

# **Small Business Advantage Grant Program**



**pennsylvania**

DEPARTMENT OF ENVIRONMENTAL PROTECTION

## **Funding projects that address:**

- Pollution Prevention
- Energy Efficiency

**Dec. 7, 2009 – Jan. 15, 2010**

For more information, visit  
[www.depweb.state.pa.us](http://www.depweb.state.pa.us), keyword: SBAdvantage  
7000-BK-DEP4272 12/2009

SECRETARY

December 7, 2009

Dear Friend:

On behalf of Governor Rendell, I am pleased to invite you to apply for the sixth round of the Small Business Advantage Grant program. The program provides Pennsylvania small businesses with 50 percent matching reimbursement grants of up to \$7,500 to implement pollution prevention or energy efficiency projects.

The small business community is critical to Pennsylvania's economic health and vitality. Well-designed pollution prevention and energy efficiency projects can help small businesses operate more efficiently and save money while simultaneously improving Pennsylvania's environment. Examples of eligible projects include HVAC and boiler upgrades, high-efficiency lighting, solvent recovery systems, waste recycling systems and auxiliary power units deployed as anti-idling technology for trucks.

The Small Business Ombudsman's Office will begin accepting applications for Small Business Advantage grants on Dec. 7, 2009, and will accept applications until Jan. 15, 2010, or until the funds are exhausted, whichever comes first. I encourage you to complete and submit your application in as timely a fashion as possible since applications will be reviewed for funding in the order in which they were received until the allocated monies for the 2009 grant round have been depleted. Funds for this program will be allocated on a first come first served basis.

Governor Rendell and I look forward to funding projects that are important to small business. For more information about the Small Business Advantage Grant Program, visit [www.depweb.state.pa.us](http://www.depweb.state.pa.us) and type in keyword: SBAdvantage or contact the Small Business Ombudsman's Office at 717.783.8411.

Sincerely,

A handwritten signature in black ink that reads "John Hanger". The signature is written in a cursive, slightly slanted style.

John Hanger  
Secretary

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# Small Business Advantage

The Pennsylvania Small Business Advantage grant program provides 50 percent reimbursement matching grants, up to a maximum of \$7,500, to enable Pennsylvania small businesses to adopt or acquire equipment or processes that promote energy efficiency or pollution prevention. Well-designed energy efficiency or pollution prevention projects can help small businesses cut operating costs and increase their competitiveness, while simultaneously protecting the environment. The department will begin accepting new applications for this program on Dec. 7, 2009. Funding is limited and projects are reviewed in the order in which they are received until the appropriated grant monies have been depleted or the grant round closes. Please note that no small business sector or industry group may exceed 25 percent of the total grant funding in any given fiscal year. Applicants are encouraged to submit completed applications in as timely a fashion as possible.

Due to the delayed program opening each application will be reviewed “as-is”. If applications are deficient or missing requested information, they will be returned to the applicant.

## IMPORTANT GRANT ELIGIBILITY INFORMATION

1. The annual energy consumption or pollution savings for the project must be at least 20 percent for the system being replaced or 20 percent of the entire business’s energy consumption pollution output.
2. Energy Star rated equipment is required if the type of equipment being installed is covered under the Energy Star program (refer to [www.energystar.gov](http://www.energystar.gov)).
3. Only project costs incurred after the application postmark, or date stamp for hand-delivered applications, will be eligible. No costs can be incurred prior to the grant opening date. No time extensions will be approved for the 2009 Advantage funding opportunity. No invoices for project work or materials dated prior to the grant opening date will be accepted for reimbursement. Grant funded project’s components must be completed by June 30, 2010.
4. Projects not eligible for the Small Business Advantage Grant:  
Window and through-wall air conditioning units, outdoor wood furnaces or outdoor wood boilers and wood stoves are not eligible for this grant. All vending and coin operated machines, including food and beverage coin operated machines, coin operated laundry machines, and coin operated car wash machines are not eligible. Weather envelope projects including roofing, siding, windows and doors are not eligible for this program. Solar PV and solar hot water are not eligible and should seek funding through the PA Sunshine Solar Rebate Program.

## Program Guidelines

### Eligible Applicants

An eligible applicant must be a small business owner whose facility is located within the Commonwealth of Pennsylvania. The project to which the grant will apply must be located within the applicant’s Pennsylvania facility. Most small businesses are eligible, including but not limited to manufacturers, retailers, service providers, mining businesses and agricultural concerns. Non-profit and tax exempt organizations are not eligible. The small business facility receiving the grant must be a primary source of employment for at least one full-time employee. An eligible applicant must be a for-profit business enterprise that is a corporation, limited liability company, partnership, sole proprietorship or other separate legal business entity that has no more than 100 full-time employees for the entire business worldwide. Residential rental units and dwellings are ineligible for this grant. Businesses that are attached to a residence are only eligible if the building is equipped with separate utility meters, a separate customer entrance and the property is zoned for commercial business. For additional applicant eligibility questions please refer to: Eligibility Guidance Document #1 – Who is Eligible, Page 19.

