



# STORMWATER GRANTS Application Guide



**PHILADELPHIA**  
**WATER**  
— DEPARTMENT —

December 2019  
Version 2.0

# What's New

## Application: New deadline, requirements and evaluation

- For the next fiscal year, there is **one application deadline**. Another deadline could be added if we receive a high number of qualified applications. Awards will be announced approximately three months after the grant deadline, pending confirmation of city budgets.
- **Property owners and grant managers must attend a pre-application meeting** at least one month before the application deadline.
- **We've revised how we evaluate** the strength of a stormwater grant application. See page 21 of this guide for details.

## New Project Requirements

- **Projects must manage at least the first 1.5" of rainfall citywide.**
- **Licenses and Inspections permits will be required for all projects.** Keep this in mind for project budget and timeline development.
- **Loading ratios for subsurface infiltration systems are now the same** for both the combined sewer system and separate sewer system (10:1).

## New Guidance

- We've included the *Pre-Application Checklist* and a new *Common Application Mistakes Checklist*, for project teams to review their application before applying. See pages 22-24 for these checklists.
- We've included a template for a *Letter of Intent* for Alt-SMIP and GARP project applications. See Appendix C for a template.
- We've included a template for a *Proof of Consent*. See Appendix D for a template.



**Questions about these updates?** Please contact the Incentives Team.  
Call **(215) 685-6070** or email [pwd.stormwatercredits@phila.gov](mailto:pwd.stormwatercredits@phila.gov).

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# Stormwater Grants Application Guide

*A step-by-step guide for applicants*

## INTRODUCTION

A **stormwater grant** can pay the cost to design and construct a stormwater retrofit project on non-residential properties in the City of Philadelphia. The Philadelphia Water Department (PWD), issuing funds through Philadelphia Industrial Development Corporation (PIDC), awards stormwater grants every year. Stormwater grant applications are reviewed by the Incentives Team.

### What do I get?

- An opportunity to add new landscaping, fix drainage problems, and enhance of your property.
- Lower stormwater bills. To see how much you can save, visit [Credits Explorer](#) and [the Stormwater Grants website](#).
- Personal assistance from PWD to guide you through the process.

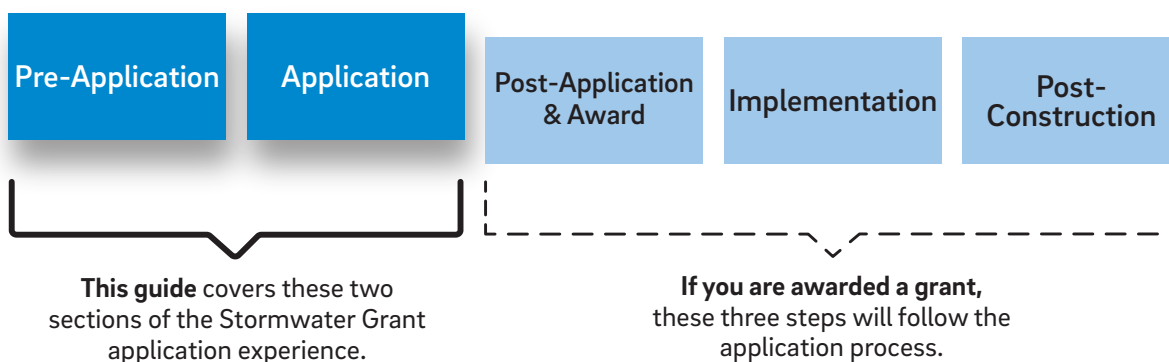
### What do I have to do?

- Choose a vendor to design and construct the project
- Apply for funding
- Sign or join a Subgrant Agreement to receive funding
- Commit to maintain the stormwater retrofit project after it is complete

### Why does PWD offer grants?

The City of Philadelphia is required to reduce stormwater pollution from hard, impervious surfaces—like parking lots and rooftops—by state and federal governments. Stormwater retrofit projects filter and absorb stormwater runoff from these surfaces, making them a cost-effective way to reduce stormwater pollution and enhance water quality in Philadelphia's creeks and rivers. It's a smart way to meet our obligations and help property owners save money.

## WHAT THIS GUIDE COVERS



## Pre-Application

### In this Section

- 1 Determine your eligibility
- 2 Weigh your priorities
- 3 Assemble your team
- 4 Choose a project model
- 5 Do your due diligence
- 6 Draft a concept plan
- 7 Schedule a pre-application meeting with PWD
- 8 Finalize your concept plan

### Interested in Residential Stormwater Projects?

PWD offers a separate program for homeowners who are interested in stormwater retrofits. Please visit [pwdraincheck.org](http://pwdraincheck.org) for more information about the Rain Check program.

## 1. Determine Your Eligibility

### Eligible Properties

A property is eligible if it is:

- Non-residential
- In the City of Philadelphia
- Planning to implement a stormwater retrofit

Non-residential properties can include commercial properties like offices and shopping centers; institutional properties like schools, universities and hospitals; industrial properties; multifamily residential properties with more than 3 units; and places of worship, among others.

If you are unsure of your property's classification, enter your address in the Parcel Viewer map, available at the [Stormwater Grants website](#).

### Eligible Applicants

Anyone can apply for a stormwater grant, with permission from the property owner. This includes property owners, tenants, community groups, non-profits and businesses, and stormwater management vendors.

