

Infrastructure Development Program

Program Guidelines | May 2008

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Section I – Introduction

A. General

The Infrastructure Development Program (IDP) makes grants and loans to eligible applicants for specific infrastructure improvements necessary to complement eligible capital investment by private companies and private developers.

B. Eligibility

1. Eligible Applicants:

- a. Municipalities (Boroughs, Townships, Towns, Counties, Cities, Home Rule, Municipalities)
- b. Industrial Development Authorities and Corporations
- c. Municipal Authorities
- d. Redevelopment Authorities
- e. Local Development Districts

Private companies or private developers cannot apply directly for assistance under this program. All applications must be submitted by an eligible applicant and must be accompanied by a letter of intent from the private company or private developer, which meets the criteria set forth in Section I, C, 1 and 2 of these guidelines. A private company or private developer who submits a letter of intent or an application directly to the Department of Community and Economic Development (DCED) will be referred to the appropriate eligible applicant.

2. Eligible Private Companies:

The following private companies are eligible for an IDP award of assistance:

- a. **Agricultural Enterprise** - An enterprise which is engaged in either of the following:
 - (1) The manufacture, development or preparation for sale of one or more farm commodities which adds value to those commodities.
 - (2) The conversion of a farm product into a marketable form, including, but not limited to, livestock by slaughtering, fruits and vegetables by canning and freezing, and forest products by secondary processing.
- b. **Industrial Enterprise** - An enterprise other than a mercantile, commercial, or retail enterprise. Examples include: warehouse and terminal facilities, and office buildings utilized as national or regional headquarters or computer or clerical operations centers.
- c. **Manufacturing Enterprise** - An enterprise which is engaged in the giving of new shapes, new qualities or new combinations to matter by the application of skill and labor.
- d. **Research and Development Enterprise** - An enterprise for the discovery of new, or the refinement of known, substances, processes, products, theories, and ideas, but does not include activities directed primarily to the accumulation or analysis of commercial, financial or mercantile data.

- e. **Export Service Enterprise** - A person, partnership, corporation or other for-profit business entity engaged in activities which increase the Commonwealth's share of domestic and international commerce. An export service enterprise shall be found to increase the Commonwealth's share of domestic and international commerce if more than half of its sales or services are rendered to customers outside of this Commonwealth.
- f. **Commercial Enterprise** - A for-profit business that provides goods or services to individuals or businesses, and is locating in a building or facility at a site formerly used for manufacturing, industrial, commercial, or retail purposes which has been unoccupied and unused for at least one year prior to the IDP application date.

Eligible private companies also must meet all of the following conditions:

- They must locate or expand at a Pennsylvania site.
- They must invest private (matching) capital at the site, as specified in Section I.C.1.
- They must create new jobs at the site, as specified in Section I.C.2.

3. **Eligible Private Developers**

Private developers eligible to receive assistance under the act are defined as any person, partnership, corporation or other business entity that is engaged in the development of real estate, for use by more than one private company (as defined in this section), and that is determined by the Department to be financially responsible to assume all obligations proposed to be undertaken, including, but not limited to, acquisition, development, construction, leasing, sale, operation and financing.

4. **Eligible Infrastructure Improvements**

To be eligible, all infrastructure improvement projects must be necessary for the operation of an eligible private company or companies at a specific site. The company site and the site of the related infrastructure improvement; however, do not have to be the same. (For example, the improvement could be made at a central sewage treatment site.)

Use of grant and loan funds is limited to:

- a. The construction or rehabilitation of the following:
 - (1) Drainage systems.
 - (2) Energy facilities which generate and distribute power.
 - (3) Sewer systems, including, but not limited to, the construction or repair of sewage collection lines and sewage treatment facilities.
 - (4) Transportation facilities directly affecting the site of the proposed private investment, including:
 - Roads providing access to the site.
 - Parking facilities.
 - Sidewalks.
 - Bridges.
 - Rails, including, but not limited to, the construction or rehabilitation of rail signals, rail crossings and intermodal facilities.
 - Ports, including, but not limited to, docking facilities, bulkheads, and intermodal facilities, but not warehouses.

- Waterways, including, but not limited to, channel realignment, dredging and the construction or rehabilitation of locks.
 - Airports, including, but not limited to, the construction or rehabilitation of runways, but not airport buildings.
 - Pipelines transporting natural gas, but not vehicles associated with the operation of the pipelines.
 - Facilities for the transmission of information, including, but not limited to, fiber-optic telecommunication lines.
- (5) Water supply facilities, including, but not limited to, water lines, and water storage, and water treatment facilities.
- b. The acquisition of land, rights of way, and easements necessary to construct eligible infrastructure improvements.
- c. At former industrial sites where a manufacturing or industrial facility has not been in operation for at least six months and at former commercial sites that have been unoccupied and unused for at least one year:
- (1) The acquisition of land and buildings by private developers.
 - (2) The construction of new multi-tenant buildings or the conversion of existing industrial buildings into multi-tenant buildings by private developers, for use primarily by eligible private companies. No portion of the IDP-financed multi-tenant building may be used by private companies not eligible to receive IDP funds (see Section I.B.2) without the prior written consent of the Department.
- d. The demolition of buildings.
- e. The clearing and preparation of land.
- f. The cleanup of hazardous waste materials.
- g. The engineering, design and inspection costs associated with other eligible infrastructure improvements up to ten percent of the IDP award.
- h. Administrative costs of the applicant that are necessary to effectively administer the IDP award. Also, costs of the company or developer to close an IDP loan. Administrative costs shall not exceed three percent of the IDP award.