### Project Eligibility

Eligible projects must save the small business at least 20 percent annually in energy consumption or pollution related expenses. Eligible projects would install equipment that promotes energy efficiency or pollution

prevention, adopt processes that reduce energy consumption, reduce consumption of raw materials, increase the reuse of raw materials on-site, or reduce the production of waste. Some examples of eligible projects are: Energy efficient lighting, high efficiency furnaces, boilers and air conditioners, geothermal heat pumps, energy efficient refrigeration, process equipment upgrades, waste recycling systems or solvent recovery systems. Energy Star rated equipment is required if the type of equipment being installed is covered under the Energy Star program (refer to [www.energystar.gov](http://www.energystar.gov)).

Projects involving the purchase of commercially available Auxiliary Power Units (APUs), bunk heaters, or other anti-idling technologies listed on the USEPA Smartway Transport Partnership Web site for trucking concerns are eligible and must be in compliance with the Pennsylvania's Diesel Idling Restrictions – Act 124 of 2008. All equipment must be installed in Pennsylvania to be eligible for this grant. No other projects related to mobile sources are eligible for funding under this program. Projects involving the purchase and installation of high purity nitrogen tire inflation systems for use by small business's fleet vehicles are also eligible. Trucking business and owner/operators must be domiciled and pay taxes in Pennsylvania and must be able to prove that they are commercially licensed (CDL) by Pennsylvania. A photocopy of the Pennsylvania-issued CDL must be attached to the application.

Please visit the DEP Web site that describes Act 124 of 2008 – <http://www.depweb.state.pa.us> , keyword: Idling.

The department requires clear energy or pollution savings calculations that demonstrate the project provides at least a 20 percent annual savings over the equipment, process, business protocol, or system components that are being replaced. Power factor correction penalties are not eligible energy cost savings. Savings must be generated from reduced energy consumption or pollution output. In most cases, projects eligible for a Small Business Advantage Grant will be upgrades or replacements of existing equipment. However, in some instances, a project that involves a new business or facility with new equipment rather than an upgrade or replacement may be eligible. The applicant in such a case must show that the project or project component for which funding is sought provides a 20 percent savings over the average commercially available product or system of its type on the market today.

**For questions or concerns regarding the eligibility of your project, please contact the Office of Energy and Technology Deployment, by email at [epadvantagegrant@state.pa.us](mailto:epadvantagegrant@state.pa.us) or by phone at 717-783-8411 BEFORE SUBMITTING AN APPLICATION.**

### **Grant Amounts and Limitations**

The maximum amount of this grant is \$7,500, or 50 percent of total eligible project costs, whichever is less. Applicants may use their own funds or funds borrowed or granted through other Commonwealth programs, federal programs or private lenders to finance the 50 percent match requirement. This grant cannot be combined with the Small Business Energy Efficiency Grant.

A small business may submit more than one application within the funding period, which runs from Dec. 7, 2009 through Jan. 15, 2010; however, no business or business with ownership in common can be awarded more than \$7,500 from the program during the fiscal year, which is from July 1, 2009 through June 30, 2010. Business owners or business representatives with an ownership stake of greater than 20 percent in any one of multiple businesses subsidiaries may only receive up to the maximum grant award of \$7,500 per year for those subsidiaries.

### **Restrictions**

1. It is required that applicants be in compliance with all state, federal, or local laws, permits, or zoning requirements.
2. No Delinquencies

Neither the small business nor its principals may be delinquent on or in default of any taxes, loans or other obligations to the commonwealth. For purposes of this program, a "principal" is a person who possesses an ownership interest of at least 20 percent in the small business.

### 3. Conflicts of Interest

The small business and its principals and managerial officers must disclose any potential conflicts of interest with any Commonwealth of Pennsylvania officials or employees.

### 4. Ineligible Activities

Projects and project costs are not eligible if they relate to any of the following activities:

- Equipment and processes that are legally required and focus solely on pollution control, such as scrubbers, dust collectors or filters;
- Equipment or processes that were purchased or installed before the date that the fully-completed application was date stamped received by the Pennsylvania Department of Environmental Protection. For purposes of this program, "purchased" means that the project has been paid for or that the applicant has entered into an agreement legally requiring installation of the project prior to the application postmark date or received date-stamp;
- Routine maintenance or repair of existing equipment or processes – for example: roofing, siding, wiring, or steam trap replacements or equipment that has failed due to improper operation or faulty preventative maintenance;
- Labor costs of the applicant's own employees, even if such costs are incurred in the acquisition and installation of the project;
- Research and development projects, demonstration projects, or pre-production prototypes;
- Technology that is infeasible, unproven, unsound or unsafe; and
- Fuel switching projects for power generation or heating that install technologies that increase pollution output; and projects that increase net pollution.

### 5. Grant Termination

- The department may revoke a project approval upon the request of the applicant.
- The department may terminate a grant agreement and require the applicant to repay the grant if (i) the grant is used for any purpose other than the approved project; (ii) the applicant makes a material misrepresentation in the project application; (iii) the applicant fails to comply with the follow-up reporting requirement; or (iv) the project is not or will not be in compliance with all applicable federal, state and local laws.
- This grant may not be transferred or assigned to any other party absent explicit written approval from the department. Approval of any such transfer or assignment is in the sole discretion of the department.
- Applications, grant agreements, or reimbursement requests will be rejected and the applicant's grant file will be permanently closed if any grant processing deadlines are not closely adhered to by the applicant.