Any water bills associated with the properties where the proposed project will be constructed must be current, and both the applicant and property owner must be current and in good standing with all City of Philadelphia taxes and fees. An applicant or owner who is on a PWD payment plan will be considered in good standing if they are current on the payment plan. The property owner(s) must have no active violations with PWD.

Agencies of the City of Philadelphia are not eligible to apply. However, affiliated agencies and institutions, and tenants with long-term leases with the City of Philadelphia, may apply.

### Eligible Projects

Grant funding can be used to pay for the design and construction of a stormwater retrofit project on one or multiple eligible properties.



## Eligible Projects continued

Development and redevelopment projects over a threshold of earth disturbance must comply with Philadelphia's [Stormwater Regulations](#). These projects are only eligible for grant funding if they will manage additional stormwater runoff from the private property beyond what is required. Only this additional stormwater management can be funded through a stormwater grant. Eligible projects will be evaluated based on grant award criteria outlined on page 21.

## Financing a Concept Plan

Many stormwater management vendors may consider developing a concept plan pro-bono as part of their agreement to be hired to implement your project. The property owner and vendor should discuss the expectations for the concept plan scope, concept funding and potential sources before committing to a project agreement. If PWD awards a grant to the project, the grant funding can be used to reimburse the vendor for their work preparing the concept plan during the pre-application and application phase.

### Have a question about eligible projects?

Confused over what counts as "redevelopment" or "retrofit"? Contact our Incentives Team at (215) 685-6070 or [pwd.stormwatercredits@phila.gov](mailto:pwd.stormwatercredits@phila.gov), for more information.

Developing or redeveloping and looking for more incentive options? Consider our Development Right-of-Way Incentive, which can provide funding for managing runoff from the street. Contact the Incentives Team and Partnership Specialist [Ariel.Ben-Amos@phila.gov](mailto:Ariel.Ben-Amos@phila.gov) to learn more.

### Need a grant to cover project kick-off costs?

In limited cases, small pre-application grants may be requested to cover the cost of the **survey, drainage system mapping, geotechnical testing** and other costs related to preparing a concept plan for your application.

PWD's primary goal is to award grant funding for the implementation of physical projects. Therefore, pre-application grants are reserved for (1) sites that are unusually challenging or complex, and/or (2) supporting vendors that are new to the stormwater grants program.

Please contact PWD to discuss your project if you are interested in a pre-application grant.

## 2. Weigh your priorities

Stormwater retrofit projects come in many shapes and sizes, which can affect the timing of the project, what it looks like, and the money you save on your monthly bill. Is your top priority adding new landscaping to your site to improve curb appeal? Do you want to preserve space for parking during construction? Do you want to align the timing of your project to complement other property improvements?

We recommend that you make a list of your goals for the project, starting with what's most important to you. Use this list to guide your conversations with vendors during the next step.



### Some common goals and priorities to consider include:

- ☐ Maximize long-term savings on monthly stormwater bills
- ☐ Make property improvements (fix drainage problems, re-roof, repave, add landscaping)
- ☐ Create a green and sustainable project (for example, to meet LEED or SITES certification)
- ☐ Conserve and re-use water on-site
- ☐ Maintain parking availability during and/or after construction
- ☐ Minimize the time that the site is under construction
- ☐ Design and construct the project by a specific deadline
- ☐ Minimize the frequency or cost of maintenance
- ☐ Other: \_\_\_\_\_



➤ Stormwater retrofit projects can enhance your property and lower your monthly bill.

Remember, the property owner or authorized representative has the final say on the design! Take a look at this [Stormwater Management Practice Guidance](#) to get an idea of what is possible for your stormwater retrofit project before sharing with the project team. Common types of stormwater management practices (SMPs) include rain gardens, green roofs, planters, infiltration basins, and depaving. It is also important to consider how the Incentives Team will evaluate your grant application if you choose to include or omit certain elements in your project. For example, it is important to be aware that PWD is more likely to award grant funding to projects that manage more impervious area, including rooftops and nearby streets. A full list of criteria is available on page 21.

### TIP

Stormwater retrofit projects require maintenance to ensure they keep working. One thing to keep in mind is the balance of stormwater credits with maintenance costs. Maintenance costs can change based on stormwater management practice used.

### 3. Assemble your team

It is unlikely that you will implement a stormwater retrofit project alone. Every project is unique, but most projects involve a team that includes the property owner, at least one stormwater management vendor, and a designated grant manager. Some teams also involve stakeholders like tenants, user groups, or community organizations. The two essential roles that you will need to fill on your team are the **vendor** and the **grant manager**.

#### Choose the right vendor for you

One of the most important steps in preparing to apply for a stormwater grant is selecting a vendor to develop the concept plan for your project. Typically, the vendor that develops the concept plan will also implement the project following a grant award.

There are many vendors in Philadelphia and the surrounding region that design and construct stormwater retrofit projects. They include engineers, plumbers, landscape architects, excavators, and even non-profit



#### Common Vendor Types

- Engineers
- Plumbers
- Landscape architects
- Excavators
- Non-profit organizations

organizations, among others. Any vendor is eligible to participate in the program so long as they have or obtain a commercial activity license to operate in the City of Philadelphia. A list of vendors that have worked on stormwater grant projects in the past is available on the [Stormwater Grants website](#).

