/or tenant improvement project. OEWD staff, and/or the architect may perform site visits during construction to assess progress, ensure compliance with labor standards, and to document the project.

Step 13: Completion/Inspection. Once the work is completed, OEWD and its architectural partner shall schedule a final walk-through and inspect the work for compliance with the Program Standards. The architectural firm shall certify completion by signing a Certificate of Completion. Client shall submit a payment request including paid invoices, proof of payments and completed job cards. OEWD will submit payment to client or contractor after project completion.

Post-Construction Phase

Step 14: Client's Obligations. The Client shall be required to fulfill the Client Obligations, as detailed in these Program Standards and in the Preliminary Agreement, including maintenance of the improvements for a period of at least three years following the

completion of the project. The Client agrees to display a Program sign on the premises for a period of at least three years.

☐ I have read and understand the Program Standards of the Office of Economic and Workforce Development's SF Shines Program

CLIENT

By: _____

Name: _____

Title: _____

Date: _____

CITY OF SAN LEANDRO

BUSINESS INCENTIVE PROGRAM | Program Guide

INTRODUCTION

The City of San Leandro (City) Business Incentive Program is designed to make aesthetic improvements to existing commercial buildings. The Business Incentive Program serves to stimulate investment and improve the appearance of businesses in order to make commercial districts more attractive.

The Business Incentive Program is a matching forgivable loan program offered to commercial building and business owners to assist with the cost of interior and exterior construction and renovations.

There are three different program types under the Business Incentive Program: the Commercial Incentive Program (CIP), the Restaurant Incentive Program (RIP), and the Craft Beverage Incentive Program (CBIP).

Improvement projects may be reimbursed for 50% of eligible costs to a maximum of \$45,000.

Commercial Incentive Program (CIP)

The Commercial Incentive Program is designed to support aesthetic improvements to existing commercial buildings. Eligible buildings may receive up to \$45,000 for exterior and interior improvements.

Restaurant Incentive Program (RIP)

The Restaurant Incentive Program is designed to attract and support new restaurants. The maximum matched funding amount is \$45,000 per restaurant.

Craft Beverage Incentive Program (CBIP)

The Craft Beverage Incentive Program is designed to attract new breweries and other craft beverage manufacturers. The maximum matched funding amount is \$45,000.

CRITERIA

The applicant must be the owner or tenant of the property within the City of San Leandro.

Eligibility Questions	Yes
Is the building located where it is highly visible and where it will be a sign of positive change within a particular business district?	
Are there other signs of positive change in the immediate area of the building or storefront that will be reinforced by the project?	
Does the existing building represent a reasonable utilization of the development potential of the site?	
Is the business innovative or creative? Does it have either the potential to attract new business energy or set a new direction for the particular business district?	
Are improvements of a high quality? Do they compliment the architectural character of the building and neighborhood? Do the improvements use quality materials and create a "made to last" feel?	

BUSINESS INCENTIVE PROGRAM | Program Guide

APPLICATION PACKAGE

The following list identifies all the documentation and information necessary to submit a complete application. If you have questions regarding any of these items please contact: Mariana Garcia, mgarcia@sanleandro.org, (510)577-3323.

1	APPLICATION FORM	Submit a completed application form.
2	COPY OF LEASE AGREEMENT	Tenants must include an affidavit from the property owner, permitting the proposed building and site modifications. Tenant will be required to verify that they have at least a five-year lease on the property. If the tenant has less than a five-year lease, the property owner is required to co-sign the loan agreement.
3	INSURANCE	Property Insurance with endorsement: -City named as loss-payee General Liability Insurance with endorsements: -Primary/ Non-contributory endorsement -City listed as additional insured -Waiver of subrogation Workers Compensation with endorsements: -Waiver of subrogation Commercial Auto Liability with endorsements: -Primary/ Non-contributory endorsement -City listed as additional insured -Waiver of subrogation Tenant Improvement & Betterments
4	PROJECT DESIGN	Project plans and drawings of sufficient detail for a Building permit.
5	ITEMIZED CONTRACTOR BID	Contractor's bid, with an itemized list of all improvements that applicant is proposing be covered under the loan agreement.