Ineligible expenses include, but are not limited to, the following: fees for securing other financing; interest charges on borrowed funds; tap-in fees, and costs incurred prior to the approval of IDP financing.

C. Program Requirements

1. Private Matching Funds Requirement

Private matching funds means any new private investment which complements the proposed infrastructure improvement made by a private company, or by a private developer, in either the facility (land, buildings, and depreciable, fixed assets) or in infrastructure improvements at the site of the facility. Any private costs not covered by the IDP award can be included as part of the private matching funds, if incurred no more than 90 days prior to submission of the letter of intent. The private investment must occur within 18 months following the approval of IDP funds for private company projects and within five years for private developer projects.

Eligible applicants must provide evidence of a commitment from a private company or private developer to invest private matching funds at the project site. The commitment must be made in a letter of intent as described in Appendix II. The amount of private investment required must be at least \$2 for every \$1 of the IDP award.

2. Job Creation Requirement

- a. Projects which receive an IDP grant, grant-to-loan, or loan award must create a minimum of one new full-time job for every \$25,000 of assistance received or 10 new full-time jobs (whichever is greater), at the site of the facility affected by the infrastructure improvements within five years after the assistance is awarded. Full-time jobs are defined as 1,950 hours of compensated time worked during a 12-month period.
- b. As an alternative, projects which receive an IDP loan award may agree to retain the existing number of full-time jobs for a period of five years at the site affected by the infrastructure improvements.
- c. This program is expressly not intended to encourage the relocation of a company from one jurisdiction within the Commonwealth to another. However, a request by an applicant for assistance to be provided to a company which currently operates a similar business in the Commonwealth must be accompanied by a demonstration that there will be a 10 percent increase in employment at the site of the new facility using the current number of jobs in all similar businesses operated by the private company in the Commonwealth as a base. This requirement shall not apply to private companies relocating from small business incubators.

3. Other Requirements

In addition to the aforementioned requirements, the Act specifies that applications must demonstrate that:

- a. The infrastructure improvements are necessary for the efficient and cost-effective operation of the private company or the successful marketing of the facility by a private developer and that the project would not be possible without the injection of funds provided under this subchapter for infrastructure improvements.
- b. The applicant, private company or private developer is able to repay the loan and provide adequate security to cover the cost of the loan, as determined by the Department. The private company or private developer must be financially sound and able to fulfill the commitments made in its letter of intent.
- c. The project will be completed within the time frame established by the grant or loan agreement.
- d. The project is consistent with local and area-wide economic development plans, where such plans exist (e.g., plans of municipalities, counties, area-wide planning organizations), such as through letters of support from municipal officials or planning agency staff. Compliance with code enforcement, building inspection and other regulating agencies should be certified along with suitable documentation indicating the project's ability to comply with all zoning, fire and panic, and other health or safety requirements.

D. Grants

Individual grants may not exceed \$1.25 million. Grant funds may be used for eligible publicly-owned infrastructure improvements.

Publicly-owned infrastructure is defined as infrastructure improvements which are owned by the applicant or by an entity eligible to be an applicant at the time the grant is made, or which will be owned by the applicant or by the entity eligible to be an applicant upon the completion of the infrastructure improvements funded under this program. The term does not include infrastructure improvements accessible only to one user.

E. Loans

Individual loans may not exceed \$1.25 million. Loan proceeds may be used for eligible privately-owned infrastructure improvements. Interest rates and terms are set by the Department, but no term will exceed 15 years. Private companies or developers receiving loans for projects located in counties in which the lowest interest rate under the Pennsylvania Industrial Development Authority (PIDA) Program is applicable will receive a lower IDP interest rate than projects located in other counties of the Commonwealth.

F. Grant-To-Loans

1. The Department may award grants to an applicant, which the applicant in turn shall loan to a private company or private developer, upon terms and conditions approved by the Department, for infrastructure improvements on privately-owned property located in targeted communities. Targeted communities are geographical areas designated by the DCED as deserving of special consideration because of one or more adverse economic factors. This term includes, but is not limited to, enterprise zones established under the act of July 9, 1986 (P.L.1216, No.108), known as the Enterprise Zone Municipal Tax Exemption Reimbursement Act; distressed communities as defined under the act of July 10, 1987 (P.L.246, No.47), known as the Municipalities Financial Recovery Act; and areas designated by the federal government as empowerment zones or enterprise communities.
2. Principal and interest repayments may be retained by applicants who service targeted communities and who demonstrate, to the satisfaction of the Department, their capability to successfully administer a revolving loan fund. Such applicants, upon the written approval of the Department, may use the funds received to make loans for new or different projects eligible under any Department business or infrastructure financing program within the applicant's jurisdiction.