### **Authority**

Small Business Advantage is authorized by Section 204(h) of the Act of Dec. 19, 1996 (P.L. 1478, No. 190), known as the Small Business and Household Pollution Prevention Program Act (35 P.S. 6029.201 *et seq.*).

### **Application Form**

Only the current 2009 application, publication number 7000-FM-ETD0140, 11/2009, will be accepted for review. Applicants should maintain a copy of all documents submitted to the department in the event that they are contacted with questions or for clarification of application information.

## Abbreviated Advantage Program Funding Process Guide

1. Applicant visits the Small Business Grant Advantage Web site to review program funding announcements, project funding history, general etc.  
[www.depweb.state.pa.us](http://www.depweb.state.pa.us), keyword: SBAdvantage.
2. Applicant submits a complete application between Dec. 7, 2009 and Jan. 15, 2010.
3. Within about three weeks, the applicant receives a letter regarding the status of the application as being listed for further review, not meeting program eligibility requirements, or being returned for deficient or missing information. Applications being returned for information or clarification will lose review order priority and will be assigned a new number when the application is resubmitted in a more complete manner.
4. Within about 60 days, a letter is sent to the applicant stating approval or disapproval of the applicant's funding request.
5. If approved, the applicant is sent W-9 forms-Request for Taxpayer Identification Number and Certification.
  - a. To complete the W-9 form, the applicant is instructed to register with the Central Vendor Management Unit (CVMU) at 717-214-2868 or toll free at 1-866-775-2868 and obtain a vendor identification number.
  - b. The applicant must fax or mail a completed W-9 form to the CVMU.
  - c. The applicant must fax to 717-783-2703 or mail an identical W-9 form to the Small Business Ombudsman's Office, P.O. Box 8772, Harrisburg, PA 17105-8772 in order to start the grant agreement preparation process.
6. After receiving the completed W-9 form from the applicant, the grant agreement is prepared. Allow five weeks to receive the grant agreement. This time may vary based on the volume of applications received.
7. Applicant receives and signs the four original grant agreements and returns **all** documents in their entirety within 20 days from the date of the grant agreement transmittal letter.
8. Applicant receives fully executed grant agreement in about five weeks.
9. Applicant may now submit the Project Completion Report/Request for Reimbursement, along with all supporting documentation including proof of payment as described in Section 8 of the STEP-by STEP-Guide to Applying.
10. After collecting 12 months of energy or pollution prevention savings data, the applicant submits a One-Year Follow-Up report, Attachment F of the grant agreement, which includes actual quantities of energy, resources, or pollution prevented along with associated costs, etc., as requested in the report.
11. If the One-Year Follow-Up Report is satisfactory, there are no other commitments to be met by the grantee and the grant file is closed.

## Step-by Step-Guide to Applying

1. **Identify the Project.** Identify one or more pollution prevention (P2) and/or energy efficiency (E2) opportunities that will enhance your company's efficiency and productivity and develop a plan for a project to implement those opportunities. Ascertain the cost of the proposed project and determine the cost savings and potential environmental benefits that should result from the project's implementation. A consultant, equipment vendor or small business assistance provider can help determine the cost and savings by determining your current energy or resource consumption.
2. **Application.** Complete the Small Business Advantage Grant Application, which is on Pages 10 through 13 of this document and available electronically. Additional applications can be downloaded at [www.depweb.state.pa.us](http://www.depweb.state.pa.us) keyword: SBAdvantage or by mail from the department by calling 717-783-8411. The applicant's original hand printed name and title, hand-written signature, and the date are required in Section IX of the application. The applicants must hand-write and circle the word ADVANTAGE on the back of the envelope to clearly indicate the content of the envelope is an Advantage document. The applicant must similarly mark the back of each envelope mailed to the address below. Submit the completed application to:

**Department of Environmental Protection  
Office of Energy and Technology Deployment  
ATTN: Small Business Advantage  
P.O. Box 8772  
Harrisburg, PA 17105-8772**

3. **Application Criteria and Procedures.** The department will review the application and proposed project using the criteria below. The department will notify the applicant in writing of its eligibility determination within approximately 21 days of receipt of the fully completed application. The response time may be delayed if the department must request additional information from the applicant. After the application is determined to be complete and eligible, an approval determination will be provided to the applicant in writing within 60 days of the date of the determination of eligibility letter. The department makes every effort to process applications quickly; however, depending upon the volume of applications, processing delays can occur.

The following criteria must be met in order to be eligible for consideration:

- The applicable information is complete and legible. An original signature is required on the application form.
  - The project is technically feasible; and, the applicant has demonstrated its feasibility in the application.
  - The project is not a demonstration project, a research and development project or a pre-production prototype.
  - The applicant has provided sufficient information to enable the department to evaluate and verify the feasibility and soundness of the proposed equipment or technology, including the name of the manufacturer and a calculated annual savings of 20 percent or more.
  - The applicant is not in violation of any Pennsylvania, federal or local environmental law, regulation, permit or other legal requirement relating to environmental protection.
  - The PROJECT SCOPE/BENEFITS SUMMARY clearly describes the project to be implemented and specifies the equipment items' manufacturer(s); and the applicant has attached any brochures or technical information from the manufacturer or the distributor. The equipment manufacturer must have been producing the proposed project's equipment for at least one year.
  - The application is accompanied by a good faith estimate of the proposed energy savings or pollution prevention benefits of the project.
4. **Project Selection.** Project selection is made at the discretion of the department, and is further subject to the availability of funding.