NOTE: To be eligible for reimbursement, do not start work until a loan agreement has been fully executed.

APPLICATION REVIEW

Once you have completed the application package (items 1-5), please contact the program manager, (Mariana Garcia, mgarcia@sanleandro.org, (510)577-3323 to arrange a pre-application meeting. You will then meet with the program manager to discuss the program and your completed application in order to determine if your project is a good fit.

BUSINESS INCENTIVE PROGRAM | Program Guide

LOAN AGREEMENT DETAILS

Loans are structured as an interest-bearing forgivable one to seven-year loan depending on the loan amount. The Project is evaluated annually by City staff to determine if it continues to meet the terms of the Loan Agreement. If no default occurs within the term of the agreement, the loan is forgiven. If a default occurs as defined in the agreement, the loan becomes due and payable immediately. At its discretion, City staff may work with the applicant to address the default and structure a repayment schedule.

Construction

Work must be completed within 12 months of the Loan Agreement effective date.

Maintenance and Participation Requirements

Upon notice of a change in ownership during the term of the Agreement, the loan may be assigned to the new applicant at the sole discretion of City staff.

Prevailing Wage

To the extent applicable to the project, all contractors and agents hired by the applicant shall comply with California Labor Code Section 1720 et seq. ("Prevailing Wage Laws") and shall be responsible for carrying out the requirements of the law. Applicants in the ICG Program are solely responsible for determining whether Prevailing Wage Laws apply to the project.

REIMBURSEMENT PROCESS

The City shall reimburse the applicant for the approved list of improvements upon written request specifying the amount and providing copies of proof of payment for the completed work. Completion of the approved work will be verified by City staff. The applicant shall submit requests for reimbursement of funds to the City not more than once per month during the term of the Loan Agreement.

Contact Us

Contact us to ask further questions about the program, discuss your project or to submit your application.

Call us: (510)577-3323

Email us: mgarcia@sanleandro.org

City staff can assist with:

- Application assistance
- Step-by-step guidance
- Language translation

CITY OF SAN LEANDRO ECONOMIC DEVELOPMENT DIVISION
 835 EAST 14TH STREET, SAN LEANDRO, CA 94577 | (510) 577-3323 | MGARCIA@SANLEANDRO.ORG

Date:

BUSINESS INCENTIVE PROGRAM APPLICATION

Applicant/Business Name			
Property Owner Name			
Site Address			
Mailing Address (if different)			
APN #		Daytime Phone	
Email		Business Tax ID #	

Business Incentive Type:

Commercial (\$45,000 max) ☐	Restaurant (\$45,000 max) ☐	Craft Beverage (\$45,000 max) ☐

PROJECT DESCRIPTION:

Estimated Total Project Cost	
Requested City Loan Amount*	

*Cannot exceed fifty percent of the estimated total project cost.

Applicant Statement: I have read this application and I understand the program guidelines.

Borrower Signature	Print Borrower Name	Date
Property Owner Signature	Print Property Owner Name	Date

Please attach the remaining application package items before submitting this application.

CITY OF SEBASTOPOL

City of Sebastopol Façade Improvement Program

Planning Department
City Hall, 7120 Bodega Avenue
Sebastopol, CA 95472
707-823-6167
<http://ci.sebastopol.ca.us>
AMontes@cityofsebastopol.org

Fiscal Year 2020-21
City of Sebastopol
Planning Department

CITY OF SEBASTOPOL FAÇADE IMPROVEMENT REBATE PROGRAM

Dear Business/Building Owner:

The City of Sebastopol offers a program aimed at encouraging local businesses and property owners to improve commercial and industrial buildings. Upgrades, maintenance, and aesthetic enhancements will benefit the entire community and enhance the local economy.