Stormwater management vendors have different business practices and ways of working with customers. Some will require you to pay for their work on a grant application, and some will offer to provide this service without a fee. Some vendors work with specific subcontractors for different phases of the project (concept planning, design, construction) while others will rely on you to choose your contractors. Some will request that you sign a long-term contract for the maintenance of your stormwater retrofit project. None of these arrangements are a prerequisite to participate in the stormwater grants program.

Talking to different stormwater management vendors will help you learn what options are available for your project.



#### Here are some questions you can ask to start the conversation:

- ☐ Tell me about your business model. If I choose to work with you, what agreements or fees would I have to commit to before applying for a stormwater grant?
- ☐ My top priorities are \_\_\_\_\_. With these priorities in mind, what types of stormwater management practices do you recommend?
- ☐ Would your approach meet PWD's grant award criteria? Which ones? See page 21 for criteria.
- ☐ I am also planning other improvements to my site. Would you be able to implement these other improvements at the same time as my stormwater retrofit project?
- ☐ If I choose to work with you, when could you get started on my concept plan? Would the concept plan time line enable the proposal to be submitted before the next annual deadline?

**TIP** | PWD recommends contacting at least **3 vendors** before deciding who you want to work with.



## Designate a grant manager

The **grant manager** can be the property owner or tenant, the stormwater management vendor, or a third-party organization like a community group. The grant manager is the team member that is responsible for filling out the grant application form in their name and submitting the form and all exhibits to the Incentives Team. If PWD awards a stormwater grant to your project, the grant manager will also be required to:

- Sign and comply with a subgrant agreement that sets out the terms and conditions of the grant. It must be signed by the grant manager within 3 months of award. If the grant manager is not the property owner, the property owner must join the subgrant agreement.
- Document that they have communicated with property owners that they are required to sign and record an operations and maintenance (O&M) agreement during the project design.
- Work with the City's Office of Economic Opportunity to agree to and comply with an Economic Opportunity Plan (EOP) or Anti-Discrimination Plan (ADP).
- Work with the City's Office of Labor Standards for prevailing wage requirements if applying under the GARP project model.
- Handle the administrative aspects of the project. This includes managing the project schedule and budget, sending payment requests to PIDC, and communicating progress and issues to PWD, among other responsibilities.

## 4. Choose a project model

The Incentives Team offers three project models for stormwater grants:



**Standard Stormwater Management Incentives Program**  
(Standard SMIP)



**Alternative Stormwater Management Incentives Program**  
(Alternative SMIP)



**Greened Acre Retrofit Program (GARP)**

The project model is related to who your team designated as the grant manager in the previous step. The next three pages explain these project models and the different roles and responsibilities for your team members. You will need to choose a project model in order to answer the first question on the stormwater grant application form.

### The Grant Manager Role



Sometimes the vendor and grant manager roles are filled by the same team member, while other times these roles are filled by different team members. Collaborate with your team to figure out the arrangement that works best for you.

### Reviewing Agreements

Before you invest time and energy in an application, make sure the property owner is on-board by signing a Proof of Consent found in Appendix D.

Template subgrant agreements for each project model can be found at [the Stormwater Grants website](#). **PWD requires that all team members review the template agreements before applying.** If you want to request modifications to the subgrant agreement, you must contact PWD before submitting a grant application.

If your project contains multiple property owners, properties, or a condominium, ask the Incentives Team for a specialized template for review.

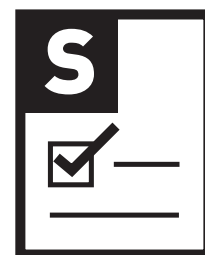
### Have a Question About Project Models?

If you are unsure which option best suits your project, please contact the Incentives Team at (215) 685-6070 or [pwd.stormwatercredits@phila.gov](mailto:pwd.stormwatercredits@phila.gov) and a representative from the team can better explain the options.

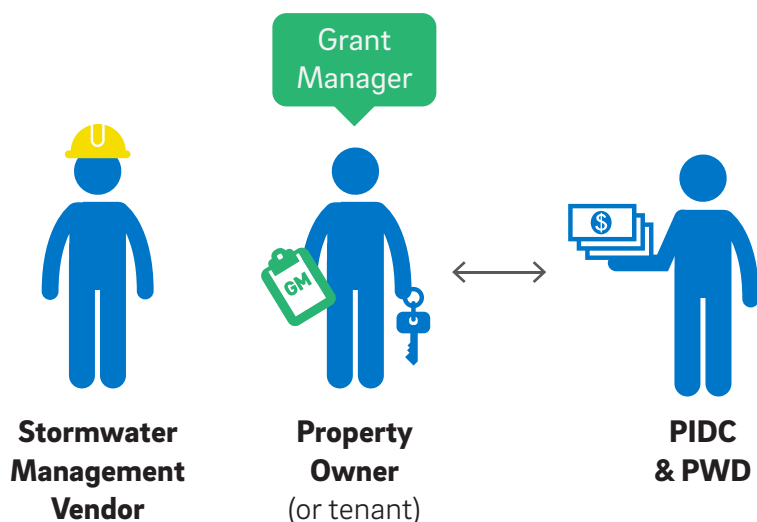
## PROJECT MODELS

### Standard SMIP

Under the **Standard Stormwater Management Incentives Program** (Standard SMIP) project model, the property owner or the tenant is the applicant. The applicant works with at least one stormwater management vendor to create a concept plan and apply for funding. If the project is awarded a grant, the property owner or tenant becomes the grant manager.




