

# **Pennsylvania Energy Development Authority Financial Assistance Guidelines**

*Guidelines and Application Forms*



**pennsylvania**

DEPARTMENT OF ENVIRONMENTAL PROTECTION

7000-BK-DEP4267 Rev. 3/2010

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## **Section I – Introduction**

The Pennsylvania Energy Development Authority (PEDA) is offering funding for innovative, advanced energy projects, and for businesses interested in locating or expanding their alternative energy manufacturing or production operations in the commonwealth. PEDA will consider projects such as the manufacturing of alternative energy or energy efficiency equipment or materials; the development of innovative new alternative energy or energy efficiency technologies; the generation of alternative energy or the production of alternative fuels; the implementation of energy efficiency/demand side projects; or for energy education projects.

This program is authorized by the Pennsylvania Energy Development Authority and Emergency Powers Act, Act of Dec. 14, 1982, P.L. 1213, No. 280, as amended, 71 P.S. § 720.1 et seq.; the Act of July 13, 2005, P.L. 213, No. 45, amending the Environmental Stewardship and Watershed Protection Act, 27 Pa. C.S. §§ 6101 et seq.; the American Recovery and Reinvestment Act of 2009, Pub.L. No. 11-5 (2009) and through the settlement, approved by Order of Dec. 1, 2007, in Pennsylvania Public Utility Commission, et al. v. Duquesne Light Company (Docket Nos. R-00061346, R-00061346C0001, R-00061346C0002, R-00061346C0005 and R-00061346C0007).

## **Section II - General Application Conditions**

- All projects must include a research component.
- All projects must be in compliance with all applicable laws.
- Applicants must not have any outstanding obligations to the commonwealth, including payment of all state and local taxes, and must not have any unresolved environmental violations.
- Projects that support revitalization by reusing or redeveloping brownfields and previously developed sites in urban, suburban and rural communities are preferred.
- An approximate total of \$16 million is available under this solicitation. It is the department's intention to fund approximately 30 projects. No project will be accepted exceeding \$1 million. Of the \$16 million available \$2.4 million is reserved for Duquesne Light Services Territory.
- In order to maximize the number of grants awarded, proposals with scopes pertaining to other commonwealth programs may be referred to those programs for consideration, if authorized by the applicant.
- The activities funded must be conducted entirely or largely in Pennsylvania and the use of Pennsylvania contractors, suppliers, labor and products is preferred.
- Construction projects receiving state grant funds and having a cost in excess of \$25,000 may be subject to Pennsylvania's Prevailing Wage Act requirements. For information about the applicability of Prevailing Wage, applicants should contact the Pennsylvania Department of Labor and Industry at (717) 705-7256 or (800) 932-0665 or visit the Web site at [www.dli.state.pa.us](http://www.dli.state.pa.us). It is solely the responsibility of a grant recipient to ensure the Act is followed if applicable.
- Construction Projects receiving federal grant funds may be subject to federal laws governing wages through the American Recovery and Reinvestment Act of 2009.
- PEDA encourages minority and women-owned businesses to apply for program funding and encourages applicants to partner with or employ minority and women-owned businesses.
- PEDA encourages firefighters, police and other first responders to seek funding for alternative energy projects to provide backup power for critical operations.

- PEDA reserves the right to inspect any project financed with PEDA funds and to audit or require a third-party audit of any project's financial transactions or compliance with agreement terms.
- PEDA grant applications and information concerning the project evaluation are public information and subject to disclosure to the public upon request. Any information included in the grant applications that the applicant wishes the commonwealth to consider as proprietary must be on a separate sheet of paper and must be clearly marked as proprietary.
- The commonwealth reserves the right to reject any and all applications received as a result of this request.

## **Section III - Eligibility**

### **A. Eligible Applicants**

The following entities are eligible to apply for grants under this solicitation:

- Corporations, partnerships, limited liability companies associations and other legal business entities;
- Non-profit corporations;
- Pennsylvania colleges and universities; and
- Any Pennsylvania municipality and any public corporation, authority or body whatsoever.

All projects utilizing Duquesne Light settlement monies must be located in the Duquesne Light Service Territory or must demonstrate a direct benefit to the Duquesne Light ratepayers.

### **B. Eligible Projects**

- For purposes of this financial assistance, alternative energy projects means projects involving any of the following: solar energy; wind; low-impact hydropower; geothermal; biologically derived methane gas, including landfill gas; biomass; fuel cells; coal-mine methane; waste coal; integrated gasification combined cycle; demand management measures, including recycled energy and energy recovery, energy efficiency, load management; and energy education.
- With respect to solar energy, residential solar projects of any size and small business projects of 200 kW or less are not eligible for this solicitation, but are eligible for the Pennsylvania Sunshine Solar Program which became available spring of 2009. A small business is defined as a for-profit enterprise with 100 or fewer employees. Other solar projects may apply under this solicitation.
- With respect to alternative fuels, projects involving construction of new facilities for clean, alternative fuels for transportation and or refueling are eligible for assistance under this solicitation. Clean, alternative fuels projects involving the expansion of an existing facility or any other aspect of alternative fuels are encouraged to apply for assistance through the Alternative Fuels Incentive Grant Fund, which may be found at [www.depweb.state.pa.us](http://www.depweb.state.pa.us) under "Energy Topics."
- All proposed projects must include a research component directly related to alternative energy resources to be eligible for this solicitation.

