

Small Business Advantage Grant Program



pennsylvania
DEPARTMENT OF ENVIRONMENTAL
PROTECTION

Funding projects that address:

- Pollution Prevention
- Energy Efficiency

July 25, 2012 – September 26, 2012

For more information, visit
www.dep.state.pa.us, keyword: SBAdvantage
0320-BK-DEP4365 Rev. 7/2012



pennsylvania

DEPARTMENT OF ENVIRONMENTAL PROTECTION

SECRETARY

Dear Friend:

On behalf of Governor Corbett, I am pleased to invite you to apply for the ninth round of the Small Business Advantage Grant program. The program provides Pennsylvania small businesses with 50 percent matching reimbursement grants of up to \$9,500 to implement pollution prevention or energy efficiency projects and assists various business sectors to transition into competitive markets.

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 July 25, 2012, and will accept applications until September 26, 2012, or until the funds are exhausted, whichever comes first. I encourage you to complete and submit your application in a timely manner since applications will be reviewed for funding in the order in which they were received until the allocated monies for the 2012 grant round have been depleted or until February 8, 2013, whichever occurs first. Funds for this program will be allocated on a first come first served basis.

Governor Corbett and I look forward to funding projects that encourage the use of renewable, alternative, and clean energy in Pennsylvania. For more information about the Small Business Advantage Grant Program, visit www.depweb.state.pa.us click on "Energy" and then click "Small Business Ombudsman's Office", or contact the Small Business Ombudsman's Office at 717.772.8909.

Sincerely,

Michael L. Krancer
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 \$9,500, 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 encourage growth of the energy infrastructure by helping businesses cut operating costs, while simultaneously protecting the environment. The Department of Environmental Protection (DEP or department) will begin accepting new applications for this program on July 25, 2012. 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, if DEP receives more applications than can be funded. Applicants are encouraged to submit completed applications in as timely a fashion as possible.

Each application will be reviewed “as-is”. If applications are deficient or missing requested information, they will be returned to the applicant. Applicants are encouraged to contact the program manager, Dave Barnes, at his email address listed on Page 11, to discuss the project’s scope and eligibility before it is submitted.

Program Changes for 2012

The 2012-2013 Small Business Advantage grant round requires two actions be completed prior to submitting an application to the program. Both of these actions have the potential to take three to five days to complete.

In order to avoid possible delays, applicants are encouraged to complete these two actions as soon as possible.

1. Commonwealth of Pennsylvania Vendor Registration Number:

An accurate Commonwealth of Pennsylvania Vendor ID number is required for each application. Applicants can obtain a Vendor ID number by visiting www.vendorregistration.state.pa.us, click on non-Procurement Registration Form, or by calling 1-877-435-7363.

2. Applicants must submit a current, properly completed W-9 with the application.

IMPORTANT GRANT ELIGIBILITY INFORMATION

1. The annual energy consumption or pollution savings for the project must be at least 25 percent of the system being replaced or 25 percent of the entire business’s energy consumption or pollution output. The project must save \$750 in addition to the 25 percent.
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).
3. Only project costs incurred on or after July 25, 2012 or the application postmark or date stamp for hand-delivered applications, whichever is later, will be eligible. No time extensions will be approved for the 2012 Advantage funding opportunity. No invoices for project work or materials dated prior to the grant application postmark date, or the date hand delivered will be accepted for reimbursement. Grant funded project components must be completed by June 30, 2013.
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. No vending or coin operated machines, including food and beverage coin operated machines, waste or recycling dumpsters, transportation containers, or composting receptacles. Coin operated car wash machines are not eligible. Weather envelope related projects including roofing, siding, windows and doors are not eligible for this program. Solar PV and solar hot water are not eligible. Funding for these projects may be available through the PA Sunshine Solar Rebate Program.
5. Projects are prohibited from receiving electric utility incentives and Small Business Advantage Grant funding. Applicants are encouraged to review Energy Efficiency incentive offerings from their utility and compare the offered benefits to the incentive offered by the Small Business Advantage Grant Program.

