20 YEARS

Small Business Advantage Grant Program

2023-2024 Grant Guidelines

Funding Projects for

Pollution Prevention, Energy Efficiency & Natural Resource Protection

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Program Overview

The Department of Environmental Protection's (Department) Small Business Advantage Grant (SBAG) will be open for its twentieth round in 2023-2024. The SBAG provides reimbursement grants to Pennsylvania-based small businesses to adopt processes or acquire equipment which result in energy efficiency, pollution prevention, and natural resource protection. Funding can range from 50% or $5,000 (whichever is less) up to 80% or $8,000 (whichever is less) and will vary depending on environmental impact and project location (relating to Environmental Justice Areas).

The statutory authority for this grant is 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.). Grants may be used for natural resource or energy conservation, opportunities to reduce environmental contamination from air emissions and water effluents, or opportunities to develop and apply environmental improvement technologies and methods.

The small business community is vital to Pennsylvania's economy and is a valued partner in pollution prevention and energy efficiency improvements in the commonwealth. Eligible projects can provide significant savings to small businesses and help them operate more efficiently and economically. To be eligible, the applicant's business must be Pennsylvania-based, registered to do business in Pennsylvania, and a for-profit small business with 100 or fewer full-time equivalent (FTE) employees worldwide for the applicant business and businesses under common ownership/management. The proposed energy efficiency and/or pollution prevention project must save the small business applicant an annual minimum of $500.00 AND at least 20 percent in energy use or pollution related expenses. Natural resource protection projects must provide enough information for the Department to quantify the reduction of nitrogen, phosphorus, and sediment loadings reaching the receiving waterway.

The Small Business Ombudsman (SBO) Office will begin accepting new applications for this program on July 28, 2023 and will accept applications until March 22, 2024 or until the funds are exhausted for this fiscal year, whichever occurs first. Approximately $1 million in grants will be awarded on a first-come, first-served basis. Once all funding has been awarded, eligible applications will be placed on a waitlist in the event funding becomes available during the fiscal year. Applications remaining on the wait list at the end of the fiscal year will not be funded.

All applications must be submitted through the Commonwealth of Pennsylvania's Electronic Single Application (ESA) website. Paper application submissions will not be accepted. Links to the website are provided in the Step-by-Step Application Instructions found in Appendix 3 in this document. Only project costs incurred during the grant project period, from July 1, 2023 through June 30, 2024, are eligible.

What's New and Important

If you prefer a language other than English, See Appendix 4 for Language Access Resources!

Document Format:

The Small Business Advantage Grant Program Guidelines have been reformatted to be easier to navigate by potential applicants. The primary information you will need to submit an application is included in the main guidelines document. Topics such as Step-by-Step Application Instructions, business registration, SAP registration, Keystone Login information, application review and approval process, project completion and reimbursement, and language access resources are all included in various appendices that can be accessed and downloaded separately.

Funding Levels:

There will be three tiers of funding, available for all project types. Projects will be eligible for a maximum percentage of project costs or a maximum dollar amount, whichever is less. A project will be eligible for more funding if it is in an environmental justice (EJ) area, results in significant environmental savings, or both. See the Project Funding section for information on funding for multiple projects.

2023-2024 Funding Levels			
Project Attributes	Whichever is less, up to:		
All Eligible Projects	50%	or	$5,000
Eligible and located in Environmental Justice Area	65%	or	$6,500
Eligible and significant environmental savings	65%	or	$6,500
Eligible, located in Environmental Justice Area, and significant environmental savings	80%	or	$8,000

Grant Calculator Revisions:

No significant revisions were made to the Grant Calculator for this grant round. Minor edits were made to address issues identified during the prior grant round.

Eligible/Ineligible Updates:

Clarifications have been made to the applicant eligibility language relating to:

- Commercial real estate
- Property management companies
- Multiple application submissions
- New equipment purchases allowed for Natural Resource Protection projects

The Department of Environmental Protection values working with partners who share our view that diversity and equity are integral to success in restoring and protecting the environment for all Pennsylvanians. As we work to demonstrably improve the inclusivity of our programs and processes, we also encourage our partners to pursue increased inclusivity in their operations. In this way, Pennsylvania's natural resources are best protected as "the common property of all the people," as identified in our commonwealth constitution.

Application Submission Process Overview

The steps below provide an overview of the process to apply for Small Business Advantage Grant Program funding. Use the checklists on pages 6-9 to gather all the information and documents required to apply. Step-By-Step Application Instructions are provided in Appendix 3.

1. Identify the Project
   - Identify the equipment or process(es) that currently use energy inefficiently and/or create pollution or waste (in process or through disposal).
   - Identify the method (replacement or upgrade) through which energy efficiency can be improved or pollution or waste can be reduced or eliminated. Don't forget – multiple improvements can be made to the same equipment or process to increase the benefits of the project. For example, an applicant could choose to upgrade both their lighting and their refrigeration in the same proposal.
   - Consultation with a vendor, consultant, or small business assistance provider such as the Pennsylvania Technical Assistance Program (PennTAP) or the Environmental Management Assistance Program (EMAP) may be useful to determine your current energy use and environmental impact, as well as the potential benefits of different project types.

2. Obtain Quotes or Estimates
   - Applicants should work with their vendor or consultant to obtain estimates or quotes for the project.
   - These quotes or estimates MUST be itemized. The quote or estimate must show the following for each product: item description, quantity, price per unit, and total price. These itemized costs must match exactly to what is entered into the Project Costs tab of the Grant Calculator for your application.
   - These quotes must include the total project costs, not just those eligible for reimbursement under this program. However, eligible (products, equipment, supplies, etc.) and ineligible costs (labor, etc.) must be listed separately on the quote, invoice, or estimate.
   - If the project is already complete at the time of application, use the invoices provided by the vendor(s) or applicant if no vendors were involved. Quotes/estimates SHOULD be on the letterhead or other documentation of the vendor listed in the application. If this is not available or if a vendor is not used, applicants should use the Non-Vendor Supply Quote form.
   - Quotes or estimates should also have notations on them indicating the associated line item in the Grant Calculator (i.e. labeling E1, E2 from the Project Costs tab).
   - IMPORTANT: Costs, quantities, and item descriptions on quotes or estimates MUST match invoices submitted for reimbursement, unless prior approval for changes has been received. See Change of Scope form information.
   - Grant awards are based on the eligible costs identified in the quotes and estimates submitted with the application, so these need to be as accurate as possible.

3. Determine Eligibility
   - Determine who the eligible applicant is. In most cases this will be the business owner. In other cases, it may be the landowner. Review eligibility requirements here. Applicants should try to resolve any eligibility issues (i.e. registration status, landowner approvals, etc.) prior to applying to avoid a delay in awarding the grant. Applicants will have limited time after submission to correct any deficiencies identified by Department staff and failure to do so in the time specified may result in the application being denied.

- Determine the eligibility of the project type. If the specific project type is listed in the guidelines, review both the general eligibility and the project-specific eligibility to determine if the proposed project meets all requirements. If the specific project type is not listed, review the general eligibility requirements.

4. Collect Other Documents Required for Application Submission

- Depending on the project type, specific documents (in addition to the Grant Calculator, see below) are required to be submitted with the application.
- For all projects where equipment is being upgraded or replaced, product brochures, equipment specifications, and other product literature must be uploaded. Documents should include the product information (manufacturer, model, etc.), as well as specifics on energy use and/or pollution reduction potential detailed enough to verify financial/environmental savings.
- Contractor/Vendor quote(s), including itemized product (equipment, supplies, etc.) costs (item description, number of units, per unit price, and total price). The equipment-only costs in the quote must match exactly with what is entered into the Project Costs tab of the Grant Calculator. Non-eligible costs should be included in the quote but separated from eligible costs, and the total of the invoice(s) must equal the total proposed project costs.
- Any applicable utility bills including electric, natural gas, oil, fuel, and/or water bills, etc.
- The Landowner Consent Form, if applicable. See the Landowner/Tenant section of these Program Guidelines to determine if this form is necessary.

5. Complete the Grant Calculator

- Complete the Grant Calculator to determine potential cost, energy, and pollution savings of the proposed project.
- The Small Business Advantage Grant Calculator Instructions document is available to assist with completing the Grant Calculator. This document provides step-by-step instructions to complete the Grant Calculator for all project types, including the specific inputs or calculations required for the calculator to work correctly.
- Applicants will need to refer to the documentation provided by their vendor or consultant, or those provided by the applicant themselves relating to project costs, to accurately complete the Grant Calculator.

6. Apply for Grant Funding

- The next step in the process is to apply online for grant funding. Complete the Small Business Advantage Grant Application online at www.esa.dced.state.pa.us.
- Refer to the Step-by-Step Application Instructions in Appendix 3 of this guidance document. See above for documents that should be uploaded/attached with the application. Failure to submit the required documents may result in the application being deemed ineligible.

Helpful Hints:
- Review this entire document before you start the application to ensure you and your project are eligible to apply. Only Small Businesses are eligible. See Page 6 for a general checklist of the documents you will need before you start. Additional checklists for individual project types are listed after the primary checklist on pages 7-9.
- Instructional videos can be found on the Small Business Advantage Grant website to make the application process easier for you. Written step-by-step instructions can be found in Appendix 3.
- Apply for any utility and/or manufacturer rebates! Your vendor will be able to assist you with that process.
- If you have questions concerning your project, please contact the Small Business Ombudsman Office (717.783.9640) prior to beginning the application process.

Contact Information

Application Contacts:

- Questions on the Small Business Advantage Grant Program, grant eligibility, grant requirements, or the Grant Calculator; contact:

<div align="center">Pennsylvania Small Business Ombudsman Office</div>

General: All Staff		Financial/Application Processing: Caroline Zepp	Technical: Forest Edwards
Phone:	717.783.0909	717.772.5160	717.783.9640
Email:	RA-epAdvantageGrant@pa.gov	czepp@pa.gov	foedwards@pa.gov
Available:	8:00 am to 5:30 pm		

- Questions on the Online Application Process:
- Refer to the Help tab on the ESA grant application website or contact:

<div align="center">Department of Community and Economic Development (DCED) ESA Customer Service</div>

Phone:	833.448.0647
Email:	egrantshelp@pa.gov
Available:	8:30 am to 5:00 pm

Other Contacts:

Business Assistance Providers	
Environmental Management Assistance Program (EMAP)	877.275.3627
Pennsylvania's Technical Assistance Program (PennTAP)	814.865.0427
Emerging Technologies Application Center (ETAC)	610.861.5381

Pennsylvania Uniform Construction Code Inquiries	To Get a Vendor Number
Pennsylvania Department of Labor and Industry	Pennsylvania Office of the Budget
717.787.3806, Option 1	ra-psc_supplier_requests@pa.gov (Phone number will direct you back to the website.)
https://www.dli.pa.gov/ucc/Pages/default.aspx	Non-Procurement Vendor Registration https://www.budget.pa.gov/Services/ForVendors/Pages/Vendor-Registration.aspx Select "Non-Procurement"

Application Checklists

General Application Checklist

BEFORE YOU BEGIN: We recommended gathering the information and paperwork needed to complete the application. This checklist will save you time and money.

Here's what you'll need:

☐ Either your Federal EIN number for corporations, or your Social Security number for sole proprietors.

☐ Commonwealth Vendor Number: A Vendor Number (also called an SAP Vendor Number) is required to receive your grant from the commonwealth. If you do not have a Vendor Number, you will not be able to submit the application until you obtain one. See instructions in Appendix 1. To obtain a Non-Procurement Vendor Number, click here and complete the registration after selecting 'Non-Procurement.'

☐ Your permit number(s) and issuance or expiration dates for all permits issued through the Department, such as for radiation use (X-rays), hazardous waste disposal, concentrated animal feeding operations, air quality permits, etc., and your compliance status for all permits.

☐ Copy of your Supplier/Vendor quote, including itemized product (equipment, supplies, etc.) costs (item description, number of units, per unit price, and total price) marked with corresponding designations from the Project Costs tab of the Grant Calculator (E1, E2, etc.). The itemized costs in the quote must match exactly with what is entered into the Project Costs tab of the Grant Calculator. Include potentially ineligible costs in the quote but separate those costs from potentially eligible costs. Final eligibility of costs will be confirmed by Department staff.

☐ Product brochures or other descriptive literature for the equipment or supplies you are purchasing.

☐ Your supplier/vendor's legal business name, Federal EIN number, complete address, and phone number, as well as the name, phone number (cell phone preferred), and email of the primary contact with whom you are working.

☐ If you are replacing equipment that has an associated utility bill [electric, natural gas, oil, solar (with grid sell-back provision), water, etc.], obtain a copy of your most recent utility bill(s) related to the type(s) of energy you will be reducing. You will need all affected utility bills if your project reduces energy use.

☐ For projects involving APUs, the Department may request a copy of your Pennsylvania-issued CDL or verification of employee CDL, if required.

☐ Pre-project photos – Required for Natural Resource Protection Projects, requested but not required for all other project types. Post-project photos will be required for all project types.

Department forms you will need prior to starting your application (available at the Small Business Advantage Grant website):

☐ Grant Calculator (complete electronically and save to your computer).

☐ Landowner Consent Form – Required for any landowner/tenant arrangement. See Tenant/Owner Applicants to determine if the owner or the tenant is the appropriate applicant.