With these objectives in mind, subject to funding availability, the Sebastopol Façade Improvement Program will provide a *rebate* for expenses incurred on new exterior property improvements made to commercial or industrial buildings within the City of Sebastopol.

The program will reimburse a property owner or tenant for 75% of new improvements up to \$2,500. Eligible improvements include painting, new signage, awnings, landscaping, exterior lighting, and local permit fees. Façade building improvements (new windows, changing materials, etc.) are also eligible; however note that larger changes may require Design Review approval as well.

The objective of the Façade Improvement Program is to provide an incentive to property owners and/or tenants to enhance the physical appearance of buildings and landscapes. This public/private partnership investment is intended to leverage private capital with public funds for greater community economic benefit.

To apply for the program a building owner or tenant, with the owner's approval, should fill out the attached application and include bid estimates for the proposed improvement(s). The Planning Department then reviews the submitted application for completeness and batches them to be reviewed on a quarterly basis by the Design Review Board for approval. Deadlines for applications for Fiscal Year 2020-2021 are:

- Tuesday, October 20, 2020
- Tuesday, January 19, 2021
- Tuesday, April 20, 2021

It is anticipated that the Board will hear the Façade Improvement Submittals on November 4, 2020, February 3, 2021, and May 5, 2021. Note, funding is limited based on the adopted City Budget. Funding may be entirely allotted in early rounds.

Applications are required to be submitted a minimum of two (2) weeks before the scheduled Design Review Board Meeting. If an application is submitted after the quarterly deadline it may be pushed to the following meeting.

For approved projects, work must be done by June 30, 2021, and requests for reimbursement must be made in the same Fiscal Year as when the project was approved, no later than July 1, 2021.

If you would like to apply for or discuss the program in more detail, please contact me at (707) 823-6167, or email me at: AMontes@cityofsebastopol.org

Sincerely,

Alan Montes
Associate Planner

CITY OF SEBASTOPOL
FAÇADE IMPROVEMENT REBATE PROGRAM

APPLICATION FORM

1. Applicant Name: _____ Contact Person: _____

Phone # _____ E-Mail: _____

Business Name: _____ DBA: _____

Web site: _____

Property Address: _____

Mailing Address: _____ City: _____ Zip: _____

Total Building Sq. Ft: _____ Building Street Frontage: _____ Parcel # _____

Are you the: ☐ Owner/Occupant ☐ Tenant Expiration of Lease: _____

Please check one: ☐ Proprietorship ☐ Partnership ☐ Corporation

2. Type of Business or Businesses in Building: _____

3. Project Description: _____

_____

_____

_____

4. Estimated Costs:

Category	Bid Costs
A. Painting	\$ _____
B. Signage	\$ _____
C. Awnings	\$ _____
D. Landscaping and Irrigation	\$ _____
E. Exterior Lighting	\$ _____
F. City Permit Fees	\$ _____
G. Other (Attach separate complete list of all proposed improvements and breakdown of bid costs)	\$ _____

Total Estimated Cost \$ _____

CITY OF SEBASTOPOL
FAÇADE IMPROVEMENT REBATE PROGRAM

5. City permits required for the improvement:

☐ Design Review approval ☐ Encroachment Permit ☐ Building Permit ☐ No permits required

If permits are required, please indicate status of applications or approvals: _____

_____

_____

6. Estimated Date of Façade Project Completion: _____

Prior to submitting please verify that the following items have been filled out and provided:

1. Copies of signed bids for all improvements	☐ Provided	
2. Applicable, Architectural, Landscape, Sign, plans	☐ Provided	
3. Awning design (if applicable)	☐ Provided	☐ Not Applicable
4. Color and material samples for paint, awnings, signs, etc.	☐ Provided	☐ Not Applicable
5. Copy of Sebastopol Business License	☐ Provided	
6. Copies of any permits obtained	☐ Provided	
7. Application Form, signed and dated	☐ Provided	
8. Terms and Conditions Form, signed and dated	☐ Provided	
9. Maintenance Agreement Form, signed and dated	☐ Provided	
10. Indemnification Agreement Form, signed and dated	☐ Provided	