Applicants should choose the incentive which best suits their needs but will not be permitted to make use of both programs for one project.

6. Unless a project is classified as New Construction, Pollution Prevention, Material Recycling, Auxiliary Power Unit, Bunk Heater or Anti-Idling, registration and participation with ENERGY STAR Portfolio Manager (ESPM) is required if awarded a grant as described in Appendix 1.
7. ENERGY STAR Portfolio Manager:
For lighting, HVAC, industrial equipment or insulation/air sealing projects, participation with the ESPM program is required to be completed prior to agreement execution. Applicants are required to create an account, enter utility information and generate baseline reports as described in Appendix 1.

Program Guidelines

Eligible Applicants

1. Most small businesses are eligible, including manufacturers, retailers, service providers, mining and agriculture businesses.
2. 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.
3. Must have 100 employees or less for the entire company. This includes all employees worldwide for parent companies, subsidiaries, franchises, branch offices and businesses under management in common.
4. In order for part time employees to be counted, the small business applicant should include its full-time equivalent employees. Small Businesses are still eligible if they have 100 full-time equivalent employees or less.

Project Eligibility

Eligible projects must save the small business \$750 and at least 25 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, insulation/air sealing, 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).

Projects involving the purchase of commercially available Auxiliary Power Units (APUs), bunk heaters, or other anti-idling technologies listed on the EPA Smartway Transport Partnership website 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. 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 businesses 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. No other projects related to mobile sources are eligible for funding under this program.

Please visit the DEP website to learn more about Act 124 of 2008 – www.dep.state.pa.us, keyword: Idling.

The department requires clear and readily understood energy or pollution savings calculations that demonstrate the project provides at least a 25 percent annual savings, plus \$750, 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 25 percent savings over the average commercially available product or system of its type on the market today. Calculations of savings must be clear, concise and accompanied by equipment examples for comparison when proposing new construction.

For questions or concerns regarding the eligibility of the project, please contact the Office of Ext. Affairs, by email at epadventuregrant@pa.gov or by phone at 717-772-8909 BEFORE SUBMITTING AN APPLICATION.

Grant Amounts and Limitations

The maximum amount of this grant is \$9,500, or 50 percent of total eligible project costs, whichever is less.

A small business may submit more than one application within the funding period, which runs from July 25, 2012, through Sept. 26, 2012; however, no business or business with ownership in common can be awarded more than \$9,500 from the program during the fiscal year, which is from July 1, 2012, through June 30, 2013. 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 \$9,500 per year for those subsidiaries.

The applicant may make a deposit on a project to hold a project price or a contractor's commitment to perform eligible work.

Restrictions

1. Applicants must be in compliance with all state, federal, or local laws, permits and zoning requirements.
2. **No Delinquencies**
Neither the small business, its principals nor its contractor/vendor 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. **Franchises**
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.
5. **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 or focus solely on pollution control or pollution treatment, such as scrubbers, dust collectors or filters;
 - All residential rental units and dwellings are ineligible for this grant, including 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 the following 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. Authorization from the property owner must be obtained by the tenant if the tenant is the grant applicant. See the Land Owner Consent Form made a part of this document.
- Equipment or processes purchased or installed before the date that the fully-completed application was date stamped received by DEP. For purposes of this program, "purchased" means that the project has been at least 50 percent paid for or that the applicant has entered into an agreement legally requiring the project be installed 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.
- Fuel switching projects for power generation or heating that install technologies that increase pollution output; and projects that increase net pollution.

6. 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 at 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 2012 application, publication number 0320-FM-SBOO0140, 6/2012, 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.