In addition to the general requirements noted above, below are specific checklists by project type.

Lighting Checklist

Here's what else you'll need:

☐ Existing Fixtures: fixture type, number of bulbs/tubes per fixture, bulb/tube and ballast wattage, number of fixtures, hours per day and days per year fixtures operate, and whether fixtures have timers, photocells, or motion detectors.

☐ New Fixtures: fixture type, number of bulbs per fixture, bulb wattage, number of fixtures, hours per day and days per year fixtures operate, whether fixtures have timers, photocells, or motion detectors, and the ES/DLC certification status.

☐ Electricity rate as cost per kilowatt hour (from utility bill).

HVAC Checklist

Here's what else you'll need:

☐ Type, quantity, and model number of existing and new units.

☐ Capacity in BTU/hr for existing and new units.

☐ Cooling units: efficiency in EER, SEER, or IEER of existing and new units (on the nameplate or datasheet).

☐ Heating Units: efficiency in HSPF of existing and new units (on the nameplate or datasheet).

☐ Electricity rate as cost per kilowatt hour (found on or calculated from utility bill).

Boilers Checklist

Here's what else you'll need:

☐ Determine the fuel source of the new and existing boilers (fuel oil, natural gas, electricity, etc.).

☐ Electricity rate as cost per kilowatt hour, cost per gallon, or cost per cubic foot, depending on fuel source (from utility bill).

☐ The quantity, type, capacity (BTU/hr), and AFUE/efficiency of existing and new boilers.

Medical X-Rays and Scanners Checklist

Here's what else you'll need:

☐ Films: size, number in box, number of boxes used annually, and cost per box.

☐ Scanner Materials (solids): type of material, unit of purchase, price per unit, estimated weight per unit (lbs), and units purchased per year.

☐ Liquids (except water): liquid type (Developer, Fixer, Cleaner, or Other), unit of purchase, price per unit, and units purchased per year.

☐ Water: annual water use and price per 1,000 gallons.

☐ Disposal: any known disposal costs, waste disposal type, and waste classification (hazardous or non-hazardous).

Refrigeration Checklist

Here's what else you'll need:

☐ Electricity rate as cost per kilowatt hour (from utility bill).

☐ Energy Star-Rated Cooler/Freezer Case: number to be replaced, type, and volume of new units in cubic feet.

☐ High Efficiency Fan Motors: number to be replaced, existing motor type(s), new motor type(s), horsepower of existing motor, horsepower of new, high efficiency motor.

☐ Anti-Sweat Heater Controls: number and type installed.

☐ Evaporator Coil Defrost Controls: number and type installed.

☐ VSD Compressor: number and type installed, capacity in tons or compressor horsepower (do not enter both).

☐ Strip Curtains for Walk-In Freezers and Coolers: number installed, type installed, and facility type.

☐ Night Covers: applicable temperature range (low, medium, high) and feet installed.

☐ Automatic Walk-In Door Closers: number and type installed.

☐ Door Gaskets: number and type installed, secondary type (reach-in/walk-on).

☐ Replacing Refrigerated Open Display Cases with Display Cases with Doors: number installed and case width (ft).

☐ Adding Doors to Refrigerated Open Display Cases: number installed and case width (ft).

☐ Refrigerated Case Light Occupancy Sensors: type, connected wattage of controlled light fixtures, facility hours.

☐ Refrigeration Economizer: compressor horsepower and nearest metro area (dropdown menu).

Truck Retrofits Checklist

Here's what else you'll need:

☐ Total number of vehicles proposed for retrofit, number of vehicles proposed for anti-idling, and number of vehicles proposed for aerodynamic improvements. May overlap.

☐ Average daily idling hours (idle reduction) or average daily on road operating hours (aerodynamic improvements).

☐ Average annual days of operation.

☐ Current price per gallon of diesel fuel.

☐ Idle Reduction Projects: vehicle ID, idle reduction technology type, idle reduction technology fuel use in gallons per hour, and main engine idling fuel use in gallons per hour.

☐ Aerodynamic Improvement Projects: vehicle ID, aerodynamic improvement technology type, main engine operating fuel use, and aerodynamic improvement technology percent fuel reduction.

Natural Resource Protection Checklist

Here's what else you'll need:

☐ FSA farm number.

☐ County of operation.

☐ Location latitude and longitude.

☐ Type and name of affected waterway.

☐ Watershed of project location.

☐ Riparian Buffer: type of buffer, linear feet protected, and average width of buffer (same for side 2, if applicable).

☐ Streambank Fencing: linear feet protected, average width protected (same for side 2, if applicable), whether livestock crossing, or watering trough are proposed.

☐ Grazing Management Fencing: acreage or length/width of land set aside to be fenced, and whether a watering trough is proposed.

☐ Stormwater Diversion: acreage of entire farm affected, whether an E&S control plan is in place, and description of specific measures.

☐ Agricultural Solar Pumping: linear feet protected from livestock diversion and average width of buffer provided (same for side 2, if applicable).

☐ Other Projects: as complete a description as possible of proposed project and relevant parameters.

Other Projects Checklist

Here's what else you'll need:

☐ Pollution Prevention – Existing Equipment: waste description, waste code, waste type, weight/volume metric, number of units per year, cost per unit, and estimated weight in lbs per unit (default available).

☐ Pollution Prevention – New Equipment: waste description, waste code, waste type, weight/volume metric, number of units per year, cost per unit, and estimated weight in lbs per unit (default available).

☐ Pollution Prevention – Waste Disposal Costs: the cost of directly related waste disposal for the existing equipment/process and the new equipment/process. This may not be applicable to all projects.

☐ Energy Efficiency – Existing Equipment: energy/resource type, energy/resource unit price ($/unit), energy/resource unit of measure, and energy/resource annual use (volume).

☐ Energy Efficiency – New Equipment: energy/resource type, energy/resource unit price ($/unit), energy/resource unit of measure, and energy/resource annual use (volume).

Eligibility Requirements

<u>Eligible Applicants</u>

General Requirements

- Eligible applicants must:
  - Be a for-profit business and be taxed as a for-profit business in Pennsylvania.
  - Have a primary physical location or base of operations in Pennsylvania.
  - For truck retrofit projects, the vehicle proposed for retrofit must be registered (full or apportioned) in Pennsylvania and operate at least 50% of the time in Pennsylvania, based on mileage or time. For projects involving Class 7-8 trucks, the Department may request a copy of the CDL for the driver(s) of the truck.
  - Be registered to do business in Pennsylvania.
    - Except for sole proprietorships operating under the sole proprietor's legal name (first and/or last, including or excluding postnominal letters (DDS, Esq. etc.), all applicant businesses must be appropriately registered with the Pennsylvania Department of State, Pennsylvania Bureau of Corporation & Charitable Organizations.
    - This provision only applies to the applicant business. Businesses with ownership in common are not all required to be registered in Pennsylvania for the applicant to be eligible for funding.
    - Check to see if the business is registered using the 'Business Search" tool found here.
    - Questions? Call 1.888.659.9962 or 717.787.1057 or visit PA Business One-Stop Shop - Registering Your Business.
  - Have or obtain a Vendor Identification Number (also called an SAP Vendor Number) from the Pennsylvania Office of Budget.
    - If the applicant has a Procurement or Non-Procurement Vendor Identification Number already, that should be used for the application.
    - If not, register using the Non-Procurement Vendor Registration option on the Vendor Registration Home Page.
    - Questions? Send an email to ra-psc_supplier_requests@pa.gov or visit Vendor Registration Home Page and review the Non-Procurement Registration Guide (PDF or MP4).
  - Have 100 or fewer Full Time Equivalent (FTE) employees for the entire company or companies under common ownership/management.
    - This includes all employees worldwide for the applicant business, parent companies, subsidiaries fully or partially owned by the parent company, branch offices, and businesses under management in common.
    - Companies where the business owners or representatives have an ownership stake of greater than 20 percent in any one of multiple business subsidiaries are considered to be businesses under common management for the purpose of this grant program. All employees of all associated companies must be included in the FTE count.
    - Indications of a business association may include owners or officers in common; shared office space/address; or linked or unified online presence (websites, social media, etc.). Other indications of business associations may be considered.
    - To count part time employees, applicant must calculate full time equivalency of all part time employees and add to the total number of full-time employees. Calculators are available from various resources online to assist with this calculation.

- *Business-Residence*: A business may be operated in a standalone physical structure or on a commercial property with other businesses but may also be co-located within or attached to residential structures. Businesses attached to or part of a residence are eligible if all the following are true prior to applying for the grant: the business and residence have separate utility meters; the business has a separate designated customer entrance; and the property is zoned for commercial business. Proof of zoning is required.

- *Commercial Real Estate*:
  o A commercial real estate business is an eligible applicant if it:
    - is a small business,
    - is headquartered or has a physical base of operation in Pennsylvania,
    - is registered as a business in Pennsylvania,
    - is financially responsible for the exterior or interior of the property, as applicable, including the equipment proposed for upgrade or replacement,
    - and is financially responsible for paying utilities for the space or the utilities related to the equipment.
  o The tenant business is an eligible applicant if it:
    - is a small business,
    - is registered as a business in Pennsylvania,
    - is financially responsible for the exterior or interior of the property, as applicable, including the equipment proposed for upgrade or replacement,
    - and is financially responsible for paying utilities for the space or the utilities related to the equipment.

Tenant/Owner Applicants*	
IF:	Who Is the Applicant?
Owner and tenant are both small businesses; tenant pays utilities and is responsible for interior/exterior of facility and/or the equipment.	Tenant*
Owner and tenant are both small businesses; owner pays utilities and is responsible for interior/exterior of facility and/or the equipment.	Owner
Owner is not a small business and tenant is a small business; tenant pays utilities and is responsible for interior/exterior of facility and/or the equipment.	Tenant*
Owner is a small business and tenant is not a small business; owner pays utilities and is responsible for interior/exterior of facility and/or the equipment.	Owner
Neither owner nor tenant are small businesses.	Neither

*Authorization from the property owner must be obtained by the tenant if the tenant is the grant applicant. A Landowner Consent Form is required with all application for any tenant/owner situation, not only those involving commercial real estate companies, and can be found at the Small Business Advantage Grant web page.

o The Department will consider a business to be a tenant if the business has any kind of exclusive use contract with the commercial real estate business (including if the tenant sublets to other businesses or individuals) for a specific location. If multiple businesses use a commercial space without an exclusive use agreement, the Department will only consider the commercial real estate business as an applicant.

- *Property Management Companies (PMC)*: Property management companies cannot apply for funding if they are neither the property owner nor the tenant. If the company is either the property owner or the tenant, see above to determine the applicant for the project. Further information may be requested from an applicant to clarify the owner/management/tenant relationship.

- *Purchasing Cooperative*: Applicants who are members of a purchasing cooperative are eligible for funding if all other requirements are met. Purchasing cooperatives are not considered to be franchises (see Ineligible Applicants). A purchasing cooperative is a member-owned, member-controlled organization of independent businesses within a common sphere (restaurant supply, for example) that work together on purchasing agreements and other supply-chain issues.

  Relating to utility payments, if the utility bill is in one name (owner/tenant/PMC) but the other organization pays that bill (owner/tenant/PMC), the applicant should include a statement in the narrative or include a statement with the utility bill about which organization actually pays the bill and would receive the benefit of the cost reductions resulting from the project. The applicant should be the beneficiary of the savings, if otherwise an eligible applicant. If the beneficiary is not an eligible applicant, contact the Department to discuss your options for applying.

Ineligible Applicants

General Disqualifications

- Applicants will be deemed ineligible if their business:
  o Is not appropriately registered in Pennsylvania.
  o Is a non-profit, not-for-profit, tax-exempt organization, church, charity, social club, local government, or municipal organization.
  o Has current or unresolved environmental violations. Non-compliance with Department rules or regulations, with or without official action by Department personnel is considered an environmental violation.
  o Has financial or other obligations due to the Commonwealth of Pennsylvania (also called CRP obligations). Note – this status is checked multiple times during review of the application. Applicant/grantee must clear this check at each of those steps.
    ▪ Applicants/grantees may be able to utilize an option called the offset provision to enable them to receive a grant award and to resolve financial obligations at the end of a project. Applicability and approval to use this provision will be considered on a case-by-case basis. Contact the Department if you have questions about this provision.

- *Franchises*: Businesses operating as a franchise are ineligible. A franchise is "an agreement involving a continuing commercial relationship by which a person (franchisee) is permitted by another person (franchisor) the right to offer the goods manufactured, processed or distributed by the franchisor, or the right to offer services established, organized, directed or approved by the franchisor, under circumstances when the franchisor continues to exert any control over the method of operation of the franchisee, particularly, but not exclusively, through trademark, trade name or service mark licensing, or structural or physical layout of the business of the franchisee."[1] These rights are usually in exchange for a fee, which often includes the payment of royalties and/or a percentage of profits. Examples include multi-location fast food companies, retail companies, vehicle dealerships, hotel chains, etc.
  - Regional businesses with multiple locations under single ownership (or common ownership as defined by these guidelines) without a franchising agreement are not considered franchises and may be eligible for funding.