G. Grant and Loan Limitations

1. No more than 20 percent of the funds available for this program in any fiscal year will be loaned or granted for projects in any single municipality. (Counties or multi-county jurisdictions can receive more than a total of 20 percent, but the awards must be made for different minor civil divisions within those counties.)
2. No more than 10 percent of the funds available for this program in any fiscal year will be loaned or granted to applicants for speculative greenfield projects not involving private companies. Greenfield projects are on land which has never been developed for uses other than agriculture, forestry, or recreation.
3. A minimum of 20 percent of the funds available under the Infrastructure Development Program in any fiscal year shall be approved for a grant, grant-to-loan or loan for projects located on a former industrial site.
4. Project construction may not commence prior to loan/grant approval without the written consent of the Department to incur project costs. Commencement of work prior to receiving Departmental approval will result in the project being ineligible for funding consideration.

5. To be eligible for reimbursement, project costs must be incurred within the time frame established by the grant agreement or loan documents.

H. Security and Penalties (Grants and Loans)

1. Security

Borrowers must demonstrate the ability to repay IDP loans. All loans must be adequately secured by the borrower, as determined by the Department.

2. Penalties

Private companies or private developers who fail to create the number of jobs specified in a funded application or who fail to inject the required amount of private investment into the project are liable for a penalty of up to the full amount of the grant awarded by the Department unless the penalty is waived by the Department because the failure is due to circumstances outside the control of the private company or private developer. The penalty is payable in one lump sum or in installments, as the Department deems appropriate. In the case of a loan, the Department may impose an increase of up to prime plus two percent in the amount of interest payable under the terms of the loan.

The Department may enforce this subsection and may bring an action under this subsection in a court of competent jurisdiction.

Section II – The Application Process

A. Application Procedures

The eligible applicant should submit a Single Application for Assistance (Refer to Attachment I) on behalf of an eligible private company or private developer to the DCED. The Single Application can only be submitted online by accessing www.newpa.com/programFinder.aspx. When applying for Infrastructure Development Program funds, supplemental information must be submitted with the Single Application (Refer to Appendix I) Signature Page. Complete applications will be reviewed within 30 days.

B. Procedures for Accessing Funds

An executed agreement between the applicant and the DCED is required for payment of a grant or loan. The agreement must be executed within 60 days of the date a grant or loan offer is made. If the agreement is not executed within 60 days, the grant or loan offer may be withdrawn upon written notification from the Department. Following is a summary of the general provisions included in the official agreement:

1. Conditions of Grant or Loan

Grant or loan offers from the DCED include conditions and loan terms to be met by the applicant and/or private company or developer.

2. Certification of Expenses

The applicant shall obtain the services of a professional engineer or architect licensed in Pennsylvania who will certify to the Department during construction that the expenses were incurred and were in accordance with the plans approved by the Department.

3. **Nondiscrimination**

No grant or loan may be made to an applicant or private company(ies) or private developers under this Act unless they certify to the Department that they shall not discriminate against any employee or against any applicant for employment because of race, religion, color, handicap, national origin, age, or sex.

4. **Project Account**

For record maintenance and audit purposes, all IDP funds shall be deposited in a separate project account and be maintained by the applicant to hold and disburse all funds related to the project.

5. **Disbursement Process**

Grant funds are advanced to the applicant in anticipation of costs to be incurred for 90 days subsequent to the applicant’s submission of a request for payment. All costs must be verified by voucher transmittals and invoices submitted to the Department before additional 90-day advance payments are made. Payment requests require at least 35 days for processing and check issuance.

Loan funds will be deposited in one lump sum into an interest-bearing escrow account established at a local bank. Funds may be drawn down following the Department’s review of invoices submitted by the borrower. Interest earned on the account may be used by the borrower to defer the costs of the account or to make loan repayments during periods of interest only repayments

6. **Audit**

For grant projects, an audit from a Certified Public Accountant (CPA) licensed in Pennsylvania listing all project costs must be submitted to the Site Development Division 90 days after project completion. In the opinion section of the CPA’s audit, a statement shall be made certifying that Commonwealth funds were disbursed in accordance with the terms of the official agreement.

7. **Project Records**

The applicant shall maintain full and accurate records with respect to the project and should ensure adequate control over the records of related parties in the project. The Department shall have access to such records and be able to inspect all project work, invoices, materials, and other relevant records at reasonable times and places. The applicant must furnish upon request of the Department all data, reports, contracts, documents, and other information relevant to the project, as may be requested in the official agreement. The official agreement shall specify a periodic reporting requirement for the applicant which includes collecting and reporting data on actual job creation, private investment and other performance measures resulting from the investment of IDP funds. Applicants should obtain prior agreement with the private company or developer to supply accurate employment data on a timely basis.