5. **Project Implementation and Payment** - The applicant may begin to incur project costs after the grant opening date of Dec. 7, 2009, however, **doing so is at the risk of the applicant.** The department is not obligated to reimburse eligible project costs until a grant agreement is fully executed. The project must be completed no later than June 30, 2010.
6. **Project Scope Change Requests** - If a change in the project is being requested, complete the Change of Scope Request form and submit it as soon as possible. Each request for project scope change will be reviewed on a case-by-case basis. See page 18 – CHANGE OF SCOPE REQUEST. Due to the fiscal limitations of this program grant funding opportunity, there will be no time extension requests reviewed or approved.
7. **Lease Financing - The Small Business Advantage Grant funds are paid out on a reimbursement basis.** Therefore, the grantee must have paid for the project prior to requesting reimbursement from the state. If the project is financed through a lease arrangement, the applicant must have expended the total eligible cost of the project 1) by the project completion date, and 2) before submitting a Project Completion Report/Request for Reimbursement in accordance with requirements of the Small Business Advantage Grant Agreement.
8. **Project Completion Report/Request for Reimbursement.** Upon completion of the project, the applicant must submit a report containing the following information. See PROJECT COMPLETION REPORT/REQUEST FOR REIMBURSEMENT FORM on Page 14.
  - The name of the applicant and other owner information.
  - The name of the project.
  - The project completion date.
  - A summary of the work completed.
  - A report of the project's total cost, including an itemization of expenses, including dated copies of the original invoices for equipment or services to implement the project.
  - Proof of payment, which can be in the form of a vendor's invoice indicating a zero balance, front and back of a canceled check, a credit card receipt, or a letter from a lending institution stating that the project has been financed through a bank loan.
  - A summary of the original application's estimated project information included in sections VII. POLLUTION PREVENTION AND ENERGY CONSERVATION QUANTIFICATION and VIII. RESULTS - SUMMARY OF SAVINGS AS PERCENTAGES including any new estimates of savings or environmental benefits, including the applicable unit price (\$/gal, \$/kWh, \$/Mcf, etc.).
9. **Payment.** The grantee will be reimbursed for up to 50 percent of its total eligible project costs. The grantee must prove that they have paid for the project in the Project Completion Report/Request for Reimbursement. If the project is financed through a lease arrangement, the applicant will only be reimbursed for amounts paid through the end of the fiscal year or up to \$7,500.

After the grantee has implemented the project, a grant agreement is fully executed, the grantee has provided proof of project payment by one of the methods stated above and the department has approved the project completion report, payment will be made to the grantee through the Automated Clearing House, generally within 45 days.

10. **One-Year Follow-up Report.** The grantee must submit a follow-up report that includes twelve (12) months of savings data occurring after the project completion date. The completed report must detail the environmental benefits and financial costs and savings of the project realized over a 12-month period. The follow-up report is used to enable the department to assess the program's effectiveness. **Note-failure to provide the One-Year Follow-Up Report within 13 months of completion of the project may result in the revocation of the grant and will adversely affect your business application for future grant consideration.**

## GENERAL REQUIREMENTS FOR APPLICATIONS

Due to the late start, Dec. 7, the Advantage 2009 grant opportunity will not be able to collect additional application information that is not included with the original application as submitted. Each application will be reviewed “as-is”. If applications are deficient or missing requested information, they will be returned to the applicant. Prior years’ applications will be returned without review. Application versions 7000-BK-DEP3154 Rev 11/2009 or earlier will not be accepted.

Leaving an application field blank is not acceptable. If a portion of the application does not apply to a project, the abbreviation NA should be written in the information field. All application information must be provided or the application will be rejected. Providing “see attached” or providing lengthy appendices that are not in direct response to an application question are not acceptable.

Provide only whole numbers in the project costs or energy quantification costs. Round project numbers to the nearest even number. Project Completion Reports/Requests for Reimbursement should not include lengthy itemized lists of individual components, fixtures, or system fittings, etc. without an associated totalizing summary that reflects the overall project component and its eligible cost.

Type or print legibly all items except the owner’s signature in Section IX. Printed applications must be in black or blue ink.

If you need space for additional information, attach additional sheets of paper. Write the owner’s name and the section number at the top of all extra pages. Staple all the sheets together.

Provide an itemized cost of equipment, materials, etc. with your application. Provide product literature, specifications, brochures, etc. that would be helpful in evaluating your application. Also provide an itemized list of any contracted services necessary to implement the proposed project.

This program opportunity requires the submission of an employer identification number (EIN) for any grant project vendor that will be providing equipment or services valued at \$5,000 or greater.