- *Residential Rentals*: Businesses operating as residential rental units and dwellings, including rental housing, apartments, condominiums, student housing, independent living homes, and extended stay hotels with monthly rentals, will be ineligible in most cases. Projects to upgrade residential areas (individual units or private areas) of residential rentals or multi-unit dwelling are ineligible. If there are common areas for which the property owner pays utilities and is responsible for interior/exterior of facility and/or the equipment (for example, hallway lighting, parking lot lighting), residential rental owners may be eligible for funding, if other eligibility requirements are met. This type of project may require proof of separate utility metering.

Project Eligibility

The purpose of this program is to provide funding to install equipment/material resulting in energy efficiency improvements or pollution prevention, adopt processes which reduce energy consumption, reduce consumption of raw materials, increase the reuse of raw materials on-site, reduce the production of waste or reduce sediment and nutrient runoff into directly affected waterways. The project (except Natural Resource Protection) must demonstrate financial and energy/pollution savings applicable to any of the following: equipment, processes, business protocol, or system components which are being replaced using clear and readily understood calculations. Natural Resource Protection projects must demonstrate reductions in sediment or nutrient runoff directly attributable to the proposed project. The Department may consider funding projects that utilize new or innovative equipment, materials, or procedures, but will require supporting documentation sufficient to verify the proposed savings. The following guidelines provide information for applicants to determine if costs are likely to be eligible or ineligible. Department staff will make final determinations for eligibility upon review of the application and supporting documentation.

Minimum Requirements:

Eligible retail, manufacturing, commercial, medical, and other non-agricultural business projects:

- Be a replacement or upgrade of existing equipment. New equipment or new facilities are not eligible.
  - Truck retrofit equipment is considered an upgrade of existing systems and is not considered new equipment for the purpose of this grant. The Department will not fund the replacement of an existing truck with a completely new truck that has the retrofit equipment installed; it will only fund upgrades of existing trucks.

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[1] 10 Pa. Code 102.021 Pennsylvania Department of Banking and Securities definition

- Must save the small business a minimum of $500 overall AND at least 20 percent annually in energy consumption costs and/or pollution-related expenses for the specific equipment or process addressed by the project.
  - At any time in the review process, Department employees may require the applicant or their vendors to provide additional information or calculations to validate the accuracy of the proposed savings.
  - Savings must be generated from reduced energy consumption, material purchase or waste disposal costs, or reduced pollution output.
- Some equipment will be subject to industry or government rating systems such as Energy Star ratings. See the project category sections below to determine if the equipment proposed for your project is subject to any rating requirements. Not all equipment will be subject to rating systems.

Eligible natural resource protection projects:

- Can purchase new equipment, if minimum pollution prevention requirements are met (i.e. fencing, barn gutters, digesters). Equipment purchased with grant funds can be a replacement or upgrade of existing equipment.
- Natural resource protection projects are exempt from the minimum financial savings requirements but must provide the inputs necessary for Department staff to quantify the sediment and nutrient diversion from the directly related receiving waterway to be eligible for funding.

Examples of eligible projects include, but are not limited to:

- energy efficient lighting,
- high efficiency furnaces,
- boilers, and air conditioners (excluding window units),
- geothermal heat pumps,
- energy efficient food service equipment,
- refrigeration,
- process equipment upgrades,
- waste recycling systems,
- solvent recovery systems,
- digital x-ray and scanner upgrades,
- riparian buffer plantings,
- streamside exclusionary fencing,
- grazing management fencing,
- barnyard runoff/ stormwater controls,
- agricultural solar pumps, and
- idle reduction or aerodynamic improvements for trucks.

Eligible Project Categories:

Lighting	HVAC	Boilers	Refrigeration

Truck Retrofits	Medical X-Rays and Scanners	Natural Resource Protection	Other
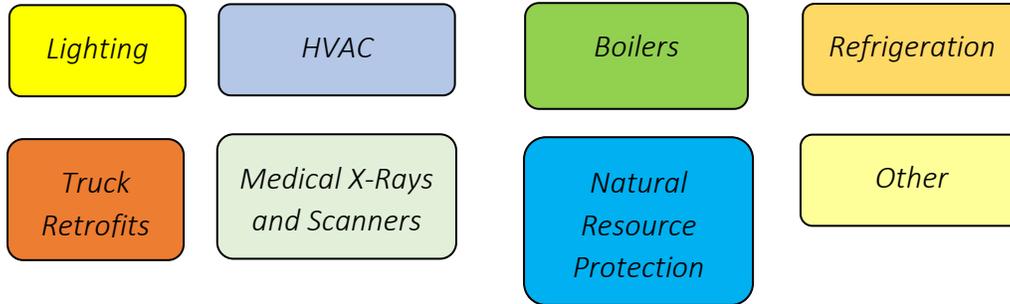
The project may be eligible, even if the specific project type is not listed under one of the project categories. These projects will be evaluated using the 'Other Projects' section of the SBAG Grant Calculator. For all project types, refer to the SBAG Calculator Instructions to determine the information necessary to complete the calculator for your application.

To be eligible for funding, all projects must result in energy efficiency improvements that reduce energy use, including electricity, natural gas, propane, oil, diesel fuel (by reducing or eliminating main engine idling, or reducing fuel use by aerodynamic improvements for trucks), or other energy sources, or the project must result in pollution prevention through less wasted raw material, less post-process waste, or a pollution or waste treatment activity.

Rebates and Incentives – Applicants may receive electric utility or manufacturer incentives for their project. Applicants are encouraged to review the incentive offerings from their utility or other entities and choose the incentive(s) which best suits their needs. Rebates or incentives will not count against eligible project costs unless they lower the cost prior to billing (i.e. a percentage discount or coupon).

The charts below provide an overview of eligible and ineligible costs. Additional requirements are listed in the sections following these charts.

Helpful Hints:

On the Small Business Advantage Grant webpage, instruction videos are available to assist you in completing the application, based on your project type: **Lighting, HVAC, Boilers, Refrigeration, Truck Retrofits, Medical X-Rays and Scanners, Natural Resource Protection, and Other Projects**.

In addition, there is one video all applicants should watch: **Online Application Instructions**. You are encouraged to watch these videos based on the type of project you are undertaking. It will make the process faster and easier for you to apply!

Project Category	Applicable To:	Eligible Costs
Lighting	Replacement of some or all interior or exterior lights and/or fixtures	Costs associated with fixtures, lamps, bulbs, tubes, ballasts, motion detectors, photocells, and timers only
HVAC	Upgrade all or elements of an HVAC system	Costs associated with the newly installed units and fittings to install them
Boilers	Replacement of boiler	Costs are limited to the new boiler itself and any additional fixtures and piping necessary to install it
Refrigeration	Replacement or upgrade of refrigeration equipment, including parts or all of a refrigeration system	Costs associated with new refrigeration units, refrigeration retrofits, and any fixtures to install them, as well as component upgrades
Truck Retrofits	Installation of idle reduction or aerodynamic improvement technology on medium- or heavy-duty trucks (Classes 4-8)	Costs to purchase commercially available auxiliary power units (APUs) and generator sets (GS), battery operated air conditioning (or heating) systems (BAC), fuel operated heaters/direct fired heaters (FOH/DFH), thermal storage systems (TSS), or other approved anti-idling technologies on one or more vehicles in an applicant's fleet; or the costs to purchase aerodynamic improvement equipment such as skirts, tails, gap reducers, under trailer retrofits, splash guards, or other approved aerodynamic technologies
Medical X-Rays and Scanners	Upgrade medical x-ray or scanner equipment	Costs associated with the x-ray and scanner units themselves

Other Projects

Eligibility for all other project types will be reviewed on a case-by-case basis. Projects must meet the minimum eligibility requirements above and not be ineligible for any of the reasons below. Projects must be able to demonstrate energy savings or pollution prevention. See the SBAG Calculator Instructions for instructions on how to calculate project savings.

No other mobile source projects are eligible for funding under this program. Additional Department programs may exist to fund mobile source emission reduction projects. See other available transportation-related Department grants and rebates here.

Manufacturer Rebates:

Some manufacturers also offer rebates on equipment. Be sure to take a look at the materials provided or the company website to determine if you are eligible for these rebates. These can be combined with utility rebates to lower the overall cost of your project.

Lighting

- New lights and fixtures purchased for the project:
  - Must be Energy Star (ES) or DesignLights Consortium (DLC) certified if they are subject to certification under those programs. Check your proposed lighting at www.energystar.gov and/or https://www.designlights.org/. Almost all lights will be required to be rated by one of these programs. Lighting without one or more of these ratings (if subject to the programs) will not be considered eligible for funding.
  - Must be upgraded with LED (light emitting diode) lamps. If you have a special project requiring lighting other than LED lamps, call or email the Small Business Ombudsman Office at 717.783.9640 or RA-epAdvantageGrant@pa.gov prior to applying to discuss the project.
- Exterior Lights Only – Equipment for exterior lighting projects must be International Dark-Sky Association (IDA) approved (in addition to being DLC or ES rated) or shielded and pointing downward. To assist you in finding IDA approved lighting, the International Dark-Sky Association maintains a Fixture Seal of Approval database (https://www.darksky.org/our-work/lighting/lighting-for-industry/fsa/) to find dark-sky friendly fixtures and devices.

HVAC (Heating, Ventilation, and Air Conditioning)

- HVAC units are required to be ES certified if the unit is rated at less than 65,000 BTU/h. Additional information about HVAC ES certification requirements can be found here.

Boilers

- Boilers are required to be ES certified if 1.) it is not exclusively classified for commercial applications or 2) it has an input rating of 300,000 BTU/hour energy or higher. Refer to the SBAG Calculator Boiler tab to check whether a new boiler is required to be ES certified. Additional information about Boiler ES certification requirements can be found here.

Refrigeration

- If the type of refrigeration project is not one of the specific measures in the calculator, it may still be an eligible project and should be entered into the "Other Projects" tab.

Truck Retrofits (Mobile Source Projects)

- Idle reduction technology (IRT) and aerodynamic improvement technology (AIT) must be listed on the EPA SmartWay Verified List of Idling Reduction Technologies (IRTs) for Trucks and School Buses or EPA SmartWay Verified List of Aerodynamic Devices and applicable to the applicant's specific truck to be eligible. Installation of idle reduction technology will assist small businesses in the trucking industry with compliance with Pennsylvania's Act 124 of 2008: Diesel-Powered Motor Vehicle Idling Act. Aerodynamic improvement technology projects will likely need to be completed in conjunction with an idle reduction technology, to meet minimum energy percentage/cost savings requirements for eligibility.

Medical X-Rays and Scanners

- No additional requirements.

> **Utility Rebates:**
>
> Many electric and natural gas utilities in Pennsylvania offer rebates for energy efficient equipment such as LED lighting, HVAC equipment, boilers, motors, pumps, etc.
>
> Work with your vendor or contact your electricity or natural gas supplier to understand and apply for the rebates you are eligible for.

Natural Resource Protection

- Projects for natural resource protection are eligible for funding if they prevent pollution from entering bodies of water in Pennsylvania using runoff control strategies. Eligible projects include Agricultural Best Management Practices (BMPs) relating to buffers, fencing, runoff control, and remote watering sites.

Project Type	Standards (CBP, NRCS, DEP)	Eligible Costs	Other Requirements
Forested or Grass Riparian Buffer Plantings	CBP RI 8 or 10 or related NRCS standards. DEP's "Riparian Forest Buffer Guidance 394 5600 001."	Trees, shrubs/ plants, stakes, tree tubes and weed mats. Plantings may be income producing vegetation and are permitted to be harvested for sale.	Buffer - width must be a minimum 35 feet (average) from top of bank and must be maintained for a minimum of 15 years. All plants must be native species. The area of land converted to either forest or agricultural open space by the buffer cannot receive additional BMPs.
Streambank Exclusionary Fencing	CBP RI 4a, 4b, 5, or 6 or related NRCS standards for exclusionary fencing	Posts, high tensile fence wire, associated hardware, energizer, off stream water trough (if access has been excluded), and related materials for trough construction	Troughs are only eligible with installation of new fencing. Fencing must be a minimum of 15 feet (average) from top of bank. Applicant will be required to maintain fencing for a minimum of 15 years.
Grazing Management Fencing	CBP RI 15 Rotational Grazing or related NRCS standards	Fencing for precision rotation grazing management, posts, and associated hardware, off stream water trough (if access has been excluded), and related materials for trough construction	Troughs are only eligible with installation of new fencing.
Agricultural /Barnyard Runoff Control and Stormwater Management	CBP RI 16 Barnyard Clean Water Diversion or related NRCS standards	Barn rain gutters, downspouts, and related conveyance pipes	Eligible projects include storm water diversion.

Project Type	Standards (CBP, NRCS, DEP)	Eligible Costs	Other Requirements
Agricultural Solar Pumping	N/A	The solar panel, high efficiency pump, water trough, and the landscaping material/ concrete pad necessary to prevent erosion of the watering area	Projects to install solar-powered water pumps to provide livestock water supply. Solar pumping projects are eligible provided they offer off-site watering facilities for livestock in remote grazing fields. The project may not be part of a larger solar project designed for electricity generation. Ineligible costs for these projects include well drilling, well casing, as well as other costs listed as ineligible below

- *All Other Agricultural BMP Projects* – The Department will consider other agricultural BMP projects, but the applicant must be able to demonstrate the potential for actual pollutant reductions. Applicants will be asked to provide enough information for the Department to determine if pollution prevention potential exists for the proposed project. As with other projects, only equipment or supplies will be eligible costs for grant funding. Labor and installation costs are excluded.