C. Contact

A. Program inquiries should be directed to:

Department of Community and Economic Development
Center for Business Financing, Site Development Division
Infrastructure Development Program
400 North Street, 4th Floor
Commonwealth Keystone Building
Harrisburg, PA 17120-0225
Telephone: (717) 787-7120

B. These guidelines can be accessed on-line at www.newPA.com.

Appendix I - Supplemental Information for The Single Application for Assistance

In addition to completing the DCED Single Application for Assistance, please include the following items:

- Exhibit 1:** Attach copies of the signed Bids/Quotations, contractor estimates, sales agreements, or engineer estimates that verify project cost estimates. Bids must be current and dated.
- Exhibit 2:** Attach funding commitment letters from all other project funding sources (including equity commitments). Letters should include the applicable term, rate, and collateral conditions, and must be signed and dated.
- Exhibit 3:** Provide a statement of ownership of the proposed infrastructure improvements. Also include a color-coded map or plot plan detailing the location of the infrastructure and the parcel of land on which the company(ies) being served is, or will be located.
- Exhibit 4:** The Company/Developer must submit a letter of intent containing the information outlined in Appendix II. The letter of intent must be on Company's/Developer's letterhead and be signed by the chief executive officer or other officer capable of making commitments for the business.
- Exhibit 5:** For IDP loans, attach financial statements of the Company/Developer, parent company, and any other proposed guarantors, if any, for the last three years of operation. Financial statements should include balance sheets, income statements, cash flow statements, and notes to financials. Start up companies must provide three years projected financial statements.
- Exhibit 6:** For IDP loans, identify the collateral that will be offered to the Commonwealth as security for the IDP loan. If the proposed collateral is real estate, provide two complete as-is appraisals or one appraisal prepared by either a Member, American Institute of Real Estate Appraisers (MAI) or a PA State Certified Appraiser. The appraisals must be no more than six months old. If a personal guarantee is being offered as security, attach personal financial statements for the proposed guarantor and their spouse. The personal financial statements should not be more than six months old and must be signed.
- Exhibit 7:** For projects involving loans on behalf of private real estate developers, provide a projected cash flow analysis covering the period of time from project commencement to lease-up/build-out.
- Exhibit 8:** For IDP loans to private companies or private real estate developers, list the names and social security numbers of principal owners having a 20% or greater ownership interest in the company, partnership, etc.
- Exhibit 9:** Provide a resolution duly adopted by the applicant's Governing Board formally requesting the grant/loan, designating an official to execute all documents, describing briefly the project scope, and identifying the grant/loan amount, rate and term (see **Appendix II for a Sample Resolution**).
- Exhibit 10:** Provide a letter from the local planning agency certifying that the proposed project is in compliance with the comprehensive and land use plans and zoning and subdivision codes. If the project is not in compliance, please explain the nature of the inconsistency and provide an estimated timetable for securing compliance or for securing any desired change.
- Exhibit 11:** If applicable, provide the Corporation Tax Box Number and the Sales and Use License Number of the Company/Developer.

Send the completed application with all attachments to the **Department of Community and Economic Development, Customer Service Center, 4th Floor, Commonwealth Keystone Building, Harrisburg, PA 17120-0225**. If you have any questions on completing the application, please call the Center for Business Financing at (717) 787-7120.

Appendix II - Letter of Intent

As part of the application for an Infrastructure Development Program (IDP) grant or loan, the private company or developer must submit a letter of intent. Five years after completion of the infrastructure project, job creation and investment numbers projected in this letter of intent will be monitored by the Department.

This letter of intent must be on the company's/developer's letterhead and shall be signed by the Chief Executive Officer or other officer capable of making commitments for the business. An eligible private company must provide all of the following information in their letter of intent. For a private developer, a letter of intent shall include items 1, 2, 5, 8, and 9, and should include a description of the types of businesses that will be targeted to locate at the project site.

1. Amount of IDP funds requested.
2. A statement regarding the number of net, new full-time jobs to be created at the project site (as referenced in Section I.C.2. of these Program Guidelines).
3. Type of business (what the company does) and current employment levels at the site and statewide.
4. The estimated average wage level that will be paid to workers at the site.
5. A description, estimated total dollar costs, and commencement and completion dates for the private investment to be made at the site.
6. The date occupancy is to commence.
7. A statement that the specific infrastructure improvements are necessary for the efficient and cost-effective operation of the private company.
8. In the case of loans for privately-owned infrastructure improvements, a statement of willingness to provide the lending agency with security adequate to cover the cost of the loan.)
9. A statement of willingness to comply with nondiscrimination and equal employment opportunity requirements.

NOTE: Failure to provide all of the above information will delay the processing of a request for assistance.

Appendix III - Authorized Officials Resolution

Be it RESOLVED, that the _____ (Name of Applicant) of (Name of County) hereby requests an Infrastructure Development grant/loan of \$_____ at a _____ % rate and _____ year term from the Department of Community and Economic Development of the Commonwealth of Pennsylvania to be used for _____ .