[Click to view Standard SMIP Subgrant and O&M Agreements](#)



#### This project model might be a good fit if...

- you want a high degree of control over the project;
- you are experienced with design and/or construction management; or
- you want to bid the implementation work separately from the concept plan work

## Roles and Responsibilities

	Pre-Applicant and Application Phases	Award and Implementation Phases
<b>Property Owner or Tenant</b> 	<b>As the applicant:</b> <ul style="list-style-type: none"> <li>• fills out the application form</li> </ul>	<b>As the grant manager:</b> <ul style="list-style-type: none"> <li>• signs the subgrant and O&amp;M agreements</li> <li>• complies with an EOP/ADP</li> <li>• manages the project</li> </ul>
<b>Stormwater Management Vendor(s)</b>	<ul style="list-style-type: none"> <li>• develops the concept plan</li> </ul>	<ul style="list-style-type: none"> <li>• designs the project</li> <li>• constructs or oversees construction of the project</li> </ul>

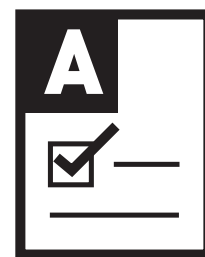
## Additional Requirements

- If the applicant is the tenant, the property owner will be required to join the subgrant agreement.

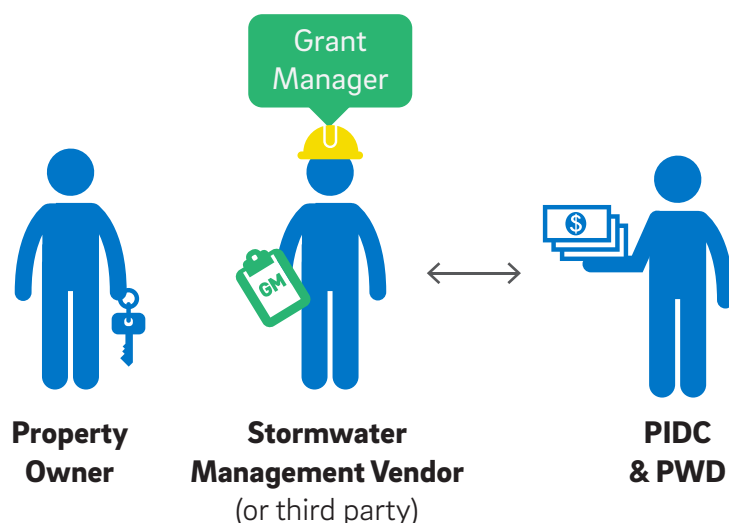
# PROJECT MODELS

## Alternative SMIP

Under the **Alternative Stormwater Management Incentives Program** (Alternative SMIP) project model, either a third-party organization (like a community group or non-profit) or the stormwater management vendor is the applicant. The applicant creates a concept plan and applies for funding. If the project is awarded a grant, the applicant becomes the grant manager.




[Click to view Alternative SMIP Subgrant and O&M Agreements](#)



### This project model might be a good fit if...

- you do not have time to manage a project and would like someone else to take the lead, checking in for your approval on key decisions; or
- you have partners experienced with design or construction that can act as grant manager

## Roles and Responsibilities

	Pre-Applicant and Application Phases	Award and Implementation Phases
<b>Property Owner or Tenant</b>	<ul style="list-style-type: none"> <li>• provides proof of consent</li> </ul>	<ul style="list-style-type: none"> <li>• joins the subgrant agreement</li> <li>• Signs the O&amp;M Agreement</li> </ul>
<b>Stormwater Management Vendor, Community Group or Non-profit organization</b> 	<b>As the grant manager:</b> <ul style="list-style-type: none"> <li>• develops the concept plan</li> <li>• fills out the application form</li> </ul>	<b>As the grant manager:</b> <ul style="list-style-type: none"> <li>• signs the subgrant agreement</li> <li>• complies with an EOP/ADP</li> <li>• manages the project</li> </ul> <b>As the vendor or third-party:</b> <ul style="list-style-type: none"> <li>• designs or hires a subcontractor to design the project</li> <li>• constructs or oversees construction of the project</li> </ul>

## Additional Requirements

- The grant manager and their subcontractors may be subject to a review of audited financial statements and tax returns. Grant awards are conditional on the findings of this assessment.
- Provide a signed contract or Letter of Intent for the project team.