Did You Know:

The Small Business Ombudsman Office also offers low-interest loans to small businesses for larger projects.

Ten-year, 2% fixed-rate loans are available, up to $100,000, to fund 75% of eligible costs for pollution prevention and energy efficiency projects only. Yes, you can combine it with the Grant!

Contact the Small Business Ombudsman Office (717.783.0909) or click below for details about the Pollution Prevention Assistance Account.

<u>Ineligible Projects/Project Costs</u>

Projects are ineligible for funding if:

- The equipment/material is purchased or installed before **July 1, 2023**.
  - For purposes of this program, "purchased" means no more than 50 percent of the estimated total project costs (final project costs if the project is complete at the time of application) can be paid for, as a deposit or to hold a project price or contractor's commitment, prior to **July 1, 2023**.
  - This is also reviewed during reimbursement requests, which will be denied if more than 50 percent of the final project costs were paid prior to July 1, 2023. Note: if you paid up to 50 percent of the estimated project costs prior to this date and your project costs end up lower than estimated, this may result in you crossing the 50 percent threshold and being ineligible for reimbursement, so pay close attention to what you are paying out. This does not apply to payments made on or after July 1, 2023.
  - The applicant may not have entered into an agreement legally requiring the project be installed prior to **July 1, 2023**.
  - If any portion of the project has been installed prior to **July 1, 2023**, the entire project is ineligible.
- The equipment and processes are focused solely on pollution control or pollution treatment, such as scrubbers, dust collectors, or filters.
- The new/replacement technology is unfeasible, unproven, unsound, or unsafe.
- The project increases net pollution, measured as CO_2e in the Grant Calculator. Small increases in energy usage or waste are allowed if the overall impact is a reduction in pollution.
- The project funds outdoor wood furnaces or outdoor wood boilers, wood stoves, and pellet stoves used for heating purposes.
- The project funds window air conditioning units. Buildings without current air conditioning are not eligible for new air conditioning equipment, as this results in net positive energy use that is not offset by pollution reduction.
- If the project funds new equipment installed in buildings/additions planned or under construction,
- If the project funds new equipment for abandoned or vacant buildings being renovated where existing energy use cannot be calculated.
- The project is a building envelope related projects, including new roofs, roofing materials, siding, windows, skylights, doors, insulation/air sealing, etc.
- The project is for Research and Development projects, demonstration projects, or pre-production prototypes.
- The project involves fuel switching projects for power generation or heating which involve the installation of technologies which increase pollution output.

The following project costs are not eligible for reimbursement:

- labor/installation,
- freight, taxes,
- shipping,
- training,
- extended/ add-on warranties,
- removal/disposal of existing equipment,
- recycling,
- permits,
- inspection costs,

- consulting/professional services,
- thermostats,
- skylights,
- ceiling fans under ten feet in diameter,
- non-commercial refrigeration units,
- emergency safety lights which are not continuously illuminated,
- batteries for emergency lights, and
- dental amalgam separators.

Additional project costs that are ineligible for funding include:

- Conduit, excavating, electrical accessories and other miscellaneous electrical and non-electrical equipment. This also includes power runs, transformers, breaker panels, electrical wiring, clamps, outlets, junction boxes, poles, etc.
- Used or refurbished equipment.
- Any vending or coin operated machines, including food, beverage, washer and dryer machines, car washing machinery, waste or recycling dumpsters, transportation containers, or composting receptacles.
- Routine maintenance or repair of existing equipment or processes. This may include energy efficiencies such as roofing or steam trap replacements, or equipment which has failed due to improper operation or faulty preventative maintenance.
- Power factor correction penalties are not eligible energy cost savings.
- Oil/natural gas transmission or distribution system piping.
- Photovoltaic solar power generation systems, wiring, or appurtenances for energy generation, except agricultural solar pumping.
- Office supplies, including but not limited to tablets, laptops, or computer components that may be purchased at the same time to support new or upgraded equipment.

The program objective is to reimburse the expenses incurred for new equipment or materials which provide the desired energy efficiency or pollution prevention outcomes.

Project Funding

Single Projects:

All eligible projects will be eligible for grant awards up to 50% of eligible project costs or $5,000, whichever is less. Projects may be eligible for additional grant funds if the project is located in an environmental justice area (see the Grant Calculator Instructions for directions on how to determine EJ status of the project location) or if the project results in significant energy savings or pollution reduction or prevention. Maximum grant funding for one or more projects this year is 80% of eligible project costs or $8,000, whichever is less.

2023-2024 Funding Levels			
Project Attributes	Whichever is less, up to:		
All Eligible Projects	50%	or	$5,000
Eligible and located in Environmental Justice Area	65%	or	$6,500
Eligible and significant environmental savings	65%	or	$6,500
Eligible, located in Environmental Justice Area, and significant environmental savings	80%	or	$8,000

Multiple Projects:

A small business may submit more than one application; however, no business or businesses with ownership in common will be awarded more than the maximum funding amount from the program during the fiscal year for all proposed projects combined.

The chart below details how EJ or environmental impact bump ups will be applied is there is more than one project submitted by an applicant. If at all possible, multiple projects should be combined into a single application. If that is not possible, the Department will review applications in the following way.

Department staff will analyze the first project to be submitted by an applicant, and apply any appropriate bump ups for requested funding, up to the maximum amounts identified above. A second project would be considered for funding only if the first project did not receive maximum allowed funding (80% / $8,000).

Multiple Project Bump Ups				
EJ Area Bump Up				
Project 1	Yes	Yes	No	No
Project 2	Yes	No	Yes	No
	Bump up for both Projects.	Bump up for Project 1.	Bump up for Project 2.	No bump for either project.
CO2e or Pollution Bump Up				
Project 1	Yes	Yes	No	Yes, if combined.
Project 2	Yes	No	Yes	
	Bump up for both Projects.	Bump up for Project 1.	Bump up for Project 2.	Bump up to Project 2*.

Appendix 1 – How to Register: Keystone Login, SAP, and Business Registration

Keystone Login

Applicants will need a Keystone Login to apply for a Small Business Advantage Grant. Applicants will also need to use the same Keystone Login to electronically sign a grant agreement, if the applicant is approved for funding. If more than one person is required to sign the grant agreement (see signatory chart below), all signatories are required to have a Keystone Login. If you or other signatories already have a Keystone Login, you are not required to register for a new one. The process is described briefly below but additional resources are available.

The Department's Grants Center has a video on applying for a Keystone Login. Keystone Login help is also available on the Keystone Login website or by consulting the Keystone Login User Guide.

The following are the signatories required for grant contracts for different business types. If your business type is not listed, consult with the Department's Grants Center to determine required signatories.

Organization	Grant Recipient	Witness
C Corporation	President or Vice President	Secretary or Treasurer
S Corporation	President or Vice President	Secretary or Treasurer
Limited Liability Company (LLC)	Manager or Member	None Legally Required, but encouraged
Partnership/ Limited Liability Partnership	General Partner if Limited Partnership or Partner	None Legally Required, but encouraged
Sole Proprietor	Owner	None Legally Required

If your application is recommended to receive funding, you will receive an email from Grants Center staff requesting the name, title, and email address of all signatories (determined by chart above). This information will be used to send out links to electronically sign the grant contract. If you have questions about the eSignature process, you can refer to the Department's eSignature Process guidance document here.

SAP Vendor Number and Supplier Lookup Tool

Applicants will need an SAP Vendor Number to apply for funding. The Vendor Data Management Unit (VDMU) manages SAP Vendor Number registrations across multiple Commonwealth agencies. Completion of the steps below prior to your application submission will prevent delays and streamline the SBAG application process.

Step 1. Use the Supplier Lookup Tool

Use the Supplier Lookup Tool to determine whether the business already has an SAP Vendor Number. Search first by the full legal name of the business. Searching by part of the legal name of the business may also return results. Applicants or vendors can check SAP Vendor Number Status on the Supplier Lookup Tool website. Guidance for using the Supplier Lookup Tool is available here. If the business has never registered for an SAP Vendor Number, see "If You Do Not Have an SAP Vendor Number" below.

If You Have an SAP Vendor Number: The SAP Vendor Number will be displayed in the Supplier Lookup Tool results. The next steps for your business will depend on whether the SAP Vendor Number is a Procurement or a Non-Procurement Vendor Number. See Step 2 below.

If You Do Not Have an SAP Vendor Number: You will need to register for a Non-Procurement vendor number. Register by clicking on the Non-Procurement heading here. Next to the heading are an MP4 file and a PDF file providing instructions for registration. Use only Microsoft Edge or Google Chrome browsers.

Step 2. Update Your SAP Vendor Record

SAP Vendor Numbers are separated into two categories: Procurement and Non-Procurement. Complete the steps below for your type of SAP Vendor Number.

Procurement Vendor Numbers begin with 1-5: If the SAP Lookup Tool inquiry or your records show an SAP Vendor Number beginning with 1-5, you have a Procurement number and must complete the following steps.

- Go to the PA Supplier Portal website here.
- Instructions are available on the PA Supplier Portal Administrator Support website for businesses to add banking information or to add an additional user to your account. Look under the "How To" heading for specific instructions by topic.

Non-Procurement Vendor Numbers begin with 6-8: If the SAP Lookup Tool inquiry shows an SAP Vendor Number beginning with 6-8, you already have a Non-Procurement vendor number. Complete the following steps.

- Instructions are available on the Non-Procurement Vendor Help website for businesses to add banking information to your account. Look under the "How To" heading for specific instructions by topic.
- If you registered recently and included your banking information, no additional steps are required.

If you are notified that the vendor record is blocked, you must request that it be unblocked by completing the form titled "Unblock or Reopen Vendor Record" at either (procurement or non-procurement) administrative assistance links shown above.

If any other vendor record issues arise during the application review process, you will be notified by Department staff and instructed on how to address the issues on a case-by-case basis.

We recommend contacting the SBO Office (czepp@pa.gov or 717.772.5160) for assistance with obtaining, updating, or resolving issues with vendor numbers. You may be directed to contact VDMU after speaking to Department staff first. If that is required, SBO Office staff will provide contact information for VDMU.

Business Registration

To operate in Pennsylvania, businesses must register their business structure – such as an LLC, partnership, corporation, or other structure – with the Pennsylvania Department of State. There is one exception to this requirement. Sole proprietorships operating under the owner's Legal Name (first and last name) are not required to register their business structure.

If you are planning to operate your business under a Fictitious Name, make sure to complete your registration of the Fictitious Name as part of your business registration. A Fictitious Name registration is only needed if an individual or business is doing business under a name that is different from the

individual's personal name or the company's Legal Name as registered with the Pennsylvania Department of State.

Check to see if the business is registered using the "Business Search" tool. If you cannot find your business, the registration may be under a variation of your business name or shown with an out of date address. If the business is not registered, a Basic Business Registration Overview can be found here.

Questions? Visit PA Business One-Stop Shop - Registering Your Business or call 1.833.722.6778, 8:00AM to 4:30PM, Monday-Friday, excluding state holidays, and select 1 for questions about registering your business and business name.

Full Links

Department of Environmental Protection Grants Center Keystone Login Video: https://www.youtube.com/watch?v=o4LZjpEakJQ

Keystone Login Website: https://keystonelogin.pa.gov/

Keystone Login User Guide: https://keystonelogin.pa.gov/Documents/Keystone Login User Guide.pdf

Department of Environmental Protection Electronic Signature Process Guidance: https://files.dep.state.pa.us/GrantsLoans/DEP_Electronic_Signature_(eSignature)_Process.pdf

Supplier Lookup Tool: https://b2b.ies.pa.gov/apps/vendor_lookup/index.html

Supplier Lookup Tool Guidance: https://www.budget.pa.gov/Services/ForVendors/Documents/supplier-lookup-tool.pdf

Non-Procurement Vendor Registration: https://www.budget.pa.gov/Services/ForVendors/Pages/Vendor-Registration.aspx

Procurement Administrative Support (How To): https://www.budget.pa.gov/Services/ForVendors/Pages/PASP-Admin-Support.aspx

Non-Procurement Administrative Support (How To): https://www.budget.pa.gov/Services/ForVendors/Pages/Non-Procurement-Help.aspx

Department of State Legal Name: https://business.pa.gov/plan/naming-your-business/legal-name/

Department of State Fictitious Name: https://business.pa.gov/plan/naming-your-business/fictitious-name/

Business Search Tool: https://file.dos.pa.gov/search/business

Basic Business Registration Overview: https://business.pa.gov/register/registering-with-pennsylvania/basic-business-registration-overview/

PA Business One Stop Shop – Registering Your Business: https://business.pa.gov/register/

Appendix 2 – Application Review, Award Process, Post-Award, and Reimbursement Process

<u>Application Review and Award Process</u>

1. Application Review
    *   Applications will be reviewed on a first-come, first-served basis using the eligibility criteria stated in the Program Guidelines.
    *   Applicants, project types, project costs, equipment, or supplies not meeting the eligibility requirements will be deemed ineligible.
    *   Some eligibility issues can be addressed through minor changes to the project proposal. If minor changes can be made to achieve eligibility, such as switching non-ES-rated lighting for ES-rated lighting in the proposal or registering the business, the project proposal may be allowed to make that change through the deficiency and update process below.
    *   If the eligibility issue cannot be resolved (i.e. size of business, no prior location energy use data, etc.), the applicant will receive notification from the Department's Grant Center of the ineligible status and the eligibility requirement that was not met by the applicant.
    *   Falsification or misrepresentation of facts may result in the denial of the application.