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 the company's efficiency and productivity. 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 the current energy or resource consumption.
2. **Application.** Complete the Small Business Advantage Grant Application, which is on Pages 13 through 17 of this document. The completed application must be submitted between July 25, 2012 and Sept. 26, 2012. Additional applications can be secured at www.dep.state.pa.us, keyword: SBAdvantage or by phone from the department by calling 717-772-8909. (The applicants must hand-write and circle the word ADVANTAGE on the back of the envelope.) Submit the completed application to:

**Department of Environmental Protection
Office of Ext. Affairs
ATTN: Small Business Advantage
P.O. Box 8772
Harrisburg, PA 17105-8772**

3. **Application Criteria and Procedures.** The department will review the application and judge the proposed project using the eligibility criteria stated in this document. Applications that do not meet program eligibility requirements or lack required information will be deemed ineligible and returned to the applicant. If the application is determined to be complete and eligible, the applicant will be notified in writing within 60 days. The department makes every effort to process applications quickly; however, depending upon the volume of applications, processing delays can occur.
4. **Project Selection.** Project selection is made at the discretion of the department, and is further subject to the availability of funding.
5. Applicants selected for funding will receive a grant agreement approximately six weeks after the approval notification. The applicant must sign the grant agreements and return them within 20 calendar days.
6. If all conditions are met, the applicant will receive the fully executed grant agreement back within six weeks. Before a fully executed agreement will be provided to the grantee, the grantee must, if applicable, create an account with ESPM. A "Statement of Energy Performance," "Data Checklist" and "Facility Summary" are required unless the application is for new construction, pollution prevention, material recycling, APUs, bunk heater or other EPA verified anti-idling units.
7. **Project Implementation and Payment.** The applicant may begin to incur project costs after the grant application's postmark date; however, **doing so is at the risk of the applicant.** If the grant agreement is not approved and executed for any reason then no reimbursement will be made. 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, 2013. Due to the fiscal limitations of this program grant funding opportunity, no time extension requests will be reviewed or approved.
8. **Project Scope Change Requests.** If a change in the project is requested, a Change of Scope Request form must be completed and submitted as soon as possible. Each request for project scope change will be reviewed on a case-by-case basis. See page 22 – CHANGE OF SCOPE REQUEST.
9. **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.

10. **Project Completion Report/Request for Reimbursement.** Upon completion of the project, the applicant must submit a project completion report. See PROJECT COMPLETION REPORT/REQUEST FOR REIMBURSEMENT (PCR/RFR) FORM included in this booklet on Page 18. Grant disbursement cannot be made without approval of the above form (PCR/RFR).

11. **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 PCR/RFR. 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 \$9,500. Payment will be made to the grantee generally within 45 days of receipt of an approvable Project Completion Report/Request for Reimbursement. If grantee receives a rebate from a utility for any equipment or component submitted as part of this grant application, eligible project costs will be reduced by the amount of the rebate. Utility rebates may not be used for match.

12. **One-Year Follow-up Report.** The grantee must submit a follow-up report that includes 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.

Unless the project was for new construction, pollution prevention, material recycling, APU, bunk heater or anti-idling equipment, the grantee is required to update their ESPM account with data from all energy meters for at least 12 consecutive months after project completion. An updated “statement of energy performance,” “data checklist” and “facility summary” are required with the One-Year Follow-up report.

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 revocation of the grant and will adversely affect applications for future grant consideration.**

13. **Program Eligibility Criteria.** To be considered eligible for review, the applicant must submit the following two items with the application.

1. Vendor Registration Number – Information provided to obtain the Vendor Registration Number must be identical to information provided in Section I of the grant application.
2. A completed current Form W-9, Request for Taxpayer Identification Number and Certification.

The above two actions are required with the application.



SMALL BUSINESS ADVANTAGE GRANT APPLICATION

Each application will be reviewed "as-is." If applications are deficient or missing requested information, they will be deemed ineligible and returned to the applicant. Prior years' application forms will be returned without review. Application versions 7000-FM-OEA0140a 5/2011 or earlier will not be accepted.

All application fields must contain a response. 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. Stating "See Attached" without using the application area designated for the response will not be accepted.

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

If space is needed 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 the application. Provide product literature, specifications, brochures, etc. that would be helpful in evaluating the application. Also provide an itemized list of any contracted services necessary to implement the proposed project.