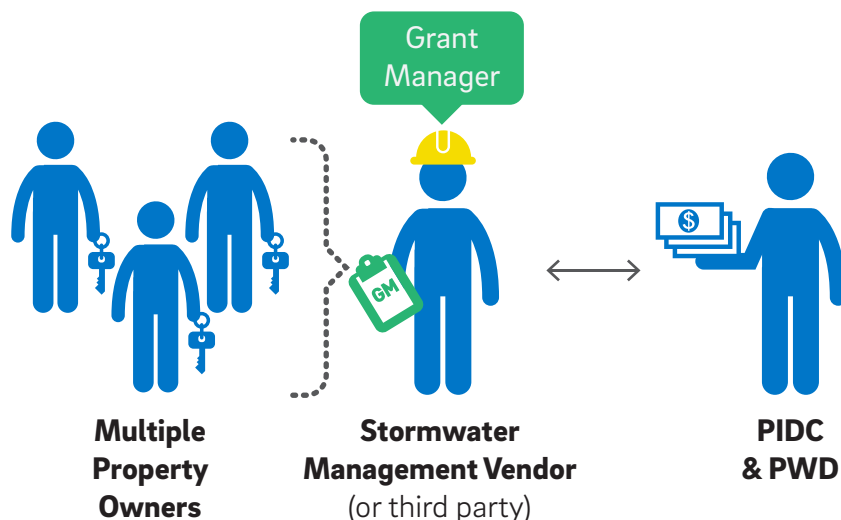
# PROJECT MODELS

## GARP

Under the **Greened Acre Retrofit Program (GARP)** project model, the stormwater management vendor is the applicant and is responsible for assembling multiple stormwater retrofit projects into a single application. The applicant creates a concept plan and applies for funding. If the project is awarded a grant, the applicant becomes the grant manager.




[Click to view GARP Subgrant and O&M Agreements](#)



### This project model might be a good fit if...

- you do not have time to manage a project and would like someone else to take the lead, checking in for your approval on key decisions; or
- multiple properties in separate locations would like to pursue stormwater retrofit projects using the same vendor

## Roles and Responsibilities

	Pre-Applicant and Application Phases	Award and Implementation Phases
<b>Property Owner</b>	<ul style="list-style-type: none"> <li>• provide proof of consent</li> </ul>	<ul style="list-style-type: none"> <li>• joins the subgrant agreement</li> <li>• signs the O&amp;M Agreement</li> </ul>
<b>Stormwater Management Vendor</b> 	<b>As the grant manager:</b> <ul style="list-style-type: none"> <li>• develops the concept plan</li> <li>• fills out the application form</li> </ul>	<b>As the grant manager:</b> <ul style="list-style-type: none"> <li>• signs the subgrant agreement</li> <li>• complies with an EOP/ADP</li> <li>• manages the projects</li> </ul> <b>As the vendor or third-party:</b> <ul style="list-style-type: none"> <li>• designs the projects</li> <li>• constructs or oversees construction of the projects</li> </ul>

## Additional Requirements

- Applications must propose projects on multiple properties with different property owners, with a majority of sites served by the combined sewer system. There is no longer a minimum number of greened acres needed to qualify.
- The grant manager and their subcontractors may be subject to a review of audited financial statements and tax returns. Grant awards are conditional on the findings of this assessment.
- Prevailing wage must be reflected in the construction cost estimate.
- Provide a signed contract or Letter of Intent for the project team.

## 5. Do your due diligence

Environmental concerns are an issue for properties across the city. Given Philadelphia's history of heavy industry and potential for contamination, all potential applicants should include a due diligence report which includes the history of the properties involved as part of their application. This can help determine the extent of environmental analysis, action during construction, or hot spots on site to avoid in the concept plan. Contact the Incentives Team at (215) 685-6070 with any questions.



### Issues to look for include:

- ☐ Underground storage tanks
- ☐ Prior (and current) use of the property (ie. Manufacturing or handling of paint, dye, oil, etc.)
- ☐ Known contamination and/or spills
- ☐ Involvement in Pennsylvania's [Land Recycling program](#), including signed environmental covenants recorded with the property deed

Below is a list of resources that could be utilized for the environmental due diligence report. Reviews will vary by project and property characteristics.

#### *Site Investigation:*

- Ask the property owner, manager, and/or authorized representative for any knowledge of past and current site use. This may include asking for any site maps, which may include information about private underground storage tanks.
- A site visit to determine any obvious environmental hazards. This may involve any visual or olfactory observations that an environmental contaminant may be present.

#### *Records Review:*

- PADEP: [eMapPA](#)
- PADEP: [Act 2 Site Lists](#) (Completed and In Progress)
- PADEP: [AUL Registry](#)
- [Sanborn Fire Insurance Maps](#) (Available online, such as from the Penn State University Library)
- [EDR Radius Report Map](#)

#### *Land Use Review:*

- Historical Land Use:  
[Philadelphia GeoHistory Network](#)
  - 1875 Philadelphia Atlas
  - 1895 Philadelphia Atlas
  - 1910 Philadelphia Atlas
  - 1942 WPA Land Use Maps
  - 1962 WPA Land Use Maps
- Zoning Archive on the [City of Philadelphia Atlas](#)
- Deed search with the City of Philadelphia Department of Records

If deemed necessary, a Phase I and potentially a Phase II Environmental Assessment may need to be conducted as the project progresses to determine if additional considerations must be taken regarding soil disposal and SMP design. If you have any questions, contact the **PWD Incentives Team** at 215.685.6070.



## 6. Draft a concept plan

A concept plan is a drawing or set of drawings that shows the existing conditions of your project site and how your proposed stormwater retrofit project will change those conditions to manage impervious areas.