2. Deficiency and Update Process
    *   If an application is missing required information, it will be deemed deficient and may be denied if the deficiency and update process is not complete. Department employees may require the applicant to provide additional information or calculations to validate the accuracy of the proposed savings or otherwise complete their submission.
    *   The applicant will receive e-mail notification (sent to the contact identified in the application) of the deficiencies and will have **15-business days** beginning the date of that notification to provide the required information. The application will maintain its position in the reviewing queue during this **15-business day period**. It is important to ensure the contact person listed in the application will monitor for notifications from the Department so that if such notification is issued, it is received and addressed promptly.
    *   During the deficiency and update period, the applicant is encouraged to work with the Small Business Ombudsman (SBO) Office to gain information, guidance, and clarification to make their application complete.
    *   If the applicant satisfactorily addresses the deficiencies within the update period, the application will continue through the approval process.
    *   If any deficiencies remain at the end of the 15-business day period, **the application may be denied at the discretion of the Small Business Ombudsman**; in that case, the deficiency and update process will end. If progress has been shown in resolving the deficiencies, Department staff may allow additional time to resolve the issue. The applicant will receive notification from the Department's Grants Center of the denial status and the outstanding deficiencies which resulted in the denial. The applicant may reapply if they address the deficiency and the application period is still open.

3. Project Selection
    *   All projects meeting eligibility requirements will be selected for grant funding, until all available funding has been committed or until such time as all grants need to be approved and processed to meet internal processing deadlines.

- Applicants selected for funding will receive a formal grant agreement as noted in the next section. The applicant will be required to follow through on the necessary actions required by the Department to finalize the grant award and receive the reimbursement.

4. Your Project has been Selected for Funding

- A formal grant agreement with the Department will be developed which includes a scope of work, budget, special conditions/requirements, and standard terms and conditions to complete the award process for the grant funding. Grant executions (signatures) are now done electronically.
- Applicants selected for funding will be contacted electronically by the Department's Grants Center to notify them of their preliminary approval for a grant award and request signatory information for the grant agreement. See Appendix 1 Keystone Login section to determine who the signatories are for your grant agreement.
- Once that information is provided to the Grants Center by the applicant, the signatory(ies) will receive an email from the Grants Center requesting their electronic signature on the grant agreement. See Appendix 1 Keystone Login section for a link to the Department's Electronic Signature Guidance. All individuals identified as signatories by the applicant will need to sign the grant agreement separately electronically. Each signatory will need to have a unique Keystone Login account associated with a unique email address to sign the grant agreement.
- Follow the instructions in the email to complete signatures within **20 calendar days**. Signatories may need to create a Keystone Login and password to sign the grant agreement. If the signatory is the applicant, they can use the same login and password used to submit the grant application. If the signatory has previously electronically signed a grant agreement with the commonwealth, they may be able to use the same login and password.
- Failure to provide signatures may result in the grant award offer being rescinded. If all conditions are met, the applicant will receive the fully executed grant agreement via email.
- This grant may not be transferred or assigned to any other party without explicit written approval from the Department. Approval of any such transfer or assignment is at the sole discretion of the Department.
- Acceptance of the grant constitutes the right for Department employees to review financial records related to the project and physically inspect all installed equipment, materials, or structures purchased with grant funds.

During Project Period

1. Project Period: July 1, 2023 – June 30, 2024

- **Project work may begin on or after July 1, 2023 and must be complete by June 30, 2024.** The project completion date for all projects in this round is June 30, 2024.
- Most extension requests will not be considered by the Department. The Department may, however, consider extension requests related to supply chain issues that can be verified by vendors or manufacturers. This would only be applicable if:
  - the original quotes or estimates included a delivery/completion date within the established project period,
  - the delay is a result of an issue originating at the manufacturer,
  - the issue cannot be addressed by a Change of Scope to the project,
  - the grantee contacts the Department at least 60 days prior to the project period end date for a request to be considered, and
  - and the extension request is for no more than 90 days.

- If more than 90 days would be required to complete the project, the grantee should consider reapplying during the next funding round.

2. Project Costs
   - Project costs incurred within the grant project period, July 1, 2023, through June 30, 2024, as well as costs to hold a price or contractor's commitment incurred prior to the project period (no more than 50 percent of total project costs), may be eligible.
     - o Project costs incurred during the project period include payments made to vendors and suppliers and must have associated itemized, paid in full invoices or equivalent at the end of the project that fall within the project period. This documentation must be labeled with the related E1, E2, etc. numbers assigned to each line on the Project Costs Tab of the grant calculator.
     - o Prior to July 1, 2023, applicants may pay vendors or suppliers no more than 50 percent of the known or estimated total project costs as a deposit to hold a price or contractor's commitment, if applicable.
   - Reimbursement will not be processed if the grant agreement is not approved or executed, or if it is terminated for any reason.
   - Reimbursement may not be processed if the grantee has financial (CRP) obligations to the commonwealth at the time a reimbursement request is submitted.
   - Incurring project costs prior to receiving a fully executed grant agreement is at the applicant's own risk.

3. Project Change of Scope Requests and Project Adjustments
   - Some changes may be allowed to a project after the grant agreement has been signed. Grantees should contact the SBO Office staff prior to taking any actions under the proposed changes.
   - If a change in the project is requested, a Change of Scope Request form must be completed and submitted to the SBO Office staff as soon as possible. Approval is not guaranteed; the grantee should contact the SBO Office as soon as an issue is discovered. Any actions taken by the grantee outside the approved scope of work in the signed grant agreement are done at the grantee's own risk.
   - In addition to the Change of Scope Request form, grantees will need to submit updated invoices, estimates, product data sheets/spec sheets, and a revised Grant Calculator that reflect the changes to the project. If the change in scope results in the project no longer meeting the minimum cost savings requirements, in either value or percentage, the grant agreement may be rescinded, and the grantee will not be reimbursed for the ineligible work.
   - This form should be completed if the grantee:
     - o Is requesting a change in scope, meaning that the scope of the project is expanding or contracting. For example, if an applicant proposes a project that has both lighting and HVAC upgrades, and decides later during the grant period to not complete the HVAC portion, a Change of Scope Request would need to be submitted to the Department.
     - o Is requesting minor adjustments to the project, such as a change in the number, type, or value of the equipment or materials proposed for purchase.
   - If a change in vendor is part of the Change of Scope Request, grantees should contact the Department prior to the new vendor completing any work. All vendors completing work eligible for reimbursement under the grant agreement must undergo a check by the Department for any outstanding obligations to the commonwealth before being approved as a vendor for the project.

- Each request for a project change of scope will be reviewed on a case-by-case basis. The submission of the Change of Scope Request Form does not guarantee approval.
- A link to the Change of Scope Request form can be found on the Small Business Advantage Grant website or directly through the link above.

After Project Completion

1. Project Completion Reimbursement Request (PCRR)
   - Upon completion of the project, an individualized PCRR form will be created by the SBO Office based on the provided invoice(s) and forwarded to the applicant for final review and signature.
   - Contact the SBO Office (czepp@pa.gov) once the project is complete to begin the reimbursement process.
   - Grantees must provide itemized paid invoices for all equipment and materials purchased and installed from their vendor/supplier, with equipment/materials and labor costs separate.
   - Funds will not be disbursed until applicants return the signed and dated PCRR and supporting documents (including revised, itemized, paid in full invoices which are labeled with E1, E2, etc. from the Grant Calculator Project Costs tab), in accordance with the prior instruction and email direction you received from Department staff.
   - A video walkthrough of the reimbursement process should be available on the Small Business Advantage Grant website.

2. Payment
   - The grantee will be reimbursed up to the maximum amount they qualified for during the application process, or a maximum percentage of eligible costs, whichever is less.
   - If the project is financed through a lease arrangement which does not end in the grantee owning the equipment outright or for a token purchase amount, the grantee will only be reimbursed the applicable percentage of the total eligible costs of the amount paid July 1, 2023 through June 30, 2024.
   - Payment will be made to the grantee generally within 45 days of the Department's approval of a grantee's fully completed PCRR, including supporting documentation. The Department may decline to process reimbursement request documents if the submission is received more than 30 days after project completion date.

3. One-Year Follow-Up Report
   - The grantee must submit a One-Year Follow-Up Report, which includes a minimum 12 months of savings data occurring after the project completion date. The follow-up report is used to enable the Department to assess the program's effectiveness.
   - The One-Year Follow-Up Report can be found through a link on the Small Business Advantage Grant website or directly here. It is also included as attachment (Attachment F) to the executed grant agreement.
   - Note: Failure to provide the One-Year Follow-Up Report within 13-15 months of completion of the project may result in revocation of the grant and will adversely affect applications from the grantee for future grant consideration.

Grant Termination

1. The Department may terminate a grant agreement upon the request of the grantee. This can be for a variety of reasons, including:

   - The grantee did not or cannot complete the project within the project period.
   - The grantee did not pay project costs during the project period.

2. The Department may terminate a grant agreement and/or require the grantee to repay the grant if:

   - The Small Business Ombudsman determines the Grantee made a material misrepresentation in the application.
   - The grantee has not complied with any provision of the program requirements.
   - The grant funds are used for any purpose other than the approved project.
   - The grantee fails to complete the approved project work.
   - The grantee fails to provide documentation required to approve a reimbursement request.
   - The grantee fails to comply with the one-year follow-up reporting requirement.
   - The project is not or will not be in compliance with all applicable federal, state, and local laws.
   - The grantee sells the business to an otherwise ineligible applicant.

Appendix 3 – Step-by-Step Application Instructions

Instructions for the Online Application:

Helpful Hint:	You must complete the Grant Calculator **before** beginning the online application. Information computed by the Grant Calculator will be inserted into the online application. The Grant Calculator can be found on the Small Business Advantage Grant webpage. Step-by-Step instructions for the Grant Calculator can be viewed by clicking on the related videos and the Small Business Advantage Grant Calculator Instructions, also found on the webpage.

1. **Registration and Login**
   - If you are a first-time user, click the "Registration" button on the left.
   - If you are a returning user with a Keystone Login, enter the Username and Password from your previous registration.

   - If you select "Registration," you will be taken to the Keystone Login page, shown below.
   - Complete all the required fields (denoted with a red or blue diamond). Click "Register" when complete. Keystone Login help is available on the Keystone Login website or by consulting the Keystone Login User Guide.
   - **Write Down and Save** the Username and Password you have chosen. You will need this later to electronically sign the grant agreement for your project. Save this information with your important papers.

Helpful Hint:	If you let the screen sit idle for more than 30 minutes, you will lose the data since the last save. Save frequently.

2. **Begin a New Application**
   - Project Name – The project name should be the year of the program (2023) and the project type (Lighting, HVAC, Boilers, etc.). Use 'Combination – Type 1, Type 2' (with the multiple types listed) as the project type if more than one type of project is proposed.
   - Do you need help selecting your program?
      a.   If you select "Yes," click on "CREATE A NEW APPLICATION." Then select DEP under "Agencies" and click "Search" at the bottom to see all of the Department's grant programs in eGrants. Search results will appear under "Single Application Programs" at the bottom of the page. Find the "Small Business Advantage Grant" and click "Apply."
      b.   If you select "No," click on "CREATE A NEW APPLICATION." Search results will appear at the bottom of the page. In the blank space for Program Name, enter "Small Business Advantage Grant" and click "Search." When the search results appear, select "Apply" next to the Small Business Advantage Grant heading.