### **C. Eligible Uses of Funds**

Funding under this solicitation may be used by the applicant for some or all of the following types of project costs:

- Purchase and installation of equipment used for the manufacturing of alternative energy or energy efficiency equipment or materials;
- The purchase and installation of energy facilities or equipment for the generation, production or distribution of alternative energy or alternative fuels;
- Design, construction or renovation of a building that will be used to manufacture alternative energy or energy efficiency equipment or materials;
- Design, construction or renovation of a building that will be used to produce alternative fuels;
- Design, construction or renovation of a facility that will be used for research and development related to innovative new alternative energy or energy efficiency technologies; and
- The actual renovation of a major facility to make it more energy efficient. Renovations must save at least 25% of the energy use of the system being replaced or 25% of the entire facility or building or applicant's energy consumption.

Ineligible costs include, but are not limited to, administrative costs, legal fees, travel expenses, food or entertainment costs and costs incurred prior to the PEDDA Board of Directors' approval of the application.

## **Section IV - Application Evaluation Criteria**

Applications will be reviewed by PEDDA and Department of Environmental Protection (DEP) staff, which will make recommendations to the PEDDA Board of Directors. PEDDA may call upon the Department of Community and Economic Development or outside technical experts to assist in the review process. The PEDDA Board of Directors will determine by vote whether to approve any and all applications.

Applications will be evaluated using appropriate criteria from the following comprehensive list:

- Technical and financial feasibility of the project;
- Project readiness and whether the applicant has demonstrated that it can complete the project within 18 months from date of award approval;
- The level of non-PEDDA matching investment in the project;
- Quantity of alternative energy or alternative fuel generated or produced by the project or the amount of conventional energy saved or peak load reduced by the project;
- Number and quality of jobs created or preserved by the project;
- Other economic benefits for the commonwealth, including savings to consumers and/or revenue generation for other beneficiaries such as farmers or other landowners;
- Environmental benefits resulting from the project;
- Extent to which the project provides educational benefits;
- Whether the project abides by the Keystone Principles (found at Appendix A);
- Whether any land use aspects of the project are consistent with local zoning and planning requirements;
- Whether the project is a partnership actively involving more than one Pennsylvania entity in a role that is not merely advisory; and
- Quality and relevance of the proposed research component.

- Whether the project will use disadvantaged business enterprise, which includes disadvantaged, minority women owned and small business enterprises;
- PEDAs encourages firefighters, police and other first responders to seek funding for alternative energy projects to provide backup power for critical operations.

## **Section V - Grant Agreement Conditions**

After the announcement of a grant award, PEDAs will forward a grant agreement to the recipient. Grant recipients will be required to execute the grant agreement, including a detailed scope-of-work, project schedule, budget and other requirements within a reasonable period of time, as determined by PEDAs.

Grantees that have not had previous contracts or grant agreements with the commonwealth will be required to obtain a vendor identification number through the Central Vendor Management Unit, and to submit a Form W-9, Request for Taxpayer Identification Number and Certification.

Grantees may be required to attend a meeting with PEDAs staff to review contract requirements.

Project activities may begin after the grant agreement has been fully executed. Grantees may seek reimbursement of costs incurred after the grant announcement and before the grant agreement is fully executed; however, PEDAs is not obligated to reimburse the grantee for any costs incurred before the grant is fully-executed, so any such pre-execution costs are incurred at the grantee's risk. Costs incurred before the grant announcement are not eligible for reimbursement.

Grants will be paid on a reimbursement basis after the grant is fully executed. All project invoices must be received no later than sixty (60) days after project completion. All invoices must be accompanied by documentation demonstrating that the invoice has been paid. For projects involving distributed generation for critical public infrastructure, PEDAs, in its sole discretion, may make some funds available in advance to appropriate grantees. Such grantees may include first responders, public hospitals and others providing critical public services.

Grant recipients must comply with all commonwealth requirements in the implementation of the project, and must secure all permits and approvals required in order for the project to proceed.

Grantees must properly manage and account for all funds received. A complete spending record will be required, including invoice receipts, logs of record and other properly certified documents. Failure to properly account for funds or the misuse of funds shall be grounds to revoke the grant. Progress reports must be submitted on a regular basis. The grantee must submit additional information as requested.

A final report detailing project successes, failures and measurable economic, environmental and energy benefits is required. Final payment may be withheld until successful implementation of the project has been demonstrated and a satisfactory final report has been received.

A Project Results Report detailing measurable economic, environmental and energy benefits of the project will be required one year after project completion. A Project Results Report form will be provided.

For projects involving construction or installation of facilities, development of a long-term operation, maintenance and replacement plan will be required by the grant agreement.

## Section VI - Application Submission, Deadline and Fees

Applications will be received anytime after the grant opening date of April 30, 2010 until the application deadline of June 15, 2010 at 4:00 p.m. Applications must be submitted, along with all required attachments, via the environmental eGrants system. An original ink signature page and payment of \$150.00 by check or money order must be submitted in accordance with the process outlined in the eGrants system.

E-mails, hard copy mailings, or faxes will not be accepted. Applications submitted after the closing date will not be considered. **Incomplete applications will not be considered.** Do not submit separate attachments other than those specifically called for in the instructions.

## Section VII - Grant Application Instructions

(Paragraph numbers below correspond to questions on the Application Form)

These instructions describe the information required to complete the application. The application form must be typed or printed neatly and all applicable parts completed. **Incomplete applications will not be considered.** Do not submit separate attachments other than those specifically called for in the instructions.

PEDA does not accept permanent bindings, coversheets of any kind, emails, compact discs or faxes. Use staples and double sided copies.

**Be sure to indicate your organization and sign the application.** The authorized representative signing this section must be authorized by a board of directors, governing entity, etc., as the legal signatory for the applicant and the person capable of entering into a contract with the commonwealth. The original application must contain an original signature which **MUST** be dated.