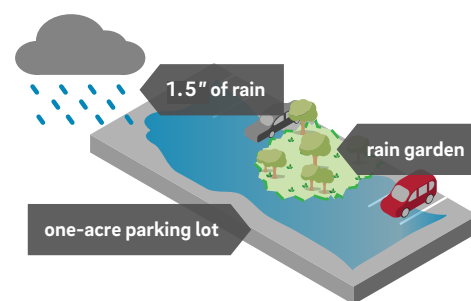
Your stormwater management vendor should take the lead on developing a concept plan for your application. However, remind them of the priorities that you established early in the process to ensure the concept plan meets your expectations. The **property owner** has the final say on the final conceptual design.

It is also a good time to revisit the criteria that PWD uses to evaluate your grant application. All projects should propose to manage the first 1.5 inches of rainfall from hard surfaces in an SMP. Projects can also depave areas of their property for additional stormwater management. The Incentives Team will look at the "greened acres" proposed on the concept plan as part of the application review. Including certain elements, such as right-of-way drainage areas, in your concept plan may make your project more competitive, increasing the likelihood that your project is awarded a grant. Grant award criteria are listed on page 21.

### What's a Greened Acre?

A Greened Acre (GA) is PWD's method for measuring and reporting stormwater management. For example, a single rain garden that can absorb 1.5" of rain from a one-acre parking lot would equal 1.5 GA; a rain garden that can absorb 1.5" of rain from a three-acre parking lot equals 4.5 GAs.

Check out PWD's [Green City, Clean Waters](#) page for more information



### Your concept plan must include the following existing conditions:

<b>Site Information</b>	<ul style="list-style-type: none"><li>• parcel boundaries</li><li>• location of easements and rights-of-way</li><li>• street names and widths, if proposing to manage off-site drainage</li><li>• floodplain information</li></ul>
<b>Topography</b>	<ul style="list-style-type: none"><li>• full survey is not required for the draft concept plan; existing contours may be obtained from Open Data Philly, and used with field confirmation of critical spot elevations</li></ul>
<b>The location and type of existing conditions</b>	<ul style="list-style-type: none"><li>• rooftop impervious area</li><li>• private ground-level impervious area</li><li>• right-of-way impervious area, if proposing to manage right-of-way</li><li>• pervious areas, including type (gravel, grass, woodlands)</li><li>• existing trees and mature vegetation</li></ul>

## Your concept plan must include the following aspects of your proposed project:

<b><i>The location and type of existing infrastructure</i></b>	<ul style="list-style-type: none"><li>• demonstrate due diligence in obtaining private utility records from the property owner</li><li>• label internal and external downspouts, if relevant</li><li>• use PA One Call to obtain information about existing utilities in the public right-of-way, if relevant</li></ul>
<b><i>Proposed drainage areas to be managed</i></b>	<ul style="list-style-type: none"><li>• show the location</li><li>• specify the cover type (rooftop impervious area, private ground-level impervious area, right-of-way impervious area)</li><li>• report the size</li></ul>
<b><i>Proposed conveyance</i></b>	<ul style="list-style-type: none"><li>• show proposed grading and site contours</li><li>• show connections to each stormwater management practice</li><li>• include an internal plumbing schematic, if relevant</li><li>• show overflow connections to sewers, reusing existing on-site sewer connections wherever possible and noting wherever a new connection is proposed</li></ul>
<b><i>Proposed stormwater management practices</i></b>	<ul style="list-style-type: none"><li>• show the location and outline of stormwater management practice</li><li>• label the type (rain garden, subsurface basin, cistern, etc.)</li><li>• report the footprint area, using acceptable loading ratios to size the practices</li><li>• calculate and report the storage volume</li></ul>

## Right-of-way Drainage Areas

Capturing right-of-way (street and sidewalk) runoff can make your stormwater grant application more competitive, particularly if right-of-way runoff can be commingled in an SMP that also manages impervious areas on your property.

If you are looking to incorporate right-of-way management into your project, please notify the Incentives Team at (215) 685-6070 as early as possible with a map of the proposed drainage area. PWD will confirm whether the right-of-way drainage area is already managed.

## Vegetated Stormwater Management Practices

Proposing stormwater management practices with vegetated surfaces (and other practices that promote water quality treatment) makes your stormwater grant application more competitive and can provide more opportunities for the tenant, site users, and surrounding community to gain additional benefits from your retrofit project. Consider utilizing existing green spaces or depaving to create new green spaces for a vegetated stormwater management practice.

### Have a Question About Drainage Areas?

Drainage area capture can impact a project greatly. Only include drainage areas that you are relatively confident you can manage, as PWD will expect that these areas are included in the final project design. Contact our Incentives Team at (215) 685-6070 or [pwd.stormwatercredits@phila.gov](mailto:pwd.stormwatercredits@phila.gov), for more information.

Keeping existing landscaped features are important for water quality, soil health, habitat preservation, air quality, shade, and reducing stormwater runoff. Existing conditions that promote stormwater management such as healthy green space may be eligible for existing condition stormwater credits. Please refer to our [Credits and Appeals Manual](#) or reach out to the Incentives Team to learn more.

### Loading Ratios

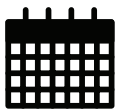
Infiltration is the primary and preferred stormwater management mechanism and should dictate the draft concept plan design and loading ratios. Infiltration (geotechnical) testing is only required at the concept plan stage if the property is in the municipal separate stormwater sewer system (MS4) and a subsurface practice is proposed.