> **Helpful Hint:** *To complete the rest of the application, you will be able to toggle back and forth between different pages using any of the Section Headings in the Red Heading bar at the top of the screen, or click 'Continue' to move to the next screen. Clicking 'Continue' also saves your work.*

3. **Applicant Information**
   - The Applicant Information section requires data related to the business for which the application is being submitted. All information supplied for this application pertains to the official business; the name under which the company legally conducts business. <u>Do not use an unregistered, fictitious name</u>. If you are using a contractor or vendor, we encourage you to sit down together to complete the application. **Only the applicant is authorized to submit an application on behalf of a business.**

> **Helpful Hint:** *When completing the application, fields with a "♦" or "♦" are required fields. If a required field is skipped, you will be notified later in the application to return to that section to complete the field.*

   - If the "USE ACCOUNT INFORMATION" button appears, you can click on this to copy your registration information into the application. If it does not appear, you will need to enter the information manually.
   - <u>Applicant Entity Type</u> – Select the most appropriate applicant entity type that applies to your business. Please note the fields required in this section will vary depending on what "Application Entity Type" is selected.
   - <u>Applicant Name</u> – Enter the legal business name, the name under which the business legally conducts business. This information must be identical to the business entry on file with the PA Vendor Data Management Unit (SAP registration). (Ex: Jane Smith DBA Jane's Flower Shop)

- Incorporated in PA? – This will appear if certain Applicant Entity Types are selected. Answer "Yes" if applicable. Incorporation in Pennsylvania is not required for eligibility for this grant program, so answering "No" to this question will not make you ineligible for a grant.
- Registered to do business in PA? – This will appear if certain Applicant Entity Types are selected. Most applicants are required to be registered to do business in Pennsylvania. Answer "Yes," if applicable. If the answer is currently "No" and the business is not a sole proprietorship operating under the owner's name, applicants must register as a business with the PA Department of State to obtain your grant. If you do not register (if required), your application will be deemed ineligible. See Appendix 1 – Business Registration for information on how to check your registration status and, if necessary, register your business.
- NAICS Code – If known, you may enter the North American Industry Classification System (NAICS) code directly. If not, click on the drop-down menu below the NAICS field. You will be guided through a series of menus, which will auto-populate the NAICS Code field for you. If a drop-down menu does not appear, make sure an Applicant Entity Type was selected.
- PA Revenue Tax Box# – If applicable, enter the information provided to you by the PA Department of Revenue. This will only appear for Limited Liability Partnerships, S Corporations, Partnerships, Limited Liability Companies, and C Corporations.
- FEIN/SSN – Enter the Federal Employer Identification Number for the applicant business, or the owner's Social Security Number for sole proprietorships.
- UEI Number – The Unique Entity Identifier Number is a unique number assigned by the Federal government for grant awards and management. This item is marked as required but it is optional for this program.
- Top Official/ Signing Authority – Enter the name of the top official or individual with signing authority for grant contracts.
- Title – Enter the title of the top official or person with signature authority (president, owner, etc.).
- SAP Vendor # – Enter your SAP Vendor Number. Instructions on how to look up and SAP Vendor Number and how to obtain one if you do not already have one are available in the Appendix 1 – SAP Vendor Number and Supplier Lookup Tool section. Contact information for assistance is provided in the same section.
- Contact Name – Enter the primary contact name for this project. This may be an owner, manager, or other employee of the business. A contractor or consultant is NOT permitted to be the application contact. This person will receive all communications from the Department relating to the application (or project, if approved). Ensure that you enter information here for someone that can act in this capacity.
- Contact Title – Enter the primary contact title for this project.
- Phone and Fax – Enter the phone and fax (optional) numbers for the primary contact for this project. This should be a phone number at the business for which the application is being submitted or the contact's cell phone number.
- Email – Enter the email for the primary contact for this project.
- Mailing Address, City, State and ZIP Code – Enter this information for the applicant business for this project.
- Enterprise Type – Check all the types of enterprises which describe your organization. If none of the types apply, check "Other."
- Click on "Continue" at the bottom right.

4. **Project Overview**
   - Complete all fields in this section.
     - <u>Project Name</u> – The project name will auto-populate.
     - <u>Is this project related to another previously submitted project?</u> – Select "Yes" or "No." If "Yes," explain in the space provided.
     - <u>Have you contacted anyone at DEP about your project?</u> – If "Yes," indicate with whom you spoke in the space provided.
     - <u>Is your community certified through Sustainable Pennsylvania?</u> – Select "No." This field pertains to municipalities only. Selecting yes will not affect the grant decision.
     - <u>Are you interested in applying for multiple funding sources for this project?</u> – Answer as preferred. If you answered "Yes" to this question, you can contact DCED or other Agencies/organizations to discuss other potential funding sources for this project.
     - <u>How many site locations are involved in this project?</u> – Select the number of sites that apply. This will affect the number of tabs in the next section.
     - Click on "Continue" at the bottom right.

5. **Project Site Location(s)**
   - If your project only involves one site location, follow the directions below. If your project involves multiple locations, you will see several tabs (Site 1, Site 2, etc.). Complete a tab for each location.
     - <u>Address</u> – Enter the project location physical address (street address). **<u>P.O. Boxes are not acceptable</u>**.
     - <u>City, State and ZIP Code</u> – Enter this information.
     - <u>County</u> – Select from the drop-down menu.
     - <u>Municipality</u> – Select from the drop-down menu.
     - <u>PA House, PA Senate, & US House</u> – These fields <u>will be filled automatically</u> based on the information entered above.
     - <u>Designated Areas</u> – Select all that apply. If unsure, do not check any boxes.
   - Click on "<u>Continue</u>" at the bottom right.

6. **Project Narrative**
   - Complete all fields in this section.
     - <u>Current Equipment/ Process</u> – Describe the current equipment, material, or process that is proposed for replacement or upgrade. Include the purpose it serves the business and where inefficiencies exist or how waste is generated.
     - <u>New Equipment/ Process</u> – Explain the replacement or upgrades proposed, and how they will improve energy efficiency and/or reduce or prevent the creation of waste.
     - <u>Funding</u> – Identify any known sources of funding, other than this grant, personal, or business funds, that will or may be used to complete the project, including other grants or loans, rebates, or other incentives.
   - Click on "<u>Continue</u>" at the bottom right.

7. **Program Budget**

- There are two tabs on this page which need to be completed, <u>Spreadsheet</u> and <u>Basis of Cost</u>. You will need to select each tab to complete them.

Spreadsheet Tab

- The Grant Calculator should be completed prior to starting your application and must be complete to fill out this tab. When you open the Budget Tab, it will look like this.

- Click on the "Please Select a Category" drop-down menu and select "Other {Miscellaneous}." In the box that opens, type in "Grant Request" and save.
- The chart should look like this once this step is complete. Do NOT add additional columns or rows.

- Enter the requested grant amount from the Summary Tab of the Grant Calculator in the Small Business Advantage Grant column. Enter the applicant's share of total project costs from the Summary Tab of the Grant Calculator in the Applicant Share Total Costs column. The total should reflect the total anticipated project costs, which is the total of all invoices, including both eligible and ineligible costs.
- Click on the "Basis of Cost" tab or "Continue" to complete the next step.

<u>Basis of Cost Tab</u>

- You will still be on the "Program Budget" Tab.
- *Basis of Cost* – Check all appropriate boxes. For example, if you are basing the cost on a bid received for the work, click "Bids/Quotations."
- *Budget Narrative* – Identify each quote included and briefly describe what equipment or material is included in that quote. The information here should match the quotes uploaded in the next section of the application. If you need to revise the Budget Narrative, you can return to this tab at any time prior to hitting "Submit" at the end of the application.
- Click on "<u>Continue</u>" at the bottom right.

8. Addenda

General Project Information

1. *Enter the business name as listed on Line 2 of the Federal Internal Revenue Service Form W-9 if the business name differs from the applicant's name. Required*
   - Enter the full business name as it appears on Form W-9.

2. *Select the proposed project type from the list. If Other, describe. Required*
   - Dropdown list will display the following: Lighting, HVAC, Refrigeration, Boilers, Truck Retrofits, Medical X-Rays and Scanners, Natural Resource Protection, Other Projects, and Combination. Select one or more categories for the proposed project. If Other Projects or Combination is selected, describe the project in the text box, including what type of project it is. This description is in addition to the description in the Narrative Tab but does not have to be as comprehensive.

3. *Proposed Project Period – Start Date-End Date - Required*
   - Enter the expected start and end date for the project. Dates must fall within the project period for the grant round (July 1, 2022 – June 30, 2023).

4. *Has anyone other than DEP employees assisted with application submission?*
   - Select "Yes" or "No" from the dropdown menu.

   4a. If "Yes," provide name, phone number, and email of person who assisted applicant.
   - Provide the requested information in the text box.

5. *Has the applicant paid (in total) more than 50% of the estimated total project cost to hold a quote or contractor commitment prior July 1, 2023?*
   - Select "Yes" or "No" from the dropdown menu. Please note, if the answer is "Yes," the project is likely ineligible for funding.

Compliance Information

6. *Does the applicant business operate under any permit issued by DEP, including waste, water, air, oil and gas, or other? Required*
   - Select "Yes" or "No" from the dropdown menu.

   6a. If "Yes," list the type, number, and date issued for all applicable permits.
   - Provide the requested information for all applicable permits.

6b. Is the business in compliance with all permit conditions?
- Select "Yes" or "No" from the dropdown menu. Please note, if an applicant is not in compliance with all permit conditions, the application may be rejected.

7. *As far as the applicant knows, is the business currently in compliance with all applicable DEP regulations?* *Required*
   - Select "Yes" or "No" from the dropdown menu.

   7a. If "No," explain any non-compliance.
   - If "No" is selected, provide details such as the regulation in question or any actions the Department has taken against the applicant relating to the non-compliance. Please note, if an applicant is not in compliance with Department regulations, the application may be rejected.

8. *Does the business have any known unresolved environmental, financial, or other obligations to any Commonwealth agency?* *Required*
   - Select "Yes" or "No" from the dropdown menu.

   8a. If "Yes," describe the obligation.
   - If "Yes" is selected, and the applicant is comfortable doing so, provide details about the obligation, such as the type and agency the obligation is owed to. This detailed information is voluntary. Please note, if an applicant has unresolved obligations to the commonwealth, the application may be rejected.

Business Registration Information

9. *Is the applicant business registered with the Pennsylvania Department of State, as applicable?* *Required*
   - Select "Yes" or "No" from the dropdown menu. If you are unsure, see the Program Guidelines for the website to check your business registration.

   9a. If "Yes" for above question, enter the Entity Number assigned to the business.
   - Enter the Entity Number registered to the applicant's business. Each registration is issued a unique Entity Number. If you are registered, you can look up this number at the website provided in the Program Guidelines.

   9b. If "No" for question #9, is the business operated as a sole proprietorship under the applicant's legal name?
   - Select "Yes" if the business is operated as a sole proprietorship. If "No" is selected, enter the name the business operates under in the text box below.
     If "No," enter the name the business operates under.

10. *Does registered business address match that address provided in the applicant vendor profile, applicant address information, or project site location provided in the application?*
    - Select "Yes" or "No" from the dropdown menu. The registered address can match either the applicant address or the site location if the applicant answers "Yes."

    10a. If "No", provide registered address.
    - If "No" is selected, enter the registered address here.

11. *Enter your SAP Vendor Number. The SAP vendor number is required to receive a reimbursement from the Commonwealth. If you do not have an SAP vendor number, you will not be able to*

complete this application until you obtain one. To obtain an SAP vendor number from the Commonwealth, go to Pennsylvania's Vendor Registration website (link to https://www.budget.pa.gov/Services/ForVendors/Pages/Vendor-Registration.aspx) and follow the instructions for 'Non-Procurement' registration. Carefully follow any instructions you are given to be approved for an SAP Vendor Number. Make sure that you provide the requested (and required) documentation quickly, to ensure you receive an SAP Vendor number in a timely manner. *Required*

- Enter the SAP Vendor Number in the box provided. An SAP Vendor Number is required to apply. Enter only the last six digits.

Business Relationship Information

12. *List the name of all owners of the business.*
   - List the names of all the owners of the applicant business. This information is used to verify ownership in common or applications submitted under associated businesses.

13. *Do any of the owners of the applicant business have a 20% or greater ownership stake (Common Ownership) in any other business operating worldwide?*
   - Select "Yes" or "No" from the dropdown menu. Provide details below.

   13a. *If "Yes," identify those businesses, including legal name and address.*
      - From the list above, identify which, if any, of the owners have a 20% or greater ownership stake in any other business. List those businesses and identify the owner associated with that business.

14. *Have any other Small Business Advantage Grant applications been submitted on or after July 1, 2023, by the same applicant, this applicant's spouse, a family member of the applicant, or other owners for any of the businesses listed in Question 13?*
   - Select "Yes" or "No" from the dropdown menu.

   14a. *If "Yes," which business(es)?*
      - If "Yes," identify the relevant persons, and the relevant businesses, as applicable from Question 13.

15. *Is the applicant business any of the following in relation to another business operating worldwide? Select those applicable, if any.*
   - Select all appropriate options from the dropdown menu showing the following options: Parent; Fully or Partially Owned Subsidiary, Branch Office, Under Common Ownership/Management (20% or greater ownership), Franchise, Purchasing Coop, Other.

   15a. *Identify the related business(es) and the relationship it has to the applicant.*
      - List related businesses and the relationship to the applicant in the text box.

16. *How many Full Time Equivalent (FTE) employees are employed by your company? This must include all employees worldwide for parent companies, subsidiaries, branch offices and businesses under common ownership/management.* *Required*
   - List the FTE number for the applicant and all associated businesses. This should just be a number, not an explanation.

16a. *Current number of Full-Time Employees in Pennsylvania*
- Enter the number of FTEs working at locations in Pennsylvania. This will be a portion of or the same number as 16, but it should not be higher.

17. *Are any of the primary business owners (20% or more) any of the following? Select "Yes" for all that apply. Woman-owned, Veteran-owned, Minority-owned. Required.*
- Select "Yes" or "No" for each drop-down menu.

Natural Resource Protection Projects Only

Complete this section if your proposed project is a Natural Resource Protection Project. Otherwise, skip to the next Section.

18. *Is your project implementing an Agricultural Best Management Practice, such as a riparian buffer planting, streambank fencing, agricultural storm water runoff management, etc.?*
- Select "Yes" or "No" from the dropdown menu.
18a. If "Yes" is selected, select "Yes" or "No" for the Agricultural E&S or Conservation Plan; the Manure Management Plan; and/or the Nutrient Management Plan.

18b. *If the business has any of these types of plans, is the business in compliance with those plans?*
- Select "Yes" or "No" from the dropdown menu.