- 1. Project Title:** Give your project a descriptive title of no more than six words. Use this title for all correspondence regarding this project.
- 2. Project Site:** Provide the complete mailing address *of the project location*, including the nine-digit Zip Code (mandatory). Indicate the county(ies) and the municipality(ies) *where the project will be located*. If your project is statewide, or will take place in more than one county, check the box and list as many as possible.
- 3. Applicant Information:** Be sure to use the applicant organization's full business entity legal name. Fictitious names are not acceptable.
- 4. Type of Project:** Select the category that best describes project type.
- 5. Technology Type:** Select only one technology that best describes the technology your proposal addresses. If your project is multiple types, then please select the one which results in the most quantified environmental and energy benefits.
- 6. Discussion with Regional or Central Office Staff:** DEP strongly recommends, but does not require, that applicants discuss their proposal with the DEP regional staff where the actual work will take place. Contact names and phone numbers are included in this publication.

If you have contacted any DEP staff regarding this project, identify the staff members to whom you have spoken.

7. **Power for Sale:** If a project will potentially produce electrical power for sale to the power grid, the project description (Item #16B below) should include a description of steps taken to ensure grid access, such as a power purchase agreement.
8. **Facility or Infrastructure Projects:** For projects that involve developing facilities and infrastructure, state law requires DEP to consider local comprehensive plans and zoning ordinances in funding decisions.  
  
 “Infrastructure” is a permanent structure for transportation, sewer or water facility delivery systems, school, park, greenway or open space, electric or gas delivery system or telecommunication network. “Facilities” are buildings and other structures that involve new land development or result in a change to the existing use of land.
9. **Other Submissions:** Has this project proposal been submitted to any other state, federal or foundation grant program, or to any other potential funding source? If so, specify which programs have been solicited. Also include the date you expect to be notified of your award.
10. **Other Sources of Funding:** Occasionally, DEP receives applications for PEDAs Grants, which are eligible for, and may even stand a better chance of receiving funding through other grant programs. Checking “yes” on this question will allow us to forward your application for consideration by other grant agencies such as Pennsylvania’s Sustainable Energy Funds, The Ben Franklin Technology Partnership, other state grant programs and private foundations. Checking “yes” will, in no way, preclude consideration for PEDA grant.
11. **Project Duration:** Indicate the length of the project in months. Project must be completed within 18 months from date of award approval.
12. **Budget Summary:** Complete the budget data requested on the form. The bold black box will contain the amount of money you are requesting of PEDA. A budget worksheet must also be completed and attached to the application. The budget worksheet is intended to support, and provide detail to the budget summary. Provide sufficiently detailed budget information to illustrate the cost effectiveness of the proposal.

Matching funds are to be placed in the second column of the Budget Summary table and the source of any matching funds identified on Table 6 of the Detailed Budget Worksheet. All in-kind and cash match contributions **MUST** be substantiated by commitment letters. Match cannot include funds or in-kind services provided by DEP. All match must be expended during the grant period. Funds expended prior to the grant period of performance cannot be claimed as match.

Any of the following costs are allowable if the necessity to the project can be clearly demonstrated:

- Staff salaries and wages, and associated employee benefits, for employees working directly on the implementation of the project;
- Construction costs, including materials, equipment and labor;
- Contractual costs for design or construction of a project. Design costs are allowable only if they are a part of a construction grant; and
- Equipment that improves a property, building or facility and that has a lifespan of 20 years or more.

The following costs are not allowable for this solicitation:

- Administrative costs
- Salaries not directly related to the project



- Supplies not directly related to the construction of the project
- Travel
- Legal Fees

The following costs are never allowable:

- Costs associated with lobbying
- Entertainment
- Food
- Clothing such as hats or tee shirts

- 13. Periods of Reimbursement:** Attempt to identify the year in which your grant funds will be requested for reimbursement of expenditures. This information will assist DEP in budgeting for grant payments. Projects must be completed within 18 months from date of award approval.
- 14. Summary Statistics:** Summarize the expected **energy, economic and environmental results** or benefits, and define measures of success in quantitative terms in the table. Provide details in the project description of how these results were calculated, and how they will be measured upon completion of the project.
- 15. Detailed Budget Worksheet:** Provide detailed descriptions and cost estimates used to determine respective values summarized in the Budget Summary table (Item #12). The Detailed Budget Worksheet must be consistent with the Budget Summary Worksheet. Tables 1-5 are to be used only for requested PEDA funding. All matching funds must be entered in Table 6. Refer to Appendix B for a primer for fitting expenditures within budget categories.
- 16. Attachments (suggested maximum length – 10 pages total all attachments)**
  - A. Executive Summary:** This abstract of the proposal should briefly describe the core elements of the proposal, and the benefits to the commonwealth. It should be clear, concise, specific and no longer than 500 words.
  - B. Project Description:** Attach a detailed project description that provides the following information. Attach additional sheets as necessary.

Goals and objectives: Briefly describe the project's goals and objectives, including energy and environmental benefits.

Statement of Need and Justification of Funding: Describe how the proposed project meets the evaluation criteria listed in section IV.

The narrative justification for a project should include a clear description of expected economic, environmental and energy benefits. Such benefits will be major criteria for selection of projects and should include careful estimates and calculations. Estimates and calculations should include the economics (e.g., the cost per KWh, job creation, etc.) environmental improvements (e.g., pounds of pollutant reduction) and energy benefits (e.g., MWh of alternative energy generated, electricity usage reduced, etc.).

Applicants should show their ability to complete the project through a business plan, demonstrate the need for funding, and demonstrate the project's cost effectiveness for benefits received. These elements should be provided in a concise manner that relates directly to the project. Do not include proprietary information. For new companies, please include the executive summary of your business plan.