Maximum acceptable loading ratio for concept plan:

	Citywide*
Infiltrating surface practices	16:1
Infiltrating subsurface practices	10:1

\* Loading ratios are now the same for both the combined sewer system and separate sewer system

## 7. Schedule a pre-application meeting with PWD



Once you have created a draft concept plan, contact the Incentives Team to set up a pre-application meeting. The Incentives Team will meet with you, your grant manager (if not you), and any vendors involved in the concept plan development to advise on your concept and approach. The Incentives Team can also provide feedback or answer questions on any part of the application, such as budget or timeline.

The pre-application meeting is **mandatory**. The Incentives Team requires that all applicants **hold** a pre-application meeting at least **one month** before the application deadline. Contact the Incentives Team as early as possible to ensure availability and that any questions or issues can be resolved before the application deadline.

PWD is only committing to one application deadline per fiscal year. Another deadline could be added if we receive a high number of qualified applications. Awards will be announced approximately three months after the grant deadline, pending confirmation of city budgets.

## 8. Finalize your concept plan

After the Incentives Team reviews your concept plan, work with your project team to incorporate any suggestions and revisions. Be sure to refer to Step 6, on pages 14-16, to confirm that your concept plan is complete.

If there are any outstanding questions, comments, or concerns, feel free to reach out to the Incentives Team for follow-up clarifications. Applications are considered final on the application deadline.

## STORMWATER GRANTS

# Application

### In this Section

- 1 Download and complete the application form
- 2 Prepare exhibits
- 3 Submit your application

Once your team has completed a pre-application meeting with PWD, you are ready to compile the remaining components of your application. PWD is available to assist you and your project team during this phase to ensure that your application will meet expectations.

## 1. Download and complete the application form



Application forms are available for download at [phila.gov/swgrants](https://phila.gov/swgrants).

Application forms are available for download at [the Stormwater Grants website](https://phila.gov/swgrants). Remember to have your designated grant manager fill out the application form. If you have selected Standard SMIP, the property owner or tenant will complete the application form. If you have selected Alternative SMIP or GARP, the community group, non-profit, or stormwater management vendor will complete the application form. Note that at a minimum, the property owner must sign a Proof of Consent to commit to sign or join the Subgrant Agreement and the O&M agreement. Property owners will also need to sign any Letters of Intent with their stormwater management vendors or provide signed vendor contracts as part of the application packet. See Appendices C and D for template letters.



### **Not sure who should fill out the application?**

If you are unclear about who should complete the application form, please contact the Incentives Team at (215) 685-6070 for assistance.

## 2. Prepare exhibits

There are several exhibits that must accompany your application. These forms and exhibits may take time to complete, so we recommend getting started early.

### Exhibit 1. Project Description and Environmental Due Diligence Summary

#### *Write a project description*

In addition to the concept plan, provide a written narrative to describe your project. The description should describe the type and location of the proposed stormwater management practice(s) and the drainage areas to be managed in each SMP. Be sure to mention the following, as these may make a project more competitive or provide helpful background information to understand the full project scope:

- Intent or goals of the project
- Broader mission of the property owner or vendor, if applicable
- Additional improvements conducted alongside the stormwater retrofit project

#### *Summarize your environmental due diligence*

Provide the findings from your environmental due diligence (instructions on page 13). Please summarize your findings first, providing a snapshot of what to expect during the project and how it will impact your project design, budget, and construction. In addition, provide any supporting documentation you find. This could include screen shots of historical maps, written descriptions of the history of the site, reports from online records, and copies of any additional environmental reporting or testing from the property.

### Exhibit 2. Concept Plan (Separate PDF)

Provide your finalized concept plan as a separate PDF when you apply online.

### Exhibit 3. Contracts, Proposed Schedule and Budget

#### *Contracts*

**If applying under the Alt-SMIP or GARP models,** please provide signed copies of any executed

engineering, construction or other related contracts. If no contracts have been executed, provide a description of the proposed vendor(s) (design, construction, project management) and a signed Letter of Intent to contract between the grant manager and all participating property owners. At least one contract or Letter of Intent **must** be submitted for Alt-SMIP or GARP applications. See Appendix C for a template letter.

#### *Make a budget*

The amount of funding that you request in your grant application will depend on your project budget. The budget helps the Incentives Team to determine whether a project is feasible and cost-effective. Cost effective projects are more likely to be awarded grant funding. While projects may vary due to scope, size, and property limitations, a general target for most projects is under \$200,000 per "greened acre" (see page 14 for a greened acre definition). However, note that competitive projects will be less than this amount, with additional funds from different sources. Prevailing wages must be reflected in the construction cost estimate for GARP projects.

If a project intends to use additional outside sources of funding to reduce the grant request or make a grant application more competitive, include information about those sources in your application. If a project includes components that are not related to stormwater management, such as full site milling and paving or striping, it is important to show that the cost of those improvements will be covered by other sources of funding.

A project budget template is available in Appendix B. Please note that the Stormwater Grant program may not cover overages encountered during the design or construction of the project. Include how you will pay for any overages in your budget.



### *Develop a schedule*

Work with your stormwater management vendor to develop a schedule for your project that meets your needs and expectations and that is feasible based on the vendor's workload. The schedule should note key project dates including design/permitting, construction and close-out. Keep in mind that PWD is only committing to one application deadline per fiscal year.

A project schedule template is available in on Appendix A.