19. *Is the proposed project partially funded by a multi-year funding source, such as an NRCS EQIP grant or similar funding? If "Yes", proceed to the next question. If "No," proceed to Question 25.*
- Select "Yes" or "No" from the dropdown menu. If "Yes," complete the rest of this section. If "No," skip to Question 25.

20. *Have the project costs been separated into estimated annualized costs?*
- Select "Yes" or "No" from the dropdown menu.

21. *Have the individual project activities been identified?*
- Select "Yes" or "No" from the dropdown menu.

21a. *If "Yes", list the different project activities here, and highlight the portion of the activities proposed for funding in this application.*
- If "Yes," provide the requested information in the text box provided. Department staff should be able to identify the part of the project proposed for funding in this application based on the list and descriptions provided.

22. *Has the applicant determined the amount of the multi-year funding allocated to the project proposed in this application? If "Yes," list the amount below.*
- Select "Yes" or "No" from the dropdown menu. Funding should be allocated by the applicant to each part of the proposed project, including if that part is being funded over multiple years. Any projects eligible for this grant should have funding allocated to complete the proposed portion within the grant project period (one year or less). If "Yes," identify the amount allocated to the proposed project in the text box.

23. *What are the start and end dates of the multi-year project?*
- Select or fill in the proposed start and end date of the proposed project, including the year.

24. *Has any portion of the multi-year project previously received funding under the Small Business Advantage Grant Program?*
  - Select "Yes" or "No" from the dropdown menu.

  24a. *If "Yes," provide the year and applicant name, or ESA ID#, for the project portion that was previously awarded SBAG funding.*
    - If "Yes," provide the requested information in the text box. Applicants should provide enough identifying information for Department staff to be able to identify their project from past applications.

25. *Upload a project site plan including, specifically the site plan for the project portion proposed for funding under this application.*
  - Upload one or multiple documents showing a site plan for the proposed project. This plan does not need to be excessively detailed but should provide enough information so that Department staff can determine where the project is occurring on the property, with clear outlines, and the general parameters of the work area.

Supplier/Vendor Information

You must provide the information below for all suppliers or vendors related to the proposed project, for both eligible costs and ineligible costs under this grant program. See the program guidelines for additional information and examples.

26. *Do you have any vendors that are providing both services (labor, etc.) AND products (supplies, equipment, materials, etc.) for this project?*
  - Select "Yes" or "No" from the dropdown menu.
    If "Yes", provide the following information. Click "Add" to provide information for more than one vendor. Required
  - Determine if you have any vendors engaged in your project that are providing both services and supplies. An example would be purchasing lights from a vendor and having the same vendor install the lights. Enter the following information for all vendors providing both services and products: FEIN; company legal name and address; and contact person name, phone number, and email address. Once you have entered the required information, select 'add' for any additional vendors. Repeat the process for all relevant vendors.

27.a. *Do you have any vendors that are providing ONLY services (labor, etc.) for this project?*
  - Select "Yes" or "No" from the dropdown menu.
    If "Yes", provide the following information. Click "Add" to provide information for more than one vendor. Required
  - Determine if you have any vendors engaged in your project that are providing ONLY services. An example would be hiring an electrician (or using an in-house electrician) to install lights purchased from another vendor. Enter the following information for all vendors providing services: company legal name and address; and contact person name, phone number, and email address. Once you have entered the required information, select 'add' for any additional vendors. Repeat the process for all relevant vendors.

27.b. *Do you have any vendors that are providing ONLY products (supplies, equipment, materials, etc.) for this project?*
  - Select "Yes" or "No" from the dropdown menu.

If "Yes", provide the following information. Click "Add" to provide information for more than one vendor. Required

▪ Determine if you have any vendors engaged in your project that are providing ONLY products. An example would be purchasing lights from a home supply store directly without an installation contract. Enter the following information for all vendors providing products: company legal name and address; and contact person name, phone number, and email address. Once you have entered the required information, select 'add' for any additional vendors. Repeat the process for all relevant vendors.

Attachments

28. *Grant Calculator – Upload the completed Grant Calculator. You cannot apply without this completed document. If you have not yet completed the Grant Calculator, it can be downloaded <u>here</u>. Required*

▪ Complete and upload the Grant Calculator using the 'Browse' button to find the applicant's file on their computer. The Grant Calculator will also provide the amount for the applicant to enter on the Budget tab of the application. For assistance with the Grant Calculator, review these Program Guidelines and refer to the SBAG Calculator Instructions.

▪ Prior to uploading, save the document with the following formatting: Applicant/Company Name – Grant Calculator. Example: Jane's Flowers – Grant Calculator.

29. *Product Brochures – Upload product brochures, data sheets, specifications, etc. for equipment or materials that will be submitted for reimbursement under this project proposal. Required*

▪ Upload brochures or similar materials for any equipment or material for which funding is being requested under this grant program. Upload as many as necessary to account for all components of the project. Brochures should match items as described in the quotes/estimates/invoices and the Project Costs tab of the Grant Calculator.

▪ Prior to uploading, save the document(s) with the following formatting: Company Name – E Number(s) – Document Type (Brochure, Data Sheet, Specification, etc.) – Equipment/Supply Type. Examples: Jane's Flowers – E1E2 – Brochure – lighting fixtures or Jane's Manufacturing – E3E4 – Specifications – HVAC system.

▪ E Numbers relate to the Line Item Number from the Project Costs Tab of the Grant Calculator. Each item (or group of items) proposed for funding under the grant will be listed on this tab and assigned an E Number. If more than one-line item is included in a particular brochure or specification, include all applicable E Numbers in the document name.

▪ Additionally, for brochure or other documents that include multiple items or multiple versions of an item, identify the item proposed for the project by highlighting it and labeling it within the document with the Line Item identifier (E1, E2, etc.) associated with the item as it is listed in the Project Costs Tab of the Grant Calculator. Labeling and highlighting can be done manually before scanning a document for upload or digitally if the format of the document allows.

30. *Quotes/Estimates/Invoices – Upload quotes, estimates, or invoices related to the proposed project. Any cost the applicant plans to request reimbursement for must be included in these documents and labeled in accordance with the Grant Calculator Project Costs Tab formatting (E1, E2, etc.). See [SBAG Grant Calculator Instructions](#) for details.* *Required*

   ▪ Upload quotes, estimates, or invoices that include detailed, itemized information about the equipment or material proposed for funding, including equipment description, number of units, per unit price, and total price. This should be separate from labor or any other ineligible costs.

   ▪ Prior to uploading, save the document(s) with the following formatting: Company Name – Invoice (or Quote, Estimate, etc.). Example: Jim's Flowers - Invoice or Jim's Manufacturing – Estimate.

   ▪ Additionally, the invoice (or quote, estimate) should identify the items potentially eligible for funding by labeling it with the Line Item identifier (E1, E2, etc.) associated with the item as it is listed in the Project Costs Tab of the Grant Calculator. Labeling can be done manually before scanning a document for upload or digitally if the format of the document allows.

31. *Utility Bills – If you are claiming energy savings for the proposed project, upload all related utility bills or usage statements (ex. electric, water, natural gas, fuel, solar use, etc.). If the proposed project affects usage of multiple utilities, upload the bills for all that will be affected.*

   ▪ Upload utility bills or statements for all utilities affected by the proposed project. The rate from the utility bill is used in the Grant Calculator to calculate the monetary value of energy savings. For projects that save solar energy, the statement must include the rate for selling electricity back to the grid.

   ▪ Prior to uploading, save the document(s) with the following formatting: Company Name – Utility Type Bill. Example: Jane's Flowers – Electric Bill or Jane's Manufacturing – Water Bill.

   ▪ If the utility bill is paid by someone other than the entity it is addressed to, provide an explanation attached to the utility bill upload or in the narrative questions of the application.

32. *Landowner Consent Form – If the Landowner Consent Form is required, download, complete, and upload it here. See the Program Guidelines to determine applicability.*

   ▪ Complete and upload the Landowner Consent Form if the applicant is not the owner of the property where the project will be completed. See the [Landowner/Tenant](#) section of these guidelines to determine if this form is required.

   ▪ Prior to uploading, save the document(s) with the following formatting: Company Name – LC Form. Example: Jim's Flowers – LC Form or Jim's Manufacturing – LC Form.

33. *Pre-Project Photos – Pre-project photos are requested but not required, except Natural Resource Protection Projects (required). Upload any pre-project photos here.*

   ▪ Upload any pre-project photos here. Photos should show the equipment, materials, or process proposed for upgrade. Photos are required for Natural Resource Protection Projects but are optional (but requested) for all other project types.

   ▪ Prior to uploading, save the document(s) with the following formatting: Company Name – Photos Number. Example: Jane's Flowers – Photos1 or Jane's Manufacturing – Photos2.

34. *Additional Supporting Documentation – Upload any relevant supporting documentation that does not fit under the other categories.*
    ▪ Upload any documents relevant to the proposed project that do not fit with any of the other attachment categories. This may include supplementary information about the proposed equipment or materials, additional information about energy or pollution savings, or other supporting documents.
    ▪ Prior to uploading, save documents with a name that includes the applicant company name and at least some other information that will enable Department staff to determine what type of document has been uploaded.

35. *Provide the contact information requested below.*

    35a. *Enter the name of a business contact that has decision-making authority and knowledge of the business's structure and registration.*

    Enter the name of a contact at the applicant business that has decision-making authority and knowledge of business structure and registration. This will likely be an owner or officer of the business. Enter the contact's name, office phone number, cell phone number, and email address.

    35b. *Enter the name of an administrative contact that has knowledge of project management and bill payments.*

    Enter the name of a contact at the applicant business that has knowledge of project management and bill payments. This will likely be a manager or administrative staff member of the business. Enter the contact's name, office phone number, cell phone number, and email address.

    35c. *Enter an alternative vendor contact for the Department for use if the vendor(s) contact identified above in question #26 or #27 are not available.*

    Enter the name of an alternate contact for all vendors identified above. This person will only be contacted by the Department if the primary vendor contact is not available. Enter the contact's name, office phone number, cell phone number, and email address.

Certifications and Authorizations

▪ Click the checkboxes for ALL the certifications and authorizations below. An application will not be processed unless all the certifications and authorizations have been checked off.

I certify my business, and all associated businesses, have 100 or fewer Full-Time Equivalent (FTE) employees, including all employees world-wide for parent companies, subsidiaries, branch offices, and businesses under ownership/management in common. *Required*

I certify that the proposed project will meet the minimum cost dollar value and percentage savings as indicated in the Program Guidelines, through energy efficiency improvements and/or waste reduction or elimination. These savings are reflected in the Grant Calculator uploaded with this application. *Required*

I authorize DEP staff to contact vendors/suppliers/subcontractors from whom equipment or supplies are being purchased for the purpose of obtaining additional information related to the equipment or supplies being purchased, their stated performance, the quantities being purchased, and related information *Required*

I authorize DEP staff to use any pre- and post-project photos submitted with this application to include with project information for project mapping and to use in social media posts, as appropriate, with photo credit provided to the applicant organization/grantee. Required

Click "Continue" once all questions have been answered.

> **NOTE: Failure to answer or respond to all questions in Certifications and Authorizations will result in the denial of your application.**

9. **Certification and Submission**
   - If there is any missing information in your application, your screen will look similar to the following example. Note under the orange "Application Certification" heading, it will state, "**The following sections are incomplete.**"
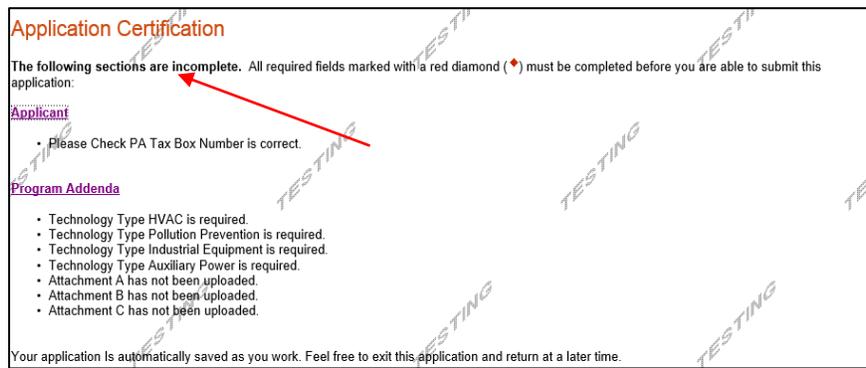
   - To add or correct the information on your application, click on the section heading to return to the page (in the Red Heading bar) needing additional information. Make the required changes, then return to the Certification tab (in the Red Heading bar).
   - If your application is complete, your screen will look like this. Note under the orange "Application Certification" heading, it will state, "**All of the required sections of the web application have been completed.**"
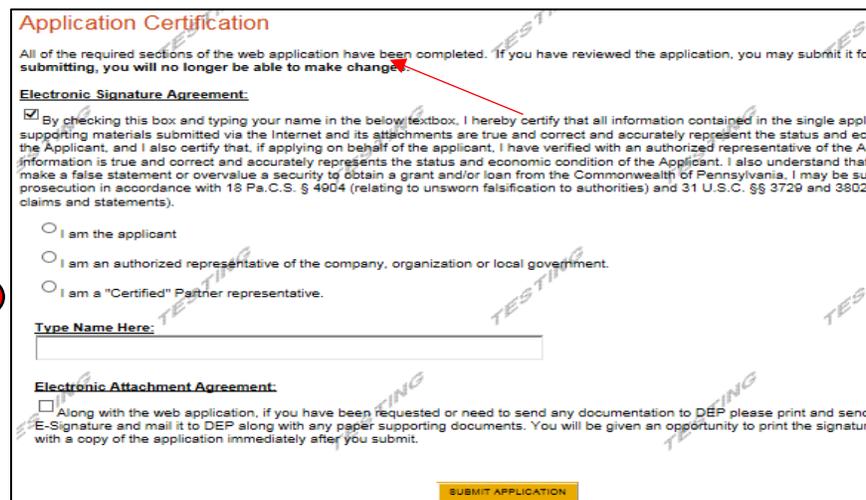
   - Complete the following fields:
     A. Indicate certification of application information by checking the related box.