NOTE: DO NOT START ANY IMPROVEMENTS UNTIL APPROVAL

Name of Applicant: _____

Signature: _____ Date: _____

Name of Building Owner if different from Applicant: _____

(Print name) (Phone number) (Email address)

Property Owner signature: _____ Date: _____

CITY OF SEBASTOPOL FAÇADE IMPROVEMENT REBATE PROGRAM

TERMS AND CONDITIONS

I. Purpose

To encourage rehabilitation of commercial business fronts in designated target areas through the improvement of new signage, painting, landscaping, new facades, and more.

II. Eligible Improvements

- Landscaping and irrigation
- Painting
- New signage and awnings
- Exterior lighting
- Parking lot improvements
- New Facades
- In addition, Planning, Building and Public Works permit fees are eligible (i.e. Design Review Board, Building and encroachment permit fees)

III. Program Benefit

Cash rebate for 75% of the work, not to exceed \$2,500 for eligible improvements.

IV. Project Requirements

- Project location must be within the City of Sebastopol in a commercial or industrial zoning district.
- Building to be improved must be commercial or industrial in use, as determined by the Planning Department.
- Evidence of a current Sebastopol Business License is required.
- Evidence of property owner approval for the improvements shall be provided.
- Complete rebate application, including estimated costs, must be submitted and approved by the Planning Department *prior* to commencement of work.
- Evidence of any required Caltrans or City permits will be required for *all* applicable improvements *prior* to issuance of any rebate.
- All project improvements shall comply with current Sebastopol City codes and ordinances.
- All project costs must be documented and include invoice.
- Requests for reimbursements must be submitted to the City no later than June 1 of the same Fiscal Year that the project was approved, unless otherwise specified by the Planning Department.
- Contractors must be properly licensed.
- Applicant must provide evidence of liability and Workers Compensation Insurance.
- Contractor(s) and subcontractor(s) must comply with all laws and regulations pertaining to wages.

V. Exclusions

- Property with illegal sign(s). Applicant must remove illegal sign(s) prior to submitting application.
- Project improvements started prior to Planning Department written approval.
- New construction projects.
- Buildings termed as high or medium seismic risks or having other serious code violations with no plans to correct deficiencies within a reasonable time frame.
- Interior improvements
- Improvements not clearly visible from street frontage.
- Exterior improvements not approved by the Planning Department.

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CITY OF SEBASTOPOL FAÇADE IMPROVEMENT REBATE PROGRAM

- Improvements without proper and clearly defined documentation. (i.e. City Permits)
- Trading one type of service/job for another, rather than paying to have the service/job performed (i.e. no "bartering")
- Project costs paid for by CASH. (Must be paid for by check, credit card, or other approved, documented method)
- Seismic work
- Property improvements for a building sold within three (3) years.
- A property is not eligible for this program more than one (1) time.
- Owners of more than one (1) eligible property in the City are not eligible for more than two (2) grants per Fiscal year.

VI. Application Approval Process

- The Planning Department shall receive, review, and batch applications to be reviewed and acted on by the Design Review Board.
- The Design Review Board will review and approve all applications at quarterly meetings. It is anticipated that the Board will hear the applications at their November 4, 2020, February 3, 2021, and May 5, 2021 meetings.
- Applications are required to be submitted a minimum of two (2) weeks before the scheduled meeting in order to be placed on the agenda.
- The project may be denied without cause, due to such events as, lack of funds or a change in the scope or priority of the program or other program factors determined by the Planning Department, City Manager, or Design Review Board.
- The City reserves the right to cancel the program at any time.