**SECTION I. OWNER INFORMATION** – This section identifies the owner/company that is applying for the grant as well as the number of employees and other information about the company. Enter the number of employees for the entire company world wide. Also include your Employee Identification Number (EIN). All correspondence will be sent to the contact listed in this section of the application. If no information is provided in Section IV, the application will be returned as incomplete. If a subcontractor will not be used, write the word “NONE” in Section IV.

In the spaces provided, list the permit type, permit number, issuance date, and compliance status for any permitted processes or equipment at the company. Examples include, but are not limited to, the following: wastewater treatment systems, air purification systems, or water treatment systems.

**SECTION II. PROJECT INFORMATION** – This section includes basic project information. An example of a project name would be “Installation of high efficiency boiler or HVAC.” The grant request may be up to a maximum of \$7,500. The amount of the grant cannot be more than 50 percent of the total eligible project costs.

**SECTION III. PROJECT LOCATION** – This section identifies the project location. To identify the project location, use street name, rural route box, etc. A post office box number alone is not acceptable for the location. A complete mailing address must be provided for the applicant and the project separately if they are at different locations. This location is where the project investment is to be made and may or may not be the same as the owner’s address. Please note that grant program information, including the grant agreement, will be sent to the owner’s (or contact’s) address provided in Section I of the application and not to the project location.

**SECTION IV. PROJECT SUBCONTRACTOR** – This section identifies the project subcontractor(s), if any. An EIN is required for any vendor that will be providing equipment or services valued at \$5,000 or greater.

**SECTION V. PROJECT SCOPE/BENEFITS SUMMARY** – Provide a detailed description of the project, including what and how this funding will impact your business. Describe what the project will accomplish and a timetable for the project tasks. Explain how this project will reduce pollution or energy consumption and include an explanation of the economic and environmental advantages offered by this project over the current process or technology. Include any process audit recommendations resulting from a site assessment of the process or service you are improving. Simply stating "See Attached" is not acceptable and may cause the return of your application.

The project description must include a statement regarding the source of the 50 percent matching funds. Attach evidence of the amount, availability, and commitment of matching funds from third parties.

Applications will be returned for completion if any of the required information is not provided.

Provide a statement quantifying any energy or resource reduction along with any pollution or emission prevention; for example, kWh saved or pounds of waste not created, etc. Please provide the unit cost for each item, waste/emission or energy/resource listed in Section VII (\$/gal, \$/kWh, \$/Mcf, etc.) of the application.

**SECTION VI. EQUIPMENT/CONTRACTED SERVICES** – Provide a list of any equipment or contracted services to be funded by this project. Provide the equipment name, useful life in years, and the estimated cost of the equipment. Similarly, provide the service name, service purpose, and estimated cost of the service.

**SECTION VII. POLLUTION PREVENTION AND ENERGY CONSERVATION QUANTIFICATION** – This section displays the type(s) of pollution being reduced, the resource(s) usage being offset, and the energy reduction described in SECTION V. PROJECT SCOPE/BENEFITS SUMMARY. Total Cost Savings are also identified in this section.

- A. Type of Pollution, Waste, or Emissions – Use one line for each type reduced. Specify the type of pollution, waste, or emission, along with its current and projected generation and cost. Then calculate and list the estimated annual savings associated with this type of pollution, waste, or emission. Provide a total. Note: Anti-Idling technology applications need not complete section VII. A. but must complete VII. B.
- B. Energy and Resource Reduction – This section quantifies the annual energy and/or resource(s) (water, raw materials, etc.) that will be conserved as a result of implementing this project. Itemize the raw materials and energy being conserved by this project, including projected cost savings. Usage, costs and savings must be clearly identified in this section. Use one line for each energy or resource usage reduction that will be used to justify investment in this project.

**SECTION VIII. RESULTS – SUMMARY OF SAVINGS AS PERCENTAGES** – This section identifies the project's savings, as a percentage, related to pollution prevention (P2) and energy efficiency (E2).

Percentage Savings Calculation - Enter the Total Eligible Cost of this Project. Next, enter the Projected Annual Savings (A) for pollution, from Section VII. A. and the Projected Annual Savings (B) for energy efficiency resulting from this project, from Section VII. B. above.

The percentage savings can be calculated by dividing your Total Savings in either (A) or (B), determined above, by the cost of current annual quantities of the energy used and pollution generated without the project that you had entered in **Section VII. POLLUTION PREVENTION AND ENERGY CONSERVATION QUANTIFICATION**.

**SECTION IX. COMPANY COMMITMENT** – Type or print legibly the company name, the applicant name, and title of the owner. The owner must print or type his/her name and title, hand-sign the form and enter the date that the application was completed. The signature and date must be hand written and original.

**COMPLETE AND SUBMIT THE APPLICATION TO:** Department of Environmental Protection, Office of Energy and Technology Deployment, Attn: Small Business Advantage, P.O. Box 8772, Harrisburg, PA 17105-8772,

Note: An applicant may provide only one application per envelope. Envelopes containing multiple applications or multiple years' submissions will be returned.