Partnerships: Identify any other organizations that will help to complete the project and specify the nature of their participation. If you have not yet identified your subcontractors, specify how you will select them.

Work Plan with Schedule: Provide an implementation schedule identifying sub-tasks, schedule for their completion, and naming parties responsible for their accomplishment. Please provide Federal Employer Identification Numbers for all proposed subcontractors.

Research Component: All proposals under this solicitation must include a research component. Describe the research component of the proposed project and explain how it will contribute to the development of alternative energy, energy efficiency or energy conservation.

Equipment Disposition: If applicable, describe how property or equipment acquired with the grant will be disposed of or converted for continued grantee use. PEDDA, at its option, may require equipment to revert to the state after completion of the project.

- C. Proposed Summary of Measurable Results:** Summarize the expected results or benefits and define measures of success in quantitative terms (listed in Item #14). Quantitative measures include, but are not limited to, items such as KWh or BTUs of energy generated or conserved, pounds of pollutants removed and number of jobs created and retained. A schedule to list such quantities is included in the application. Explain how these results will be measured in the project description.
- D. Keystone Principles:** Please briefly describe how the project will abide by the Keystone Principles. The Keystone Principles are included as Appendix A and are also available at [www.phmc.state.pa.us/bhp/pkp.pdf](http://www.phmc.state.pa.us/bhp/pkp.pdf).
- E. Matching Funds:** Document all in-kind services or match contributions. Attach all letters of financial commitment documenting matching funds or in-kind services to verify matching fund claims. No credit will be given for undocumented matching funds.

## **Section VIII - DEP Contacts**

Northcentral Region: Dave Shimmel – 570-327-3568

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

Northeast Region: Janet Warnick – 570-826-2511

(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: Bob 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)

Grants Processing, Application Submission and Deadlines:

DEP Grants Center – 717-705-5400

For Statewide Projects:

Project-Related Inquiries (Central Office)

Becky Campbell - 717-772-8959

## **Checklist For Submission**

1. Applications will be received anytime after the grant opening date of April 30, 2010 until the application deadline of June 15, 2010 at 4:00 p.m. Applications must be submitted, along with all required attachments, via the environmental eGrants system. An original ink signature page and payment of \$150.00 by check or money order must be submitted in accordance with the process outlined in the eGrants system.

E-mails, hard copy mailings, or faxes will not be accepted. Applications submitted after the closing date will not be considered. **Incomplete applications will not be considered.** Do not submit separate attachments other than those specifically called for in the instructions.

Payments are to be sent too:       DEP Grants Center PEDA  
  Rachael Carson State Office Bldg.  
  400 Market Street, 15<sup>th</sup> Floor  
  P.O. Box 8776  
  Harrisburg, PA 17105-8776

2. Attachments include:
  - A. An executive summary of your project (500 words or less)
  - B. A detailed project description as described in the instructions
  - C. A detailed accounting of the proposed annual project summary statistics
  - D. A detailed description as to how the project will abide by the Keystone Principals
  - E. Letters of financial commitment and any letters of support



7. Will the project potentially produce power for sale to the power grid?  Yes  No  
 If yes, please provide details of any power purchase arrangements in the detailed project description described in item 16B below.
8. Are facilities or infrastructure projects to be funded under this application?  Yes  No  
 If yes, is your project consistent with a county, municipal or multi-municipal comprehensive plan or zoning ordinance?  Yes  No
9. Has this proposal been submitted to another source for funding?  Yes  No  
 Name of other source and anticipated award announcement date: \_\_\_\_\_
10. May DEP share this proposal with other potential public or private funding sources?  Yes  No
11. Identify the project duration in months \_\_\_\_\_
12. Budget Summary (Must be consistent with the attached Detailed Budget Worksheet)

Category	Grant Request (from DEP)	+	Match (from Applicant)	=	Project Cost (Total)
Salaries/Benefits		+		=	
Equipment and Supplies		+		=	
Contractual		+		=	
Construction		+		=	
Other		+		=	
<b>Total for each column:</b>					

13. Indicate the total reimbursement you will request during the following periods (please ensure that the numbers add up to the requested grant amount):

**NOTE** - The timeframes below are for DEP budget purposes only. No funds will be reimbursed for any expenses incurred prior to the date of the grant award.

Aug. 17, 2010 - Feb. 17, 2011      \$ \_\_\_\_\_  
 Feb. 18, 2011 - Aug. 18, 2011      \$ \_\_\_\_\_  
 Aug. 19, 2011 – Feb. 17, 2012      \$ \_\_\_\_\_

14. Indicate the Proposed Annual Project Summary Statistics your project will return when completed. Applicants should enter as much data as possible. Must be consistent with detailed statistics provided in the detailed project description. Specify "NA" if not applicable.

A. Energy and Fuel Savings as a result of project deployment.

<i>(Insert more rows if necessary)</i>	Specify Type	Quantity	Quantity Produced over Lifetime of Project	Lifetime of Project in Years	Quantity	Quantity Produced over Lifetime of Project	Lifetime of Project in Years
electricity saved		Kwh/yr	Kwh		MMBTU/yr	MMBTU	
liquid fuel saved		Gals/yr	Gals		MMBTU/yr	MMBTU	
solid fuel saved		Tons/yr	Tons		MMBTU/yr	MMBTU	
gaseous fuel saved		MMcf/yr	MMcf		MMBTU/yr	MMBTU	