SECTION I. OWNER INFORMATION – This section identifies full legal name of 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 the Federal Employee Identification Number (EIN). All correspondence will be sent to the contact listed in this section of the application. This information must be identical to that on file with the PA Vendor Data Management Unit.

An accurate Commonwealth of Pennsylvania vendor ID number and a completed IRS Form W-9 are required. Attach the W-9 to your application. Both the vendor ID number and the W-9, can be obtained by visiting www.vendorregistration.state.pa.us, click on Non-Procurement Registration Form or by calling 1-877-435-7363.

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." The grant request may be up to a maximum of \$9,500. The amount of the grant cannot be more than 50 percent of the total eligible project costs.

Select the "Type of Project" based on whether the project is replacing existing equipment or is buying equipment for new construction.

Select the "Technology Type," checking all that apply to the project, options include, but are not limited to the following:

- A. Lighting (including lighting controls)
Energy Star Benchmarking required, unless new construction
- B. HVAC (Heating, Ventilation and Air Conditioning, including geothermal)
Energy Star Benchmarking required, unless new construction
- C. Industrial Equipment (refrigeration, pumps, compressors, etc.)
Energy Star Benchmarking required, unless new construction
- D. Insulation/Air Sealing of existing structure.
Energy Star Benchmarking required.

E. Pollution Prevention/Material Recycling

Energy Star Benchmarking not required

F. Auxiliary Power Units (APUs), Bunk Heaters or Anti-Idling equipment.

Energy Star Benchmarking not required

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. A complete mailing address must be provided for the applicant and the project separately if they differ. The project 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/VENDOR – This section identifies the project subcontractor(s), if any. Attach additional sheets if necessary. An EIN is required for any vendor or subcontractor that will be providing equipment or services to the project.

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.

SECTION V. PROJECT SCOPE/BENEFITS SUMMARY – Provide a detailed description of the project, including what and how this funding will impact the 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 impacted. Simply stating "See Attached" is not acceptable and may result in the application being deemed incomplete and returned to the applicant. When an application is returned, the applicant will lose their sequential numbering in the application order. If the application is resubmitted, a new number will be assigned to it.

Applications will be deemed ineligible and returned 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 prevented, 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, the estimated cost of the equipment and the amount of any electric utility rebate received for 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 and energy efficiency.

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 the 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 was entered in Section VII.

SECTION IX. COMPANY COMMITMENT – Type or print legibly the complete legal 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. The company name must match the company name used by the applicant to obtain their PA Vendor identification number.

COMPLETE AND SUBMIT ONE COPY OF THE APPLICATION TO: Department of Environmental Protection, Office of Ext. Affairs, 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 deemed ineligible and returned.

DEP AND OTHER USEFUL CONTACTS

SMALL BUSINESS ADVANTAGE GRANT PROGRAM

David W. Barnes – 717-772-5160

Program Manager

Office of Ext. Affairs

Department of Environmental Protection

Email – epadvantagegrant@state.pa.us

DEP SMALL BUSINESS OMBUDSMAN

Jay R. Moyer

Small Business Ombudsman – 717-772-8951

Office of Ext. Affairs

Department of Environmental Protection

Email the Ombudsman's Office – depombudsman@pa.gov

SMALL BUSINESS POLLUTION PREVENTION ASSISTANCE ACCOUNT LOAN PROGRAM

Gene A. Del Vecchio – (717) 772-8951

Office of Ext. Affairs

Department of Environmental Protection

ENERGY AND POLLUTION PREVENTION RELATED INQUIRIES (REGIONAL OFFICES):

Northcentral Region: Michelle Ferguson - 570-327-3783

(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: Mark Hand - 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
- Pennsylvania's Technical Assistance Program (PennTAP) phone: 814-865-0427 www.penntap.psu.edu

Inquiries Regarding the Pennsylvania Uniform Construction Code:

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



SMALL BUSINESS ADVANTAGE GRANT APPLICATION

(This checklist is provided to aid the applicant, and must be submitted with the application.)