## DEP AND OTHER USEFUL CONTACTS

### SMALL BUSINESS ADVANTAGE GRANT PROGRAM

David W. Barnes – (717) 783-8411

Program Manager

Office of Energy and Technology Deployment

Department of Environmental Protection

E-mail – [epadvantagegrant@state.pa.us](mailto:epadvantagegrant@state.pa.us)

### DEP Small Business Ombudsman

Julien F. Gaudion

Small Business Ombudsman – (717) 783-8411

Office of Energy and Technology Deployment

Department of Environmental Protection

E-mail the Ombudsman's Office – [depombudsman@state.pa.us](mailto:depombudsman@state.pa.us)

### SMALL BUSINESS POLLUTION PREVENTION ASSISTANCE ACCOUNT LOAN PROGRAM

Gene A. Del Vecchio – (717) 783-8411

Office of Energy and Technology Deployment

Department of Environmental Protection

### ENERGY AND POLLUTION PREVENTION RELATED INQUIRIES (REGIONAL OFFICES):

Northcentral Region: David Shimmel - 570-327-3568

(Counties: Bradford, Cameron, Clearfield, Centre, Clinton, Columbia, Lycoming, Montour, Northumberland, Potter, Snyder, Sullivan, Tioga, and Union)

Northeast Region: Janet Warnick - 570-826-2475

(Counties: Carbon, Lackawanna, Lehigh, Luzerne, Monroe, Northampton, Pike, Schuylkill, Susquehanna, Wayne, and Wyoming)

Northwest Region: Geoff Bristow - 814-332-6681 (Counties: Butler, Clarion, Crawford, Elk, Erie, Forest, Jefferson, Lawrence, McKean, Mercer, Venango, and Warren)

Southcentral Region: Robert Zaccano - 717-705-4797

(Counties: Adams, Bedford, Berks, Blair, Cumberland, Dauphin, Franklin, Fulton, Huntingdon, Juniata, Lancaster, Lebanon, Mifflin, Perry, and York)

Southeast Region: Heather Cowley - 484-250-5816

(Counties: Bucks, Chester, Delaware, Montgomery, and Philadelphia)

Southwest Region: Margaret Hall - 412-442-4137

(Counties: Allegheny, Armstrong, Beaver, Cambria, Fayette, Greene, Indiana, Somerset, Washington, and Westmoreland)

### **Business Assistance Providers that have Energy Assessment Capabilities:**

- [Pennsylvania's Small Business Development Centers – Environmental Management Assistance Program \(SBDC-EMAP\)](#) phone: 877-ASK-EMAP or internet: [www.askemap.org](http://www.askemap.org)
- [Pennsylvania's Technical Assistance Program \(PennTAP\)](#) phone: 814-865-0427 [www.penntap.psu.edu](http://www.penntap.psu.edu)
- [Electrotechnology Applications Center \(ETAC\)](#) [www.etctr.com/about.htm](http://www.etctr.com/about.htm)

### **Inquiries Regarding the Pennsylvania Uniform Construction Code:**

[http://www.dli.state.pa.us/landi/lib/landi/bois/asb\\_lead\\_ucc\\_updates/uccmun.htm](http://www.dli.state.pa.us/landi/lib/landi/bois/asb_lead_ucc_updates/uccmun.htm)

- Pennsylvania's Department of Labor and Industry  
Phone: 717-787-3806 then select option 1



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF ENVIRONMENTAL PROTECTION  
OFFICE OF ENERGY AND TECHNOLOGY DEPLOYMENT

## SMALL BUSINESS ADVANTAGE GRANT APPLICATION

INSTRUCTIONS ARE INCLUDED FOR YOUR REFERENCE  
INCOMPLETE APPLICATIONS WILL BE REJECTED

### I. OWNER INFORMATION (Type or Print Legibly)

Vendor ID # (if available) \_\_\_\_\_

Owner Name \_\_\_\_\_ EIN \_\_\_\_\_

Company Name \_\_\_\_\_ Number of Employees \_\_\_\_\_

Type of Entity:  Sole Proprietorship  Corporation  Partnership  Other \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Type of Business \_\_\_\_\_

Phone No. (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ FAX No. (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

E-mail Address \_\_\_\_\_

Contact Name \_\_\_\_\_ Phone No. (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Permitted Facilities must provide information on any permitted processes: Water, Wastewater, Waste Handling, or Air Emissions. Compliance Status: Check "yes" if in compliance with the permit requirements or "No" if not in compliance with permit requirements. If "No", please attach additional information explaining compliance status. Businesses not requiring permits please mark: **Not Applicable**

DEP Permit Type	Permit Number	Date Issued	Compliance Status	
1.			<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.			<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.			<input type="checkbox"/> Yes	<input type="checkbox"/> No

### II. PROJECT INFORMATION

Name \_\_\_\_\_

Type of Project (check one)  Replacement/Upgrade of Existing Equipment  New Construction

Amount of Grant Request \_\_\_\_\_ Estimated Project Start Date \_\_\_\_\_

Total Cost of Project \_\_\_\_\_ Estimated Project Completion Date \_\_\_\_\_

Total Eligible Cost of Project \_\_\_\_\_

### III. PROJECT LOCATION – PROVIDE 9 DIGIT ZIP CODE WITH ALL ADDRESSES

Address (PO Box NOT acceptable) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ 9-digit Zip Code \_\_\_\_\_