VII. Display of Rebate Program Sign

Applicant *may be* required to display a Façade Improvement Rebate Program sign, from the date of rebate approval until the date of rebate funding.

VIII. Property Maintenance Agreement

The applicant must sign and submit the "*Façade Improvement Rebate Program Property Maintenance Agreement*" which states that the property must remain in good and attractive condition for a minimum term of three (3) years. It shall be the responsibility of the owner/lessee to inform subsequent owner(s)/lessee(s) of the provisions of this agreement.

IX. Sale of Property within 3 years of Rebate Funding

In the event the property is sold within three (3) years of the rebate funding, the building owner, whether they are the original applicant or not, agrees to repay the City a prorated amount equal to the proportion of the remaining three (3) years, rounded to the nearest year. Example, if the building is sold two (2) years after the rebate, the repayment amount would be 1/3 of the original rebate funding.

X. Accomplishment of Work

The applicant agrees to all improvements specified in the application and the Planning Department's recommendations and/or stipulations that work will conform to City standards. Under certain submittals applicant plans may be subject to design review or other requirements. Applicant shall carry out the design, construction, and operation of the Project in substantial conformity with all applicable laws, ordinances, statutes, codes, rules, regulations, orders, and decrees of the United States, the State of California, the County of Sonoma, the City, or any other political subdivision in which the property is located, and of any other political subdivision, City, or instrumentality exercising jurisdiction over the City, the Applicant or the Property, including all applicable federal, state, and local occupation, safety and health laws, rules, regulations and standards, applicable state and labor standards, prevailing wage requirements, the City zoning and development standards, City permits and approvals, building, plumbing, mechanical and electrical codes, as they apply to the Property and Project, and all

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CITY OF SEBASTOPOL FAÇADE IMPROVEMENT REBATE PROGRAM

other provisions of the City and its Municipal Code (as they apply to the Property and the Project), and all applicable disabled and handicap access requirements, including, without the limitation, the Americans With Disability Act, 42 U.S.C. § 12101 *et seq.*, Government Code § 4450 *et seq.*, and the Unruh Civil Rights Act, Civil Code § 51 *et seq.*

Supporting documentation may include an architectural rendering (depending upon the extent of the proposed improvements), landscape and irrigation plans, sign plans, paint chips and types of materials to be used and color schemes.

A deadline for the completion of all agreed-upon improvements will be determined at the Rebate Planning Department meeting and conveyed to the applicant in writing after application approval. If the improvements have not been completed by the deadline, the file may be closed, and the applicant may have to reapply for the program with written substantiation as to why they were unable to meet the deadline.

Upon completion of all agreed upon improvements, applicant **MUST** submit copies of cancelled checks (both sides), paid invoices/receipts, permit copies, proper prevailing wage documentation and a description of completed work and costs involved.

XI. Inspection of Project

Before, during and after improvements are being made, the City of Sebastopol or its designee shall have the right to inspect all work authorized under this program. No rebate check shall be issued until all improvements have been completed to the satisfaction of the inspectors, and the appropriate documentation have been received, reviewed and processed accordingly.

Name of Applicant: _____
(Please Print)

Signature: _____ Date: _____

Name of Building Owner If Different from Applicant: _____
(Please Print)

Signature: _____ Date: _____

CITY OF SEBASTOPOL FAÇADE IMPROVEMENT REBATE PROGRAM

PROPERTY MAINTENANCE AGREEMENT

The undersigned _____ (“Applicant”) proposes to undertake certain building exterior renovation and/or landscaping improvement work on commercial or industrial property located at _____ (Property Address) in the City of Sebastopol, California.