- ☐ This checklist is Page 1 of the 2012 Advantage Application.
- ☐ The application is complete, legible and has an original signature. Every field has been completed, or has been marked "N/A" or "none". Printed applications are in blue or black ink.
- ☐ All fields in the application must have an entry to avoid return to the applicant.
- ☐ The W-9 form is attached to the application.
- ☐ The Vendor ID Number on the application has been verified to be correct for the applicant.
- ☐ The number of employees reported in Section I has been verified to be the total number of employees. This should be inclusive of employees of subsidiary companies, parent companies and other subsidiaries of the parent company. Part time employees are added up to full time equivalent.
- ☐ The company name, and address on the application **have been verified to be identical** to the company name and address listed on the W-9 form and registered with the Pennsylvania Vendor Data Management Unit.
- ☐ The ENERGY STAR Portfolio Manager "Statement of Energy Performance," "Data Checklist" and "Facility Summary" will be provided prior to execution of the grant agreement. This requirement is not applicable if the project is new construction, is a pollution prevention/material recycling project or is an auxiliary power unit, bunk heater or anti-idling project.
- ☐ Sufficient information has been provided to enable the department to evaluate the proposed project. This includes the manufacturer and model number for any equipment purchases and sufficient information to verify the calculated annual energy savings.
- ☐ The applicant has verified no electric utility rebate has been sought or will be sought for any component or equipment submitted as part of this application.
- ☐ Energy Star rated equipment is being proposed for grant reimbursement when the project equipment is in a category of equipment verified and rated by the Energy Star Program.
- ☐ Truck operators provide a copy of CDL.
- ☐ The applicant will save 25 percent plus \$750 through the implementation of this grant assisted project.
- ☐ The applicant has submitted the required one-year follow-up report for previously received grants.



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF ENVIRONMENTAL PROTECTION
SMALL BUSINESS OMBUDSMAN OFFICE

SMALL BUSINESS ADVANTAGE GRANT APPLICATION

INSTRUCTIONS ARE INCLUDED FOR YOUR REFERENCE
INCOMPLETE APPLICATIONS WILL BE REJECTED

I. OWNER INFORMATION (Type or Print Legibly) – SEE Application Instructions

Commonwealth of Pennsylvania Vendor ID # (required) _____

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. (____) _____ - _____

Contact Name _____ Phone No. (____) _____ - _____ Extension _____

Email Address _____

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

Technology Type (check all that apply)

☐ Lighting ☐ HVAC ☐ Industrial Equipment ☐ Insulation/Air Sealing

☐ Industrial Equipment (refrigeration, pumps, compressors, etc.)

☐ Pollution Prevention/Material Recycling ☐ Auxiliary Power Units, Bunk Heaters or Anti-idling

Amount of Grant Request _____ Estimated Project Start Date _____

Total Cost of Project _____ Estimated Project Completion Date _____

Total Eligible Cost of Project _____

* All entries marked * must agree with data on file with PA Vendor Data Management Unit. (www.vendorregistration.state.pa.us for first filing) (Questions: 717-346-2676 or 877-435-7363 toll free). Data on this application not in agreement with that supplied to Vendor Data Management will cause rejection or delay of application processing.

Address (PO Box NOT acceptable) _____

City _____ State _____ 9-digit Zip Code _____

Municipality _____ County _____

Name _____ EIN _____ Title _____
 Company Name _____
 Address _____
 City _____ State _____ Zip _____
 Phone No. (____) _____ - _____ Email _____

[illegible]

TYPE OF EQUIPMENT, MANUFACTURER & MODEL NUMBER	USEFUL LIFE (YEARS)	COST	ENERGY STAR RATED YES/NO

CONTRACTED SERVICE	SERVICE PURPOSE	COST	ENERGY STAR RATED YES/NO

VII. POLLUTION PREVENTION AND ENERGY CONSERVATION QUANTIFICATION

Waste/Emissions- include unit A. price-\$/gal, \$/month, \$/ton, etc.	Current Annual Generation/Cost	Projected Annual Generation/Cost	Estimated Annual Savings
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
Pollution, Waste, or Emissions SUB-TOTAL (A)			_____

Energy/Resource include unit B. price-\$/gal, \$/kWh, \$/Mcf, etc.	Current Annual Quantity/Cost	Projected Annual Generation/Cost	Estimated Annual Savings
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
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.