Be it FURTHER RESOLVED, that the Applicant does hereby designate (Name and Title) and _____ (Name and Title) as the official(s) to execute all documents and agreements between the _____ (Name of Applicant) and the Pennsylvania Department of Community and Economic Development to facilitate and assist in obtaining the requested grant/loan.

I, _____, duly qualified Secretary of the (Name of Applicant), (Name of County), PA, hereby certify that the foregoing is a true and correct copy of a Resolution duly adopted by a majority vote of the _____ (Governing Body) at a regular meeting held _____ (Date) and said Resolution has been recorded in the Minutes of the (Applicant) and remains in effect as of this date.

IN WITNESS THEREOF, I affix my hand and attach the seal of the _____ (Applicant), this _____ day of _____, 20 _____ .

(Name of Applicant)

(County)

(Secretary)

(SEAL)

Single Application for Assistance

On-line at: www.newPA.com | January 2006

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INTRODUCTION

The Department of Community and Economic Development is pleased to introduce the Single Application for Assistance. The idea is simple. Through one form, applicants can apply for financial assistance from the Department's various funding sources. This approach to economic and community development features effective service and personal attention to the needs of our customers. It also reduces duplicative paperwork, facilitates the coordination of Department resources and allows our customers and department personnel to devote resources to what is important – creating jobs and building strong communities.

DCED encourages you to visit our web site and submit your Single Application for Assistance via on-line submission at:

www.newPA.com

Select the “Funding and Program Finder” bar on the home page.

Instructions for Page 1, Single Application for Assistance

I. PROFILES

Complete **only the applicable information** for the Applicant/Sponsor, Company/Occupant, and Beneficial/Owner sections for your project.

Applicant/Sponsor – Eligible entity completing and submitting the application. Applicant can be a business or corporation, non-profit organization, municipality, industrial authority, local development district, local government or licensed education agency. Depending on the type of project and potential funding source, an applicant/sponsor may be submitting the application on behalf of a company or occupant. Indicate the corporate structure of the applicant by selecting one of the following: For-profit corporation, Non-profit corporation, Government, Partnership or Sole Proprietorship. Please indicate your SAP Vendor Number (if known) for name standardization. If you applied for and received DCED funding in the past, you will have had a SAP Vendor Number assigned to you when you registered with SAP. Please use your company name as registered with SAP.

Business Specifics – Complete this section if there is a business involved in this project. On a separate sheet of paper, enter every additional FEIN used by the company and its affiliates to do business at the project site(s) specified on this application.

Company/Occupant – If the eligible company/occupant occupying the project site is different from the above listed applicant, complete the appropriate information for the company/occupant.

Beneficial Owner/Developer – In some projects there may be three entities involved: 1) applicant/sponsor, eligible entity that is submitting a single application to DCED, 2) company/occupant, entity seeking financial assistance to create or retain existing jobs, 3) beneficial owner/developer, entity that owns the assets to be financed.

Definitions of information requested –

Name – name of entity

CEO – Corporate Executive Officer for the entity

FEIN – Federal Employer Identification Number (9 digits)

NAICS Code – North American Industry Classification System Code

E-mail – electronic mail address

Contact name – person who prepared the application.

PA Revenue Tax Box Number – corporate (for-profit) tax number to conduct business in Pennsylvania

UC# – Unemployment Compensation Number

Current # of Full-time Employees

- in Pennsylvania

- Worldwide

Minority owned – Minority owned company – providing ethnicity is optional.

Woman owned – Woman owned company

Total Sales \$ – Total gross sales last year

Total Export Sales \$ – Total gross export sales last year (outside US)

R&D Investment (% of budget) – % of eligible company's revenue targeted for research & development last year

Employee Training Investment (% of budget) – % of eligible company's revenue targeted for employee training last year

SAP Vendor Number – Number assigned to you by the SAP Master Vendor Unit for any funding to be processed to you.

Application Number

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PA DEPARTMENT OF COMMUNITY AND ECONOMIC DEVELOPMENT

Single Application for Assistance

I. PROFILES

Applicant/Sponsor			
Name:		CEO:	
CEO Title:		Address:	
City:		State:	
Zip:		FEIN:	
NAICS Code:		<input type="checkbox"/> For-Profit Corporation <input type="checkbox"/> Non-Profit Corporation	
Contact Name:		<input type="checkbox"/> Government <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship	
Title:		Phone:	
Fax:		SAP Vendor #:	
E-mail:		PA Revenue Tax Box #:	
		Internet Access:	<input type="checkbox"/> Yes <input type="checkbox"/> No

Business Specifics			
Current # of Full-time Employees:	Pennsylvania _____	Worldwide _____	
Minority Owned:	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, ethnicity (optional): _____	Woman Owned:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> C Corporation <input type="checkbox"/> Limited Liability Corp <input type="checkbox"/> Limited Liability Partnership			
Total Sales \$		R&D Investment (% of budget)	
Total Export Sales \$		Employee Trng. Investment (% of budget)	

Company/Occupant			
Name:		CEO:	
CEO Title:		Address:	
City:		State:	
Zip:		FEIN:	
NAICS Code:		UC#	
Contact Name:		Title:	
Phone:		Fax:	
E-mail:		Internet Access:	<input type="checkbox"/> Yes <input type="checkbox"/> No

Beneficial Owner/Developer			
Name:		Address:	
City:		State:	
Zip:		FEIN:	

Instructions for Page 2, Single Application for Assistance

II. PROJECT SITE LOCATION (S)

Provide the actual address of the project site(s). In addition, include the county, municipality, Pennsylvania House and Senate District numbers, and the U. S. Congressional District number for each project site.