B. Energy and Fuel Generation as a result of project deployment.

<i>(Insert more rows if necessary)</i>	Specify Type	Quantity	Quantity Produced over Lifetime of Project	Lifetime of Project in Years	Quantity	Quantity Produced over Lifetime of Project	Lifetime of Project in Years
electricity generated		Kwh/yr	Kwh		MMBTU/yr	MMBTU	
liquid fuel generated		Gals/yr	Gals		MMBTU/yr	MMBTU	
solid fuel generated		Tons/yr	Tons		MMBTU/yr	MMBTU	
gaseous fuel generated		MMcf/yr	MMcf		MMBTU/yr	MMBTU	

C. Energy Saving or Generating Components manufactured, sold or deployed in PA

<i>(Insert more rows if necessary)</i>	Specify Type	Quantity
Units/components manufactured		
Units/components sold		
Units/components deployed		

- D. Cost Saving and Economic benefit as a result of project deployment.
  - 1. Energy/fuel cost savings (\$/yr) \_\_\_\_\_
  - 2. Energy/fuel cost savings over life of project. \_\_\_\_\_
  - 3. Energy/fuel generation/production Value (\$/yr) \_\_\_\_\_
  - 4. Energy/fuel generation production value over life of project \_\_\_\_\_
  - 5. Value of units/energy components manufactured, sold or deployed in PA (\$/yr) \_\_\_\_\_
  - 6. Value of units/energy components over life of project \_\_\_\_\_
  - 7. Revenue generated (\$/yr) \_\_\_\_\_
  - 8. Revenue generated over life of project \_\_\_\_\_
  
- E. Number of NEW jobs created by the Project
  - 1. Permanent full-time \_\_\_\_\_
  - 2. Permanent part-time \_\_\_\_\_
  - 3. Temporary full-time \_\_\_\_\_
  - 4. Temporary part-time \_\_\_\_\_
  
- F. Number of jobs retained resulting from Project
  - 1. Permanent full-time \_\_\_\_\_
  - 2. Permanent part-time \_\_\_\_\_
  - 3. Temporary full-time \_\_\_\_\_
  - 4. Temporary part-time \_\_\_\_\_
  
- G. Other economic development benefits
  - 1. Savings to Pennsylvania consumers (\$/yr) \_\_\_\_\_
  - 2. Revenue generated for other Pennsylvania companies and beneficiaries (\$/yr) \_\_\_\_\_
  - 3. Revitalization of Communities or blighted properties (#acres) \_\_\_\_\_
  - 4. Revitalization of Communities or blighted properties (building sq. footage) \_\_\_\_\_

H. Environmental Benefits

<i>(Insert more rows if necessary)</i>	Specify Type	Quantity	Quantity over Lifetime of Project
Air pollutant reduced	NOx	lbs/yr	lbs
Air pollutant reduced	SOx	lbs/yr	lbs
Air pollutant reduced	CO <sub>2</sub>	lbs/yr	lbs
Air pollutant reduced	Hg	lbs/yr	lbs
Air pollutant reduced		lbs/yr	lbs
Water pollutant reduced		lbs/yr	lbs
Water pollutant reduced		lbs/yr	lbs
Water conserved as a result of the Project		gals/yr	gals
Solid residual or hazardous waste reduced – not disposed of per year		lbs/yr	lbs
Solid residual or hazardous waste reduced – not disposed of per year		lbs/yr	lbs
Number of PA Citizens directly educated		persons/yr	persons

15. Please attach the Detailed Budget Worksheet. The following worksheet must be submitted with the application. Totals for each category should be entered on the application Budget Summary, Item 12.



16. Attachments (suggested maximum length – 10 pages total for all attachments).

- A. Attach an executive summary of your project (500 words or less).
- B. Attach a detailed project description as described in the instructions.
- C. Attach detailed accounting of the Proposed Annual Project Summary Statistics.
- D. Provide a detailed description as to how the project will abide by the Keystone Principles.
- E. Please attach any letters of financial commitment and any letters of support.

**Applicant:** I certify that the information in this application is true and correct to the best of my knowledge.

Submitted By: \_\_\_\_\_ Applicant Organization \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Printed Name Signature Title

## PENNSYLVANIA ENERGY DEVELOPMENT AUTHORITY DETAILED BUDGET WORKSHEET

Please use Tables 1-5 to calculate the total grant request (DEP funds.) All matching funds should be entered in Table 6 only.

**1. SALARIES/BENEFITS**

INDIVIDUAL	POSITION	HOURLY RATE	HOURS	BENEFITS	TOTAL COST
<b>TOTAL SALARIES/BENEFITS</b>					

**2. EQUIPMENT and SUPPLIES (Non-Construction-Related Costs)**

ITEM	QUANTITY	COST PER ITEM	TOTAL COST
<b>TOTAL EQUIPMENT &amp; SUPPLIES</b>			

3. CONTRACTUAL

A. CONTRACTOR SALARIES (List billing rate by task. Salary ranges are not acceptable, see instructions)

TASK	CONTRACTOR	HOURLY RATE	HOURS	BENEFITS	TOTAL COST
<b>TOTAL CONTRACTUAL SALARIES</b>					

B. OTHER CONTRACTUAL EXPENSES

ITEM	COST
Permitting Application Fees (List FEE only)	
Other (List specific item)	
<b>TOTAL OTHER CONTRACTUAL EXPENSES</b>	

C. TOTAL CONTRACTUAL (=A+B)

CONTRACTOR SALARIES	OTHER CONTRACTUAL EXPENSES	TOTAL CONTRACTUAL

4. CONSTRUCTION (List time and materials)

A. MATERIALS

TYPE OF MATERIAL:	COST PER UNIT:	COST
<b>MOBILIZATION COSTS</b>		
<b>TOTAL MATERIALS</b>		

B. LABOR

JOB:	TOTAL HOURS:	HOURLY RATE:	COST:
<b>CONSTRUCTION OVERSIGHT COST</b>			
<b>TOTAL LABOR</b>			

C. TOTAL CONSTRUCTION (=A+B)

TOTAL MATERIALS	TOTAL LABOR	TOTAL CONSTRUCTION

5. OTHER

ITEM	COST
<b>TOTAL OTHER</b>	

6. MATCH

Please use the following table to calculate matching contributions of cash, goods and services to be entered on the application form. Do not include other DEP provided funds or in-kind services. All items listed must be accompanied by a letter of commitment.