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 Current Annual Generation/Cost	
Multiplied by 100)	
From Section VII. Part B. above	
Energy conservation percentage	_____ %
(Estimated Annual Savings divided by the Current Annual 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 application guidelines and understand the requirements of this grant program.

Name and Title: _____

Signature: _____
(Original signature required)

Date: _____

Please return the completed application to the:

Department of Environmental Protection
Small Business Ombudsman
Office of Ext. Affairs
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 July 25, 2012, and Sept. 26, 2012.**

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

**Faxed or emailed applications will not be accepted. Hand delivered applications
must be received by 4 p.m. on Sept. 26, 2012, and should be
delivered to the following address:**

**Department of Environmental Protection
Small Business Ombudsman
Office of Ext. Affairs
Advantage Grant Program
Rachel Carson State Office Building
400 Market St., 2nd Floor
Harrisburg, PA 17101**

IV. ITEMIZATION OF EXPENSES

[illegible]

V. PROOF OF PAYMENT

Please attach copies of the original invoices or receipts indicating the actual cost 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 July 25, 2012 or the application postmark date whichever is later 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
Small Business Ombudsman
Office of Ext. Affairs
Rachel Carson State Office Building
P.O. Box 8772
Harrisburg, PA 17105-8772

NOTE: ATTACHMENT "G" 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 13 MONTHS OF PROJECT COMPLETION. THE REPORT MUST BE PROVIDED OR THE GRANTEE MAY BE REQUIRED TO RETURN THE GRANT FUNDS TO THE COMMONWEALTH OF PENNSYLVANIA.



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF ENVIRONMENTAL PROTECTION
SMALL BUSINESS OMBUDSMAN OFFICE

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 realized 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 grantee being listed as failing to agree to the terms of the contract. The grantee and small business may be barred from future financial assistance programs with Pennsylvania's Department of Environmental Protection.

Grantees are required to update their energy usage information in Energy Star Portfolio Manager for 12 months after project completion. An updated "Statement of Energy Performance," "Data Checklist" and "Facility Summary" are required, if applicable for this report to be accepted. Check when complete. ☐

(Type or print legibly.)

I. Owner Information

Owner Name _____

Company Name _____

Address _____

City _____ State _____ Zip _____

Phone No. (____) _____ - _____

Email Address _____

Contact Name _____ Contact Phone Number _____

II. Project Location

Site Name _____

Address _____

City _____ State _____ Zip _____

Municipality _____

County _____

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

Waste/Emissions- include unit price-\$/gal, \$/kWh, \$/Mcf, etc.	Pre-Grant Annual Quantity/Cost	Current Annual Quantity/Cost	Annual Savings
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
Pollution, Waste, or Emissions SUB-TOTAL (A)			_____

B. Annual Energy Usage/Resource Reduction and Costs

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

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 Ext. Affairs
 Attn: Small Business Advantage Grant
 P.O. Box 8772
 Harrisburg, PA 17105-8772



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF ENVIRONMENTAL PROTECTION
SMALL BUSINESS OMBUDSMAN OFFICE

ADVANTAGE GRANT PROGRAM CHANGE OF SCOPE REQUEST

Grantee 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 Grantee Signature: _____

For Further Information Regarding Changes to Commonwealth Agreements, Please See the Following Attachment to Your Agreement:

FOR DEPARTMENT USE ONLY	
Change Request:	<input type="checkbox"/> Approved <input type="checkbox"/> Denied
Reason:	_____
Reviewer's Signature:	_____ Date: _____
REVISED 2/2010 ATTACHMENT – C GENERAL CONDITIONS – PART 3. CHANGES	
Advantage Change Request No.: _____	Application FY/No.: _____
Business Name: _____	County: _____