This agreement is conditional upon Participant’s receiving a Rebate from the City. By executing this agreement and accepting the Rebate from the City, the Participant promises to maintain the Property in good attractive condition for the term of this agreement, as specified below, as follows:

1. The appearance of the building exterior shall not be allowed to deteriorate due to such reasons as chipped or cracked paint.
2. Awnings shall be kept in good condition, safely secured, fully intact, clean and free from tears or tattered edges.
3. Landscaping on the grounds of the Property shall be kept in proper condition by watering and gardening work.
4. The Property shall be maintained in compliance with applicable building and zoning regulations of the City of Sebastopol.

In the event the Participant fails to maintain the Property in good and attractive condition as stated above within a three (3) year period commencing on the date the rebate is paid, and further fails to correct such defective maintenance within 60 days after receiving notice from a representative of the City of Sebastopol to do so, the Participant agrees to repay the City a prorated amount of the Rebate, and the Participant shall be liable to the City for such amount. The prorated amount shall be equal to the remaining three (3) year period.

This agreement shall be binding upon the owner/lessee and its successors, to said property for a period of three (3) years from and after the date of completion and approval of the improvements provided herein. It shall be the responsibility of the owner/lessee to inform subsequent owner(s)/lessee(s) of the provisions of this agreement. In the event the property is sold within three (3) years of the improvements, the owner agrees to repay the rebate back to the City in the form of a prorated amount of the remaining three (3) year period and the owner shall be liable to the City for such amount.

Name of Applicant: _____
(Please Print)

Signature: _____ Date: _____

Name of Building Owner If Different from Applicant:

_____
(Please Print) (Phone Number) (Email Address)

Property Owner signature: _____ Date: _____

CITY OF SEBASTOPOL
FAÇADE IMPROVEMENT REBATE PROGRAM

INDEMNIFICATION AGREEMENT

As part of this application, applicant agrees to defend, indemnify, release and hold harmless the City, its agents, officers, attorneys, employees, boards and commissions from any claim, action or proceeding brought against any of the foregoing individuals or entities, the purpose of which is to attack, set aside, void or annul the approval of this application or the adoption of the environmental document which may accompany it or otherwise arises out of or in connection with the City's action on this application. This indemnification shall include, but not be limited to, damages, costs, expenses, attorney fees or expert witness fees that may be asserted by any person or entity, including the applicant, arising out of or in connection with the City's action on this application, whether or not there is concurrent passive or active negligence on the part of the City.

If, for any reason any portion of this indemnification agreement is held to be void or unenforceable by a court of competent jurisdiction, the remainder of the agreement shall remain in full force and effect.

_____
Applicant Signature

_____
Date

NOTE: The purpose of the indemnification agreement is to allow the City to be held harmless in terms of potential legal costs and liabilities in conjunction with permit processing and approval.

Appendix F: FIP Before and After Photos

CITY OF ALAMEDA

Before

After

Before

After

Before

After

CITY OF EMERYVILLE

CITY OF FAIRFIELD

Before

After

Before

After

CITY OF SAN FRANCISCO

Before

After

Appendix G: Graphic Representation of FIPs in the SFBA

Appendix H: Other FIPs in California

[City of Atascadero](#)

[City of Palm Springs](#)

[City of Banning](#)

[City of Pismo Beach](#)

[City of Burlingame](#)*

City of Pittsburg*

[City of Carson](#)

[City of Placentia](#)

[City of Ceres](#)

[City of Rancho Cordova](#)

[City of Corning](#)

[City of Rosemead](#)

[City of Escondido](#)

[City of Roseville](#)

[City of Gilroy](#)*

[City of San Diego](#)

[City of Goleta](#)

[City of San Gabriel](#)

[City of Hesperia](#)

[City of San Marino](#)

[City of Kingsburg](#)

[City of Santa Cruz](#)

[City of Long Beach](#)

[City of South Gate](#)

[City of Ontario](#)

[City of Stockton](#)

City of Milpitas*

[City of Tracy](#)

[City of Modesto](#)

[City of Vacaville](#)

[City of Oakland](#)

[City of Vista](#)

* designates pilot program