Municipality \_\_\_\_\_ County \_\_\_\_\_



**VII. POLLUTION PREVENTION AND ENERGY CONSERVATION QUANTIFICATION**

<b>Waste/Emissions- include unit A. price-\$/gal, \$/month, \$/ton, etc.</b>	<b>Current Annual Generation/Cost</b>	<b>Projected Annual Generation/Cost</b>	<b>Estimated Annual Savings</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
	Pollution, Waste, or Emissions SUB-TOTAL (A)		_____
<b>Energy/Resource include unit B. price-\$/gal, \$/kWh, \$/Mcf, etc.</b>	<b>Current Annual Quantity/Cost</b>	<b>Projected Annual Generation/Cost</b>	<b>Estimated Annual Savings</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
	Energy Usage/Resource Reduction SUB-TOTAL (B)		_____

**Note about new construction:** For assistance calculating savings for projects not involving the replacement of existing equipment or materials, it may be helpful to refer to the EPA Energy Star, Business Improvements website at [www.energystar.gov](http://www.energystar.gov).

**VIII. RESULTS - SUMMARY OF SAVINGS AS PERCENTAGES**

Total Eligible Cost of This Project	\$ _____
Estimated Annual Savings	
P2 - Pollution Prevention (A)	\$ _____
E2 - Energy Efficiency (B)	\$ _____
From Section VII. Part A. above	
Pollution prevention percentage	_____ %
(Estimated Annual Savings divided by the <b>Current Annual</b> Generation/Cost	
Multiplied by 100)	
From Section VII. Part B. above	
Energy conservation percentage	_____ %
(Estimated Annual Savings divided by the <b>Current Annual</b> Quantity/Cost	
Projected annual multiplied by 100)	

**IX. COMPANY COMMITMENT**

The Owner, President or CEO of the applying business must sign this document.

I certify that the information provided herein is true, accurate and complete to the best of my knowledge and belief. I have reviewed the grant guidelines and understand the requirements of this grant.

Name and Title: \_\_\_\_\_

Signature: \_\_\_\_\_  
(Original signature required)

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

**Please return the completed application to the:**

Department of Environmental Protection  
Office of Energy and Technology Deployment  
Attn: Small Business Advantage  
P.O. Box 8772  
Harrisburg, PA 17105-8772

**Please mail applications through US Postal Service.  
Completed applications will be accepted if mailed and  
postmarked between Dec. 7, 2009 and Jan. 15, 2010.**

**Write the word ADVANTAGE, and circle it, on the back of each application envelope or  
related submission.**

**Faxed or e-mailed applications will not be accepted. Hand delivered applications must be  
received by 4:00 p.m. on Jan. 15, 2010 and should be delivered to the following address:**

**Advantage Grant Program  
Rachel Carson State Office Building  
400 Market Street, 15<sup>th</sup> Floor  
Office of Energy and Technology Deployment  
Harrisburg, PA 17101**



**IV. ITEMIZATION OF EXPENSES**

TYPE OF EQUIPMENT, MANUFACTURER & MODEL NUMBER	COST
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

EQUIPMENT/CONTRACTED SERVICES	COST
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**V. PROOF OF PAYMENT**

Please attach copies of the original invoices or receipts indicating the actual cost to you for equipment or contracted services to implement the project. Proof of payment must be provided, which can be the vendor’s invoice indicating a zero balance or marked “paid” by the vendor, the front and back of a canceled check, a credit card receipt, or any other documentation which shows proof that the equipment and contracted services for the project were paid. **Please be aware that any purchases or payments made before the application postmark date will be considered ineligible as stated in the application instructions and will not be reimbursed.**

**Please return the completed report to the:**  
 Pennsylvania Department of Environmental Protection  
 Office of Energy and Technology Deployment  
 Rachel Carson State Office Building  
 P.O. Box 8772  
 Harrisburg, PA 17105-8772

**NOTE: ATTACHMENT "F" OF THE GRANT AGREEMENT EXECUTED WITH THE COMMONWEALTH OF PENNSYLVANIA IS THE "ONE-YEAR FOLLOW-UP REPORT". PLEASE PROVIDE A COMPLETED ONE YEAR FOLLOW-UP REPORT TO THE ABOVE ADDRESS – ATTENTION DAVE BARNES – WITHIN THIRTEEN MONTHS OF PROJECT COMPLETION. THE REPORT MUST BE PROVIDED OR THE GRANT FUNDS MUST BE RETURNED TO THE COMMONWEALTH OF PENNSYLVANIA.**



## ADVANTAGE GRANT PROGRAM ONE-YEAR FOLLOW-UP REPORT

Approximately one year ago your company was awarded grant funding from the DEP Advantage Grant Program to implement pollution prevention or energy efficiency (P2E2) improvements at your small business. The Small Business Advantage Grant Program is established to help small businesses refine their operations through the implementation of P2E2 improvements. A condition of accepting the grant funds is the submission of a follow-up report quantifying the benefits you are realizing since the P2E2 improvements were implemented at your company.

Please provide this report to our office within 30 days of the anniversary date of project completion.