CONTRIBUTOR	BUDGET CATEGORY	DESCRIPTION	STATUS (applied for, pledged or in-hand)	VALUE in DOLLARS

APPENDIX A  
COMMONWEALTH OF PENNSYLVANIA KEYSTONE PRINCIPLES FOR  
GROWTH, INVESTMENT & RESOURCE CONSERVATION

PREAMBLE

The Keystone Principles & Criteria for Growth, Investment & Resource Conservation were adopted by the Economic Development Cabinet May 31, 2005. They were developed by the Interagency Land Use Team, a working group of the cabinet over two years. The Principles & Criteria are designed as a coordinated interagency approach to fostering sustainable economic development and conservation of resources through the state's investments in Pennsylvania's diverse communities.

The Principles lay out general goals and objectives for economic development and resource conservation agreed upon among the agencies and programs that participated in their development. The Criteria are designed to help measure the extent to which particular projects accomplish these goals.

The Criteria do not replace agency program guidelines or criteria. Rather, at each agency's discretion, they will either be integrated into existing program criteria (preferable) or used as additional, favorable considerations in the scoring or decision making process. The Principles and Criteria are designed to encourage multifaceted project development that will integrate programs and funding sources from a variety of state agencies into a comprehensive strategy to address issues affecting whole communities. There are two categories of criteria:

*Core Criteria*, where relevant, should be given primary consideration in all investment decisions made by Commonwealth agencies when making grants or loans to public or private projects using agency funds.

*Preferential Criteria* should be used by commonwealth agencies in all programs to which they are applicable to evaluate projects and make decisions on grants or loans using agency funds.

Projects are to be evaluated with the recognition that rural, suburban, and urban areas have different characteristics and needs, and that what might work in an urban area might not work in a rural area (the "Be Fair" standard).

The Cabinet also approved a process to implement the Principles and Criteria over the next six months during which each agency will determine how they will integrate the criteria into each of their programs. A committee of the Interagency Team, led by the Governor's Office, will review the plans and offer feedback with the goal of fine tuning the use of the Principles and Criteria for full implementation in the next calendar year.

# COMMONWEALTH OF PENNSYLVANIA KEYSTONE PRINCIPLES FOR GROWTH, INVESTMENT & RESOURCE CONSERVATION

## PRINCIPLES

1. **REDEVELOP FIRST.** Support revitalization of Pennsylvania's many cities and towns. Give funding preference to reuse and redevelopment of "brownfield" and previously developed sites in urban, suburban, and rural communities for economic activity that creates jobs, housing, mixed use development, and recreational assets. Conserve Pennsylvania's exceptional heritage resources. Support rehabilitation of historic buildings and neighborhoods for compatible contemporary uses.
2. **PROVIDE EFFICIENT INFRASTRUCTURE.** Fix it first: use and improve existing infrastructure. Make highway and public transportation investments that use context sensitive design to improve existing developed areas and attract residents and visitors to these places. Provide transportation choice and intermodal connections for air travel, driving, public transit, bicycling and walking. Increase rail freight. Provide public water and sewer service for dense development in designated growth areas. Use on-lot and community systems in rural areas. Require private and public expansions of service to be consistent with approved comprehensive plans and consistent implementing ordinances.
3. **CONCENTRATE DEVELOPMENT.** Support infill and "greenfield" development that is compact, conserves land, and is integrated with existing or planned transportation, water and sewer services, and schools. Foster creation of well-designed developments and walkable, bikeable neighborhoods that offer healthy life style opportunities for Pennsylvania residents. Recognize the importance of projects that can document measurable impacts and are deemed "most-ready" to move to successful completion.
4. **INCREASE JOB OPPORTUNITIES.** Retain and attract a diverse, educated workforce through the quality of economic opportunity and quality of life offered in Pennsylvania's varied communities. Integrate educational and job training opportunities for workers of all ages with the workforce needs of businesses. Invest in businesses that offer good paying, high quality jobs, and that are located near existing or planned water & sewer infrastructure, housing, existing workforce, and transportation access (highway or transit).
5. **FOSTER SUSTAINABLE BUSINESSES.** Strengthen natural resource based businesses that use sustainable practices in energy production and use, agriculture, forestry, fisheries, recreation and tourism. Increase our supply of renewable energy. Reduce consumption of water, energy and materials to reduce foreign energy dependence and address climate change. Lead by example: support conservation strategies, clean power and innovative industries. Construct and promote green buildings and infrastructure that use land, energy, water and materials efficiently. Support economic development that increases or replenishes knowledge-based employment, or builds on existing industry clusters.