If the project involves the creation of new jobs or the retention of existing jobs within Pennsylvania, provide the following:

- Current number of full-time jobs at project site
- Number of full-time jobs to be created at project site.

Indicate if the project site is located in one or more of the following designated areas:

- DCED or Federal Enterprise Zone
- Brownfield Area
- Act 47 Distressed Community
- Keystone Opportunity Zone
- Prime Agricultural area
- Uses a PA Port for commerce

If this project involves more than one site, please provide the requested information for each site on an additional sheet of paper.

III. PROJECT INFORMATION

If you contacted a DCED representative to discuss funding for this project, indicate the name of the person(s) you have been working with. Providing this information will ensure smoother processing of your application.

Please indicate if you are applying for a specific funding source. If not, DCED will match your request with the source(s) it feels will best meet the needs of your project.

Provide a short project description/name.

If this project is related to a previously submitted project, please provide the project's name or contract number, if available.

IV. TYPE OF ENTERPRISE

Indicate the type of enterprise that will benefit from the requested financial assistance from DCED. If you are submitting on behalf of another entity, select the type of enterprise that best describes that entity (not your entity).

II. PROJECT SITE LOCATION(S)

Site One:			
Address:		City:	
State:		Zip:	
County:		Municipality:	
PA House #:		PA Senate #:	
US Congressional #:			
Current # of Full-Time Employees at this Site:			
# of Full-Time Jobs to be Created at this Site:			
<input type="checkbox"/> Enterprise Zone <input type="checkbox"/> Brownfield <input type="checkbox"/> Act 47 Distressed Community <input type="checkbox"/> Keystone Opportunity Zone <input type="checkbox"/> Prime Agricultural Area <input type="checkbox"/> Uses PA Port			

III. PROJECT INFORMATION

Have you contacted anyone at DCED/GAT about your project? yes no. If yes, indicate who.

Are you interested in a specific funding source? If so, indicate: _____

Project Name/Description (max. 60 characters) _____

Is this project related to another previously submitted project? yes no

If yes, indicate previous project name: _____

IV. TYPE OF ENTERPRISE (Check appropriate box or boxes)

<input type="checkbox"/> Advanced Technology	<input type="checkbox"/> Economic Dev. Provider	<input type="checkbox"/> Mining
<input type="checkbox"/> Agri-Processor	<input type="checkbox"/> Educational Facility	<input type="checkbox"/> Other (specify)
<input type="checkbox"/> Agri-Producer	<input type="checkbox"/> Emergency Responder	<input type="checkbox"/> Professional Services
<input type="checkbox"/> Authority	<input type="checkbox"/> Exempt Facility	<input type="checkbox"/> Recycling
<input type="checkbox"/> Biotechnology / Life Sciences	<input type="checkbox"/> Export Manufacturing	<input type="checkbox"/> Reg. & Nat. Headquarters
<input type="checkbox"/> Business Financial Services	<input type="checkbox"/> Export Service	<input type="checkbox"/> Research & Development
<input type="checkbox"/> Call Center	<input type="checkbox"/> Food Processing	<input type="checkbox"/> Retail
<input type="checkbox"/> Child Care Center	<input type="checkbox"/> Government	<input type="checkbox"/> Social Services Provider
<input type="checkbox"/> Commercial	<input type="checkbox"/> Healthcare	<input type="checkbox"/> Tourism Promotion
<input type="checkbox"/> Community Dev. Provider	<input type="checkbox"/> Hospitality	<input type="checkbox"/> Warehouse & Terminal
<input type="checkbox"/> Computer & Clerical Operators	<input type="checkbox"/> Industrial	
<input type="checkbox"/> Defense Related	<input type="checkbox"/> Manufacturing	
Please fill in when "Other" is specified.		

Instructions for Pages 3, 4, 5, Single Application for Assistance

V. FINANCIAL ASSISTANCE

Choose category of DCED financial assistance that this project is requesting.

NOTE: These categories are the same as those used in the Project Budget, section VII.

VI. USE OF FUNDS

Check the appropriate boxes to describe how the DCED financial assistance will be used in this project.

VII. PROJECT BUDGET

GENERAL INSTRUCTIONS: Indicate all sources of funds and project costs, including those not financed with DCED funds. At the top of the columns number (1) through (4), indicate the source of funds that will be used to pay for those items identified in the budget table. Under the source of funds, indicate the Type of Financial Assistance in the box, whether the funds are:

- Federal – public dollars (grants or loans) from the federal government;
- State – public dollars (grants or loans) from the Commonwealth of PA;
- Local – public dollars (grants or loans) from local government;
- Private – non-public dollars; or
- In-kind – other than cash assistance for the project.