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF ENVIRONMENTAL PROTECTION
SMALL BUSINESS OMBUDSMAN OFFICE

**SMALL BUSINESS ADVANTAGE GRANT PROGRAM
LAND OWNER CONSENT FORM**

This form should be completed only if both of the following are true:

- (1) The proposed project would be a permanent improvement to a structure or building, such as a lighting system upgrade, HVAC system or system component, air curtain, insulation or other equipment that the Project Applicant will not remove even if it moves to another location; and*
- (2) The Project Applicant leases rather than owns the structure or building to which this grant would apply.*

Project Applicant: _____	
Project Address: _____	
Building Owner: _____	
Building Owner Contact Information: _____ _____	
Lease Agreement Title and Date: _____	
Name of Parties to the Lease: _____ _____	
Term of Lease: _____	
I hereby certify that I am legal owner of the property at the Project Address listed above. I further certify that I have reviewed the Small Business Advantage Grant application for the proposed project, that I agree to the installation/performance of the proposed project, that the proposed project does not violate the terms of my lease or other agreement with the Project Applicant and that I have no plans to remove or dismantle the proposed project in the foreseeable future.	
By: _____	
Print Name: _____	Date: _____

APPENDIX 1

ENERGY STAR PORTFOLIO MANAGER – Note: This registration must be accomplished prior to the grant agreement being fully executed.

For lighting, HVAC industrial equipment or insulation/air sealing projects, the grantee must go online to www.energystar.gov/benchmark and register its energy consumption and fuel cost data with ENERGY STAR's Portfolio Manager Program. The applicant must:

A. Create a Portfolio Manager account:

Establish an account and create an online user name and password. Information is secure and will not be publicized. The username and password will be submitted to the applicant's email address. Keep this information in a safe place.

B. Define the building "space(s):"

Provide basic information about the building, i.e., address, age of building, building square footage, number of occupants and weekly operating hours.

C. Input 12 consecutive months of utility bill data for all "energy meters" used in the building:

At least one year's worth of consecutive energy bills from all energy sources will be required.

D "Share" the benchmarked building with DEP's Master Account PADEP-PASMALLBUSINESS:

Note: While viewing the facility, locate the "Sharing Data" feature. Click on "Add user to share this facility." Share with the Small Business Program's Master Account: PADEP-PASMALLBUSINESS.

E. Generate a "Statement of Energy Performance" and the associated "Data Checklist" and "Facility Summary" reports:

While viewing the facility, locate "Generate Statement of Energy Performance." Select the "Period Ending Date" which may coincide with the most recent month of utility data entered. Uncheck the "Statement for Display Purposes" (not needed) and then click "Generate Report."

F. Print out the three above-referenced reports and submit with your exceeded grant agreement.

Grantee must provide these reference reports in order for DEP staff to verify that a requirement is complete. Grantee should read through the "Data Checklist" and check (or initial) next to each data element to show that the applicant feels the information is complete. The grantee does not need to have a professional engineer or architect review and sign the documents submitted to DEP.

Grantees are required to maintain the account with 12 months of utility data after project completion and repeat steps 5 and 6 to generate new reports for submission with the One-Year Follow-up Report.

Note: **Pennsylvania Department of Environmental Protection staff will be unable to answer any questions about ENERGY STAR Portfolio Manager.** All questions regarding the use of ENERGY STAR Portfolio Manager must be directed to the training and technical assistance resources provided through the ENERGY STAR website. When logged into Portfolio Manager account, grantees should refer to the "Frequently Asked Questions," "Contact Us," and "Help" buttons located on the top navigation bar.

If you are having trouble setting up an account or prefer a presentation style learning format, please view one of the Portfolio Manager "pre-recorded" trainings found here, www.energystar.gov/businesstraining.

Commonwealth of Pennsylvania
Department of Environmental Protection
Office of Ext. Affairs
P.O. Box 8772
Harrisburg, PA 17105-8772