6. **RESTORE AND ENHANCE THE ENVIRONMENT.** Maintain and expand our land, air and water protection and conservation programs. Conserve and restore environmentally sensitive lands and natural areas for ecological health, biodiversity and wildlife habitat. Promote development that respects and enhances the state's natural lands and resources.
7. **ENHANCE RECREATIONAL AND HERITAGE RESOURCES.** Maintain and improve recreational and heritage assets and infrastructure throughout the commonwealth, including parks & forests, greenways & trails, heritage parks, historic sites & resources, fishing and boating areas and game lands offering recreational and cultural opportunities to Pennsylvanians and visitors.
8. **EXPAND HOUSING OPPORTUNITIES.** Support the construction and rehabilitation of housing of all types to meet the needs of people of all incomes and abilities. Support local projects that are based on a comprehensive vision or plan, have significant potential impact (e.g., increased tax base, private investment), and demonstrate local capacity, technical ability and leadership to implement the project. Coordinate the provision of housing with the location of jobs, public transit, services, schools and other existing infrastructure. Foster the development of housing, home partnerships, and rental housing opportunities that are compatible with county and local plans and community character.
9. **PLAN REGIONALLY; IMPLEMENT LOCALLY.** Support multi-municipal, county and local government planning and implementation that has broad public input and support and is consistent with these principles. Provide education, training, technical assistance, and funding for such planning and for transportation, infrastructure, economic development, housing, mixed use and conservation projects that implement such plans.
10. **BE FAIR.** Support equitable sharing of the benefits and burdens of development. Provide technical and strategic support for inclusive community planning to ensure social, economic, and environmental goals are met. Ensure that in applying the principles and criteria, fair consideration is given to rural projects that may have less existing infrastructure, workforce, and jobs than urban and suburban areas, but that offer sustainable development benefits to a defined rural community.



## CRITERIA FOR GROWTH, INVESTMENT & RESOURCE CONSERVATION IMPLEMENTING THE KEYSTONE PRINCIPLES

### **I. Core Criteria**

- 1 Project avoids or mitigates high hazard locations (e.g., floodplain, subsidence or landslide prone areas).
- 2 Project/infrastructure does not adversely impact environmentally sensitive areas, productive agricultural lands, or significant historic resources.
- 3 Project in suburban or rural area: Project and supporting infrastructure are consistent with multi-municipal or county & local comprehensive plans and implementing ordinances, and there is local public/private capacity, technical ability, and leadership to implement project.
- 4 Project in “core community” (city, borough or developed area of township): Project is supported by local comprehensive vision & plan, and there is local public/private capacity, technical ability, and leadership to implement project.
- 5 Project supports other state investments and community partnerships.

### **II. Preferential Criteria**

#### **1. Development/Site Location**

- 1a Brownfield or previously developed site.
- 1b Rehabilitation or reuse of existing buildings (including schools and historic buildings).
- 1c Infill in or around city, borough, or developed area of township.
- 1d If greenfield site, located in or adjacent to developed area with infrastructure.
- 1e Located in distressed city, borough or township.

#### **2. Efficient Infrastructure**

- 2a Use of existing highway capacity &/or public transit access available.
- 2b Within 1/2 mile of existing or planned public transit access (rail, bus, shared ride or welfare to work services).
- 2c Use of context sensitive design for transportation improvements.
- 2d Use/improvement of existing public or private water & sewer capacity and services.

#### **3. Density, design, and diversity of uses.**

- 3a Mixed residential, commercial & institutional uses within development or area adjacent by walking.
- 3b Sidewalks, street trees, connected walkways & bikeways, greenways, parks, or open space amenities included or nearby.
- 3c Interconnected project streets connected to public streets.
- 3d Design of new water, sewer & storm water facilities follows Best Management Practices, including emphasizing groundwater recharge & infiltration, and use of permeable surfaces for parking and community areas.

#### **4. Expand Housing Opportunities**

- 4a Adopted county and multi-municipal or local municipal plans include plan for affordable housing; and implementing zoning provides for such housing through measures such as inclusion of affordable housing in developments over a certain number of units (e.g., 50), provision for accessory units, and zoning by right for multifamily units.
- 4b Project provides affordable housing located near jobs (extra weight for employer assisted housing).
- 4c Project adds to supply of affordable rental housing in areas of demonstrated need.

## **5. Increase Job Opportunities**

- 5a Number of permanent jobs created and impact on local labor market.
- 5b Number of temporary jobs created and impact on local labor market.
- 5c Number of jobs paying family sustaining wages.
- 5d Increased job training coordinated with business needs & locations.

## **6. Foster Sustainable Businesses**

- 6a Sustainable natural resource industry improvement or expansion: agriculture, forestry, recreation (fisheries, game lands, boating), tourism.
- 6b Business or project is energy efficient; uses energy conservation standards; produces, sells or uses renewable energy; expands energy recovery; promotes innovation in energy production and use; or expands renewable energy sources, clean power, or use of Pennsylvania resources to produce such energy.
- 6c Project meets green building standards.
- 6d Project supports identified regional industry cluster(s).

## **7. Restore/Enhance Environment**

- 7a Cleans up/ reclaims polluted lands and/or waters.
- 7b Protects environmentally sensitive lands for health, habitat, and biodiversity through acquisition, conservation easements, planning and zoning, or other conservation measures.
- 7c Development incorporates natural resource features and protection of wetlands, surface & groundwater resources, and air quality.

## **8. Enhance Recreational/Heritage Resources**

- 8a Improves parks, forests, heritage parks, greenways, trails, fisheries, boating areas, game lands and/or infrastructure to increase recreational potential for residents & visitors.
- 8b Historic, cultural, greenways and/or opens space resources incorporated in municipal plans and project plan.
- 8c Makes adaptive reuse of significant architectural or historic resources or buildings.