B. Indicate identity as one of the following:
- I am the applicant; or
- I am an authorized representative of the company, organization, or local government.

🚫 ** Do not use the "Certified" Partner representative. This is a special commonwealth designation which does not apply to this grant.*

*If authorized representative is selected, an Authorized Representative Form must be uploaded with the application.

C. Type your name in the block provided. This will serve as your official application e-signature and authorizes your application. <u>This signature must be entered by the business owner or Authorized Representative.</u>

D. Check the "Electronic Attachment Agreement" box.

E. Click on "Submit Application."

10. Application Receipt Verification

- Complete the following tasks:
  - ♦ If you want a copy of your application, click the "Print Entire Application with Signature Page" link near the bottom of the page. You can also choose to print the signature page only.
  - ♦ **Important**: Make sure to note the Single Application ID#. Save this number with the Username and Password you created. All future correspondence from the Department will reference this number.
  - ♦ At the bottom, you see a note stating the signature page can be mailed to the Pennsylvania Department of Environmental Protection. This is **NOT** necessary.

<u>Sample</u> **Single Application ID # (ESA ID#)**

Congratulations! You have completed the online application. You will be notified of your application status and subsequent steps in the next few weeks.

You have now completed the Step-by-Step Application Instructions for the Small Business Advantage Grant Program. Refer to the resources listed in this document for assistance with any part of the application process.

Appendix 4 – Language Access Resources

Microsoft Word Documents (free): This document can be translated into over 60 languages using Word Translator. See instructions below.

Select the 'Review' tab and open the 'Translate' drop-down.
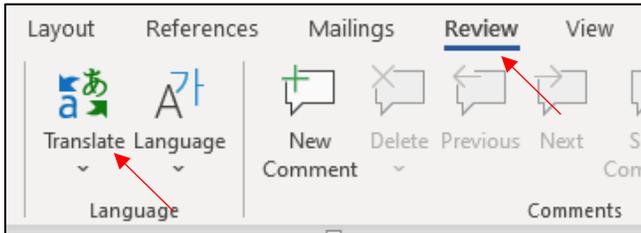
Select 'Translate Document' for entire document, or 'Translate Selection' for partial translation.
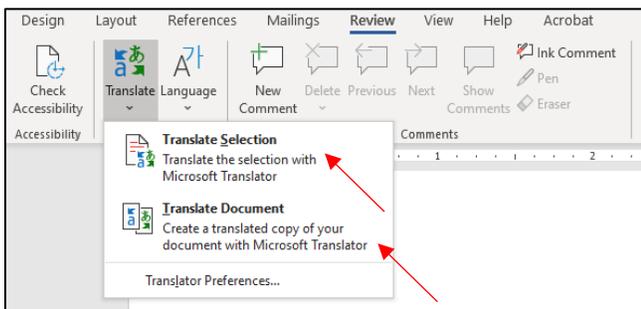
The 'Translator' tool will open on the right of the screen. Use the 'To' drop-down to select the language you prefer. Once a language is selected, Microsoft Word will complete the translation and open a new document.
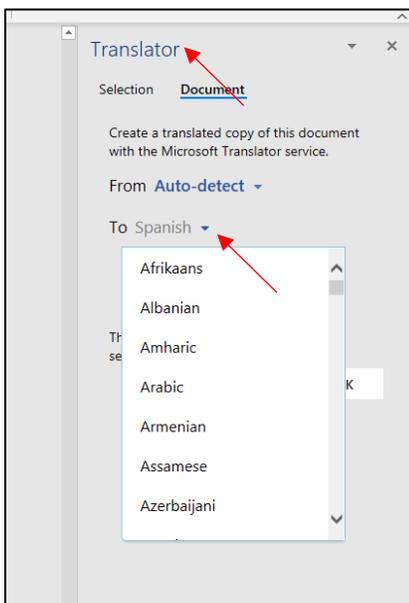

*Pennsylvania Department of Environmental Protection does NOT take responsibility for mistranslations using this tool. The English (US) version of the document will be the official source for any conflicts with interpretation.

ESA System (free): The online application can be displayed in multiple languages in the Electronic Single Application (ESA) system. To pull up translation options using Microsoft Chrome, right-click in the open space near the login credential area and select 'Translate' or 'Translate to English.' If you have a different language set as a preferred language in your browser, it may say 'Translate to ____' and display your preferred language. (see next paragraph).
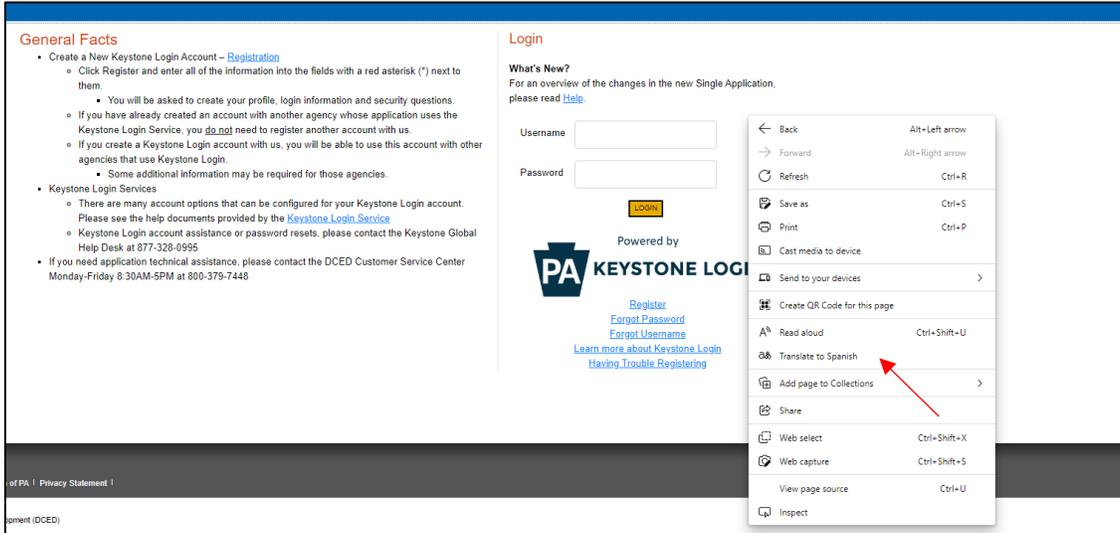
The translate option in ESA allows translation into English or your preferred language (Spanish, German, etc.). The following icon will appear in the toolbar once the Translate option is selected and you can pick another language. Click on 'Show Original' to return the page to English.
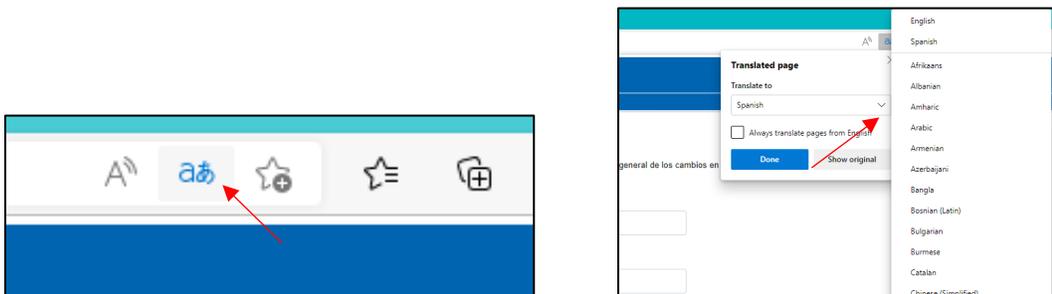
If you select a language other than English (U.S.), the entire application will be displayed in the language selected. This option will not translate attachments or documents downloaded from the application. If you need assistance with translations of attachments, please contact the Department using the contact information provided in the Program Guidelines.

Relay Service: For applicants who are deaf, hard of hearing, deafblind, or have a speech disorder, the Hamilton Relay Service is available by calling 1.800.654.5984 (TTD users) or 1.800.654.5988 (voice users) and request that the call be relayed to Ms. Samantha Harmon at 717.783.0909.

ATTENTION: If you speak another language other than English, language assistance services can be made available to you. Call (717) 783-0909.

Arabic

تنبيه: إذا كنت تتحدث لغة أخرى غير الإنجليزية، يمكن توفير خدمات المساعدة اللغوية لك. اتصل بالرقم (717) 783-0909.

Cantonese (Traditional)

注意：如果您說英語以外的其他語言，可以為您提供語言幫助服務。 致電 （ 717 ） 783-0909。

Chinese Simplified

注意：如果您说英语以外的其他语言，可以为您提供语言帮助服务。致电（717）783-0909。

French

ATTENTION: Si vous parlez une autre langue que l'anglais, des services d'assistance linguistique peuvent être mis à votre disposition. Composez le (717) 783-0909.

German

ACHTUNG: Wenn Sie eine andere Sprache als Englisch sprechen, können Ihnen Sprachunterstützungsdienste zur Verfügung gestellt werden. Rufen Sie (717) 783-0909 an.

Greek

ΠΡΟΣΟΧΗ: Εάν μιλάτε άλλη γλώσσα εκτός από τα αγγλικά, οι υπηρεσίες γλωσσικής βοήθειας μπορούν να τεθούν στη διάθεσή σας. Καλέστε (717) 783-0909.

Hindi

ध्यान दें: यदि आप अंग्रेजी के अलावा कोई अन्य भाषा बोलते हैं, तो भाषा सहायता सेवाएं आपको उपलब्ध कराई जा सकती हैं। कॉल करें (717) 783-0909.

Italian

ATTENZIONE: Se parli un'altra lingua diversa dall'inglese, i servizi di assistenza linguistica possono essere messi a tua disposizione. Chiama il numero (717) 783-0909.

Japanese

注意:英語以外の言語を話す場合は、言語支援サービスを利用できます。(717)783-0909に電話してください。

Korean

주의: 영어 이외의 다른 언어를 사용하는 경우 언어 지원 서비스를 이용할 수 있습니다. 전화 (717) 783-0909.

Nepali

ध्यान दिनुहोस्: यदि तपाईं अंग्रेजीबाहेक अन्य भाषा बोल्नुहुन्छ भने तपाईंलाई भाषा सहायता सेवा उपलब्ध गराउन सकिन्छ। कल (७१७) ७८३-०९०९ ।

Polish

UWAGA: Jeśli mówisz w innym języku niż angielski, usługi pomocy językowej mogą zostać Ci udostępnione. Zadzwoń pod numer (717) 783-0909.

Punjabi

ਧਿਆਨ ਦਿਓ: ਜੇ ਤੁਸੀਂ ਅੰਗਰੇਜ਼ੀ ਤੋਂ ਇਲਾਵਾ ਕੋਈ ਹੋਰ ਭਾਸ਼ਾ ਬੋਲਦੇ ਹੋ, ਤਾਂ ਭਾਸ਼ਾ ਸਹਾਇਤਾ ਸੇਵਾਵਾਂ ਤੁਹਾਨੂੰ ਉਪਲਬਧ ਕਰਵਾਈਆਂ ਜਾ ਸਕਦੀਆਂ ਹਨ। (717) 783-0909 'ਤੇ ਕਾਲ ਕਰੋ।

Russian

ВНИМАНИЕ: Если вы говорите на другом языке, кроме английского, вам могут быть предоставлены услуги языковой помощи. Звоните по телефону (717) 783-0909.

Somali

FIIRO GAAR AH: Haddii aad ku hadasho luqad kale oon aheyn ingiriiska, adeegyo luuqado ayaa kuu diyaar ah. Wac (717) 783-0909.

Spanish

ATENCIÓN: Si habla otro idioma que no sea el inglés, los servicios de asistencia lingüística pueden estar disponibles para usted. Llame al (717) 783-0909.

Ukrainian

УВАГА: Якщо ви володієте іншою мовою, крім англійської, вам можуть бути доступні послуги мовної допомоги. Телефонуйте (717) 783-0909.

Urdu

توجہ: اگر آپ انگریزی کے علاوہ کوئی اور زبان بولتے ہیں تو زبان کی معاونت کی خدمات آپ کو دستیاب کرائی جا سکتی ہیں۔ کال (717) 783-0909.

Vietnamese

CHÚ Ý: Nếu bạn nói một ngôn ngữ khác ngoài tiếng Anh, các dịch vụ hỗ trợ ngôn ngữ có thể được cung cấp cho bạn. Gọi (717) 783-0909.