Subtotal all of the line items within a category for each of the columns. **Do not use cents when calculating budget amounts.** Then add all of the Category subtotals for each of the columns to arrive at the Total for each source. Use column 5 as a Total for all sources of funding per line item. If your project has more than 4 sources of funding, feel free to duplicate the blank pages and renumber the columns.

If an amount is placed in any of the OTHER categories, you must specify what the money will be used for in the additional space or in the Project Narrative.

NOTE: If the application is approved, the project budget becomes a binding part of the legal contract between the applicant and the Department, so the projected figures must be accurate. Depending on the actual DCED funding source, additional detailed information also may be needed. Please reference the specific program guidelines for those requirements on the DCED web site at www.newPA.com.

V. INDICATE BUDGET CATEGORY OF FINANCIAL ASSISTANCE REQUESTED (Check all appropriate boxes)

<input type="checkbox"/> Acquisition	<input type="checkbox"/> Infrastructure / Site Prep	<input type="checkbox"/> Operating Costs/Working Capital
<input type="checkbox"/> General Construction	<input type="checkbox"/> Machinery and Equipment	<input type="checkbox"/> Related Costs
		<input type="checkbox"/> Other Costs

VI. HOW WILL THE ASSISTANCE BE USED? (Check all appropriate boxes)

<input type="checkbox"/> Community Development/Revitalization	<input type="checkbox"/> Environmental	<input type="checkbox"/> Recreation
<input type="checkbox"/> Community Services	<input type="checkbox"/> Export - Domestic Trade (out of PA)	<input type="checkbox"/> Tax Credits
<input type="checkbox"/> Crime Prevention	<input type="checkbox"/> Export - International Trade (out of USA)	<input type="checkbox"/> Technology Development
<input type="checkbox"/> Economic Development/Revitalization	<input type="checkbox"/> Housing	<input type="checkbox"/> Tourism Promotion
<input type="checkbox"/> Education	<input type="checkbox"/> Planning	

VII. PROJECT BUDGET

Include all sources of funds and project costs. (Include monies not financed with DCED funds.)

Sources	(1) DCED	(2)	(3)	(4)	Total
Type of Financial Assistance					
ACQUISITION					
Land					
Buildings					
Subtotal					
GENERAL CONSTRUCTION					
New Construction					
Renovations					
Subtotal					
INFRASTRUCTURE/ SITE PREPARATION					
Roads & Streets					
Parking					
Water/Sewer					

Project Budget Instructions (con't.) - Single Application for Assistance

Examples of eligible activities for budget line items:

Acquisition: Purchase of land or buildings.

General Construction: Indicate new construction or renovation construction costs including plumbing, HVAC, electrical, etc.

Infrastructure/Site Preparation: Roads & streets, parking areas, water lines, sewer lines and connections, storm sewers, utilities, demolition, excavating/grading, environmental cleanup.

Machinery & Equipment: Purchase of new or used equipment, upgrade of existing equipment, modification of buildings to accommodate purchased equipment, vehicles.

Operating Costs / Working Capital:

- All funds that will be used for working capital purposes by the Company/ Occupant
- Salaries and fringe benefits
- Training and technical assistance costs
- Consumable supplies such as printing, office supplies, disposable equipment/supplies
- Travel, per diem, mileage, airfares, auto rentals
- Promotion/Public Relations/Advertising, (include costs associated with promotion and public relations activities such as brochures, maps, TV or radio time, print ads)
- Office equipment (include telephones, computers, software, copiers, fax machines)
- Space costs such as mortgage costs, rent, maintenance costs, utilities, trash
- Program audit costs
- Indirect costs

Related Costs:

- Professional services/consultants, include contracted program services
- Engineering
- Inspections
- Fees
- Insurance
- Environmental assessment costs
- Legal costs
- Closing costs
- Contingencies (identify the specific use of these funds.)

Other Costs:

- Items not previously specified by a line item in the Project Budget, such as bank fees, membership dues, subscriptions, etc. These costs must be identified in the project narrative or Budget Justification to be eligible expenditures.

PROJECT BUDGET (continued)

Sources	(1) DCED	(2)	(3)	(4)	<u>Total</u>
<i>Utilities</i>					
<i>Demolition</i>					
<i>Excavation/Grading</i>					
<i>Environmental Cleanup</i>					
Subtotal					
MACHINERY & EQUIPMENT					
<i>New Equipment Purchase</i>					
<i>Used Equipment Purchase</i>					
<i>Upgrade Existing</i>					
<i>Installation/Building Modification</i>					
<i>Vehicles</i>					
Subtotal					
OPERATING COSTS/ WORKING CAPITAL					
<i>Working Capital</i>					
<i>Salaries & Fringe Benefits</i>					
<i>Training & Technical Assistance</i>					
<i>Consumable Supplies</i>					
<i>Travel</i>					
<i>Promotion/Public Relations/Advertising</i>					
<i>Office Equipment</i>					
<i>Space Costs</i>					
<i>Audit</i>					
<i>Indirect Costs</i>					
Subtotal					

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VIII. BASIS OF COSTS

Provide the basis for calculating the costs that are identified in the Project Budget.