**Note: Failure to provide the One-Year Follow-Up Report within 13 months of completion of the project will result in the applicant being listed as failing to agree to the terms of the contract. The applicant and small business will be barred from future financial assistance programs with Pennsylvania's Department of Environmental Protection.**

(Type or print legibly.)

### I. Owner Information

Owner Name \_\_\_\_\_

Company Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone No. (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ FAX No. (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

E-mail Address \_\_\_\_\_

Contact Name \_\_\_\_\_ Contact Phone Number \_\_\_\_\_

### II. Project Location

Site Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Municipality \_\_\_\_\_

County \_\_\_\_\_

1. Describe the impact this project has had on your business. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

III. P2E2 Improvements Implemented

Attach additional sheets of paper if necessary.

1. Pollution Prevention or Energy Efficiency Equipment you agreed to install. \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

2. Describe any problems experienced during project implementation. \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

3. Provide before/after Pollution Prevention and Energy Efficiency results

A. Type of Pollution, Waste, or Emissions

<b>Waste/Emissions- include unit price-\$/gal, \$/kWh, \$/Mcf, etc.</b>	<b>Pre-Grant Annual Quantity/Cost</b>	<b>Current Annual Quantity/Cost</b>	<b>Annual Savings</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Pollution, Waste, or Emissions SUB-TOTAL (A) \_\_\_\_\_

B. Annual Energy Usage/Resource Reduction and Costs

<b>Energy/Resource- include unit price-\$/gal, \$/kWh, \$/Mcf, etc.</b>	<b>Pre-Grant Annual Quantity/Cost</b>	<b>Current Quantity/Cost</b>	<b>Annual Savings</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Energy Usage/Resource Reduction SUB-TOTAL (B) \_\_\_\_\_

4. Please note if your small business has added equipment, increased output or added hours of operation since the completion of the energy efficiency project for which you received this payment.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

5. Is your company interested in sharing its pollution prevention and energy efficiency successes with others by acting as a mentor to other companies or serving as a success story?

\_\_\_\_\_  
 \_\_\_\_\_

**Please return the completed report to the:**

Pennsylvania Department of Environmental Protection  
 Office of Energy and Technology Deployment  
 Attn: Small Business Advantage Grant  
 P.O. Box 8772  
 Harrisburg, PA 17105-8772



## ADVANTAGE GRANT PROGRAM CHANGE OF SCOPE REQUEST

**Applicant and Project Name:** \_\_\_\_\_

**Project Change Requested:**  
\_\_\_\_\_

**Describe Reasons For This Change Request and Proposed Solution:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Describe Impact on Project (Time and Project Value (Cost?)):** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Preparer of This Change Request/Title/Date:** \_\_\_\_\_

**Original Applicant Signature:** \_\_\_\_\_

FOR DEPARTMENT USE ONLY	
<b>Change Request:</b>	<input type="checkbox"/> Approved <input type="checkbox"/> Denied
<b>Reason:</b>	_____
<b>Reviewer's Signature:</b>	_____ <b>Date:</b> _____
For Further Information Regarding Changes to Commonwealth Agreements, Please See the Following Attachment to Your Agreement:	
<b>REVISED 8/21/09 A ATTACHMENT – C GENERAL CONDITIONS – PART 3. CHANGES</b>	
Advantage Change Request No.: _____	Application FY/No.: _____
Business Name: _____	County: _____

## **Eligibility Guidance Document #1**

### **Who is Eligible**

#### **What types of business are eligible to participate in the Small Business Advantage Grant Program?**

- Most small businesses are eligible, including but not limited to manufacturers, retailers, service providers, mining businesses and agriculture businesses.
- Must be a for-profit business and be taxed as a for-profit business in the Commonwealth of Pennsylvania. Not eligible for this program: non-profits, tax exempt organizations, local governments or municipal organizations, churches, charities and social clubs.
- Must have 100 employees or less for the entire company. This includes the counting of all employees worldwide including: parent companies, subsidiaries, franchises, branch offices and businesses under management in common.
- Part-time employees must be counted towards the employee total for the small business applicant. Part-time employees should be added up to full-time equivalent employees. Small Businesses are still eligible if they have 100 full-time equivalent employees or less.
- Must be an independent small business with 100 employees or less for the entire organization. No franchises or organizational structures with over 100 employees are eligible. For the purposes of this grant program, franchises carrying a common business name that pay a royalty or franchising fee are not eligible for this grant program.
- All residential rental units and dwellings are ineligible for this grant. Not eligible for this grant program: rental housing, apartments, condominiums, student housing, independent living homes and extended stay hotels with monthly rentals. Businesses that are attached to a residence are only eligible if the building is equipped with separate utility meters, a separate designated customer entrance and the property is zoned for commercial business.
- Commercial real estate landlords are eligible if they meet these two requirements: The landlord must be a small business located within the Commonwealth of Pennsylvania. The building space or facility space being upgraded must be commercial space that is either currently occupied by a small business tenant or the space receiving the grant has a named small business tenant under contract for planned occupation.

Commonwealth of Pennsylvania  
Department of Environmental Protection  
Office of Energy and Technology Deployment  
P.O. Box 8772  
Harrisburg, PA 17105-8772