## **9. Plan regionally; Implement Locally**

- 9a Consistent county and multi-municipal plan (or county and local municipal plan) adopted and implemented by county and local governments with consistent ordinances.
- 9b County or multi-municipal plan addresses regional issues and needs to achieve participating municipalities' economic, social, and environmental goals. All plans (county, multi-municipal, and local) follow standards for good planning, including:
  - 1. *Is up-to-date.*
  - 2. *Plans for designated growth and rural resource areas, and developments of regional impact.*
  - 3. *Plans for infrastructure, community facilities, and services, including transportation, water & sewer, storm water, schools.*
  - 4. *Plans for tax base and fair share needs for housing, commercial, institutional, & industrial development.*
  - 5. *Identification of high hazard areas where development is to be avoided.*
  - 6. *Identification of and plans for prime agricultural land, natural areas, historic resources, and appropriate mineral resource areas to be conserved.*
  - 7. *Open space plan for parks, greenways, important natural & scenic areas and connected recreational resources.*
- 9c County and local ordinances implement the governing plans and use innovative techniques, such as mixed use zoning districts, allowable densities of 6 or more units per acre in growth areas, and/or clustered development by right, transfer of development rights, Specific Plans, and tax and revenue sharing.

## **APPENDIX B**

### **A Primer for Fitting Expenditures within Budget Categories**

This is a guide to help grantees determine the types of project expenditures allowable under most commonwealth grants.

#### **A. Salary**

In general, salaries for staff members contributing to the direct work of the project are eligible. Salaries are to be itemized by name and duties of staff members. This category cannot include any mark-up above the salary actually paid to employees for direct labor hours worked on the project, documented by timesheets. Benefits are covered separately below and other items of overhead are covered under "administration" below.

Students/graduate assistants, etc., will only be reimbursed on an hourly basis for actual work performed on the project. Hourly rates will need to be verified prior to grant award by providing appropriate documentation. Tuition/course credit is not a reimbursable expense.

#### **B. Benefits**

In general, fringe benefits that are proportional to hours worked for the grantee's staff, itemized by name and duties of staff members, for those contributing to the direct work of the project are eligible. Benefits commonly include, among other items, health insurance, retirement, FICA withholding, workers compensation, vacation, and sick leave. Vacation and sick leave cannot be logged on time sheets as contributing to the work of the project. They can be included pro rata under benefits.

#### **C. Equipment (A single item exceeding \$5,000)**

Equipment dedicated or directly related to the implementation of the project is generally eligible.

Some typical examples follow:

- Equipment dedicated to the project (which may be owned by commonwealth following grant close-out)
- Tools dedicated to the project

#### **D. Supplies (A single item less than \$5,000)**

Supplies not dedicated to the project are considered "administration" and are not eligible for these funds. Materials and supplies that are incorporated into the construction site and remain as an integral part of the construction should be listed under "construction" rather than under this category.

Some typical examples of administrative supplies ineligible for this funding follow:

- Office supplies dedicated to the project
- Postage for project mailings
- Other office costs dedicated to the project
- Materials or equipment that can travel from site to site that are used for the project (see construction category)

## **E. Contractual**

In some cases, a grantee may use a subcontractor to perform some or all of the grant work. Although the subcontractor selection process is determined by the grantee, the department encourages grantees to use subcontractors in the most cost effective and efficient manner possible. In general, for a construction grant, the “contractual” category should not exceed 25% of the construction costs.

If a subcontract is bid as time and materials, typical costs include:

- Salaries and benefits for direct work on the project when such services are not available from volunteers or grantee’s staff (itemized by names and duties of the consultant firm's staff members)
- Expenses for materials directly attributable to the project, i.e., substances that are incorporated into the project and left on site

## **F. Construction**

In some cases, a grantee may use a subcontractor to perform some or all of the grant work. Although the subcontractor selection process is determined by the grantee, the department encourages grantees to use subcontractors in the most cost effective and efficient manner possible. In general, construction costs for projects are eligible under many Commonwealth grant programs.

If a subcontract is bid as time and materials, typical costs include:

- Salaries/benefits for construction work not available from volunteers or grantee’s staff (itemized by names and duties of construction firm's staff members)
- Rental charges for construction equipment
- Materials that are expended, consumed or integral to construction, that is, those that remain on a construction site, e.g.:
  - o Trees
  - o Grass seed
  - o Mulch
  - o Rocks
  - o Concrete
  - o Gasoline or diesel fuels for equipment used in construction

## **G. Other**

This category should be used to a minimum extent and only used for items that do not fit the specific budget categories and/or only for expenses approved for this category. Items within this category should be discussed with your project advisor.

## **H. Match**

Match can be met with cash, in-kind goods and services or some combination of the two. Successful grantees should be certain to identify and document all match contributions with the submittal of the Statement of Expenditures. Match must be expended during the grant Period of Performance. Funds expended prior to the grant Period of Performance are not eligible.

Cash Match: Examples of documentation include but are not limited to:

- Copy of check from donor
- Letter of commitment from donor
- Federal grant award letter

Non-Cash Match: Charges allowed for match (rules for Federal funds may differ):

- Value of volunteers' donated time, including time to travel to work sites
- Rate related to nature of work, not to volunteers' usual charge rate, i.e.:
  - Manual labor would be calculated at prevailing rate for manual labor
  - Donated professional engineer's time would be at prevailing engineer's rate
- Costs associated with preparing an application for a grant
- Administrative costs
- Travel at state travel rates
- Publicity charges, public relations costs, advertisement fees, unless specific to the project
- Indirect costs not otherwise listed under an eligible category
- Land acquisition to the extent it is associated with the project

Costs claimed as match can be paid for with other sources of grants (for example, federal grants such as 319 grants, or grants from private foundations), from the organization's normal operating budget, or out of fundraising specific to the project.

Charges not allowed for match or for reimbursement:

- Any costs associated with lobbying, alcohol, or allowance for bad debts
- Contract contingency costs and other rate factors that do not reflect actual expenses
- Costs associated with legal action against the commonwealth
- Costs associated with illegal activities or substances
- Costs associated with goods or services for personal use of Board members, officers or others
- Other DEP-provided funds