IX. PROJECT NARRATIVE

On a separate sheet(s) of paper, provide a typewritten narrative that provides a detailed, comprehensive description of the project. The narrative must specifically address each of the cost items identified in the Project Budget section. **NOTE:** Some funding sources have specific guidelines regarding the narrative necessary to qualify for that particular DCED resource.

In general, the narrative must include:

- A. **Specific Problems to be Addressed or Improvements to be Financed.** Identify the problem(s) that need to be resolved. For projects involving a for-profit business, please provide a brief business background, such as: founding or incorporation date, historic background, product and marketing areas.
- B. **Project Description.** What do you plan to accomplish with this project? How do you plan to accomplish it? Include expected outcomes that are measurable, obtainable, clear and understandable, and valid. Examples of measurable outcomes include jobs created or retained, people trained, land or building acquired, housing units renovated or built, etc.
- C. **Projected Schedule and Key Milestones and Dates.** A detailed project schedule of activities, including key milestones and dates, must accompany this application.
- D. **Documentation to Support Budget Costs.** If required by the funding source, include the supporting documents that are checked under the Basis of Costs section of this application.

If applicable, include:

- E. **Certifications or Assurances.** If requesting a specific funding source, please include any specific certification and/or assurances that are required by that funding source.
- F. **Planning/Zoning Letter.** If the project involves infrastructure activities, provide a letter from the applicant or local planning agency certifying that the proposed project is in compliance with the comprehensive and land use plans and zoning and subdivision codes. If the project is not in compliance, explain the nature of the inconsistency and provide an estimated timetable for securing compliance or for securing any desired change.

PROJECT BUDGET (continued)

Sources	(1) DCED	(2)	(3)	(4)	<u>Total</u>
RELATED COSTS					
<i>Professional Services/Consultants</i>					
<i>Engineering</i>					
<i>Inspections</i>					
<i>Fees</i>					
<i>Insurance</i>					
<i>Environmental Assessment</i>					
<i>Legal Costs</i>					
<i>Closing Costs</i>					
<i>Contingencies</i>					
Subtotal					
OTHER					
Other					
Subtotal					
TOTAL					

VIII. BASIS OF COSTS (Check appropriate item)

- | | |
|---|---|
| <input type="checkbox"/> Appraisals | <input type="checkbox"/> Engineer Estimates |
| <input type="checkbox"/> Bids/Quotations | <input type="checkbox"/> Sales Agreements |
| <input type="checkbox"/> Contractor Estimates | <input type="checkbox"/> Budget Justification |

IX. PROJECT NARRATIVE

Attach a comprehensive description of this project. The narrative must specifically address each cost item identified in the project budget. In general, the narrative must include:

- A. Specific Problems to be Addressed or Improvement to be Financed
- B. Project Description
- C. Project Schedule, Key Milestones and Dates
- D. Documentation to Support Budget Costs

If applicable, include:

- E. Certifications or Assurances
- F. Planning/Zoning Letter

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X. CERTIFICATION

This section certifies that the information provided in the application is true and correct to the best of the signer's knowledge. False information may subject the signer and company/entity to criminal prosecution.

Please date the application. An individual who is authorized to sign on behalf of the applicant/sponsor must sign the application prior to submission to DCED. Print or type his or her name and title below the signature. Enter the address of the entity represented. If you are requesting a specific funding that requires the authorized signature be attested, do so in the space provided.

MAIL COMPLETED APPLICATION TO:

Pennsylvania Department of Community and Economic Development
Commonwealth Keystone Building
400 North Street, 4th Floor
Harrisburg PA 17120-0225

**If you have questions on the Single Application,
contact DCED Customer Service Center at:
1-866-GO-NEWPA (1-866-466-3972)
or 1-800-379-7448
e-mail: ra-dcedcs@state.pa.us**

X. CERTIFICATION

I hereby certify that all information contained in this document and attachments are true and correct to the best of my knowledge. If I knowingly make a false statement or overvalue a security to obtain a grant and/or loan from DCED, I (company, entity and signer) may be subject to criminal prosecution.

Date: _____

Signature: _____

Print Name: _____ Title: _____

Representing: _____

Address: _____

If this application is being submitted on behalf of another entity, a certification is also required for that entity.

Signature: _____

Print Name: _____ Title: _____

Corporate Submissions Only:

Attested by: _____ (Signature of Corporate Secretary)

"I understand that in order to facilitate the submission of additional applications for this project on the Internet, information from this application (limited to the profile, project summary and site employment/ projected jobs data) will be available to DCED Authorized Service Providers on the DCED Single Application web site, unless I have checked here ____ "

The Department of Community and Economic Development reserves the right to accept or reject any or all applications submitted on the Single Application for Assistance contingent upon available funding sources and respective applicant eligibility.