### Exhibit 4. Proof of Consent from Property Owner

Provide a Proof of Consent Letter from all property owners included in the application. The letter should demonstrate that the owner(s) will sign or join the subgrant agreement and sign PWD's Operations and Maintenance Agreement. Templates of the subgrant and O&M agreements associated with each project model are available at [the Stormwater Grants website](#). All project applications should contain a Proof of Consent letter. See Appendix D for a template letter.

### Exhibit 5. Property Deeds

Provide copies of the deed for each participating property. The deed should provide a complete description of the legal parcel boundary.

Search for property ownership information and lists

of deeds at [atlas.phila.gov](https://atlas.phila.gov).

- Access digital copies of deeds by purchasing a subscription to PhilaDox, accessible through the Atlas website.
- Access hard copies of deeds by contacting the Philadelphia City Archives at [records.info@phila.gov](mailto:records.info@phila.gov) or 215.686.2261.

### Exhibit 6. Tax Certification

A tax certification form is provided in Appendix E. The applicant/grant manager and all participating property owners must complete this form.

### Exhibit 7. Financial Disclosure

A financial disclosure form is provided in Appendix F. The applicant/grant manager must complete this form.

### Exhibit 8. Operations and Maintenance

If a maintenance contract has been executed, provide a copy of the contract. If maintenance services will not be contracted, or a contract has not yet been executed, provide a maintenance plan that describes the intended maintenance activities, and potential vendor(s) or group who will conduct this work.

### 3. Submit your application

Please review, complete, and submit your pre-application checklist to make sure you have completed all the necessary steps to preparing your application. The pre-application checklist is located on the first page of your application packet and on pages 22-23 in this guide for your reference.

#### **Once you have checked to make sure your application is complete:**

- ☐ Save your completed application and all exhibits as a single PDF file.
- ☐ Save your concept plans as a single PDF file.
- ☐ Visit the [Stormwater Grants Website](#) and click on "Submit Application." You will be provided with two links to upload your application packet and concept plans as separate PDF files.

Applications may be submitted at any time. PWD is only committing to one application deadline per fiscal year. Another deadline could be added if we receive a high number of qualified applications. Awards will be announced approximately three months after the grant deadline, pending confirmation of city budgets.

## STORMWATER GRANTS

# How we evaluate your application

Eligible projects will be evaluated based on the criteria below.

The Incentives Team retains the discretion to evaluate applications and make recommendations for PWD to award grants.

- The project, property owner, and applicant/grant manager meet eligibility requirements.
- The application is complete and includes all required exhibits.
- The project proposes to manage the maximum feasible impervious area on the property.
- The project proposes to manage the maximum feasible right-of-way (streets and sidewalks) area.
- The project is cost-effective. Projects should have a total cost under \$200,000 per greened acre, with competitive projects requesting less than the maximum amount.
- The project proposes to implement stormwater management practices that promote infiltration and water quality treatment, such as vegetated practices and depaving.
- The property owner commits additional funding for the project.
- The project team has conducted upfront investigation to confirm that the stormwater project will infiltrate into non-contaminated soils.
- In addition to the above criteria, PWD looks for other ways applications go “above and beyond”, from innovative methods to providing detail beyond the conceptual level. If you would like to know more about how to make your application more competitive, please contact the Incentives Team to discuss your approach.

### The Fine Print

*Stormwater grant funds cannot be used for:*

- Plans, designs or research that is not part of a stormwater management project.
- Political advocacy, boycotts, advertising, litigation or legal expenses.
- Legally mandated actions under local, state or federal law, and/or associated with administrative permit conditions or terms of settlement agreements.

*If your project is awarded a grant, the following conditions will apply:*

- All information submitted to PWD and PIDC is considered public information and may be posted online in fact sheets, presentations or other education and outreach materials.
- PWD will be invited to participate in any groundbreaking or ribbon cutting events, and will be listed as a funder/supporter of the project in any press releases and on any signage associated with the project.

## STORMWATER GRANTS

# Get ready to apply

Before you submit your grant application, it is a good idea to double-check that you have completed all of the required steps and prepared all of the necessary exhibits. We recommend that you complete the steps in the order listed. For more information about preparing a successful application, refer to the Stormwater Grants Application Guide, available at [www.phila.gov/swgrants](http://www.phila.gov/swgrants).

### Pre-Application Checklist

#### ☐ Assemble your team

Every project is unique, but most projects involve a team that includes the property owner, at least one stormwater management vendor, and a designated grant manager.

---

#### ☐ Choose a project model

The project model determines who fills out the application form, signs the subgrant agreement, and who handles payments from PIDC.

*Refer to pages 9-12 for more information about each project model.*

---

#### ☐ Do your due diligence

All potential applicants should include an environmental due diligence report which includes the history of the properties involved as part of their application. This can help determine the extent of environmental analysis, action during construction, or hot spots on site to avoid in the concept plan.

*Refer to page 13 for resources on environmental due diligence.*

---

#### ☐ Create a draft concept plan

A concept plan is a drawing or set of drawings that shows the existing conditions of your project site and how your proposed stormwater retrofit project will change those conditions to manage impervious areas. Starting work on the concept plan before you meet with PWD allows us to give you specific feedback to strengthen your application.

*Refer to pages 14-16 for detailed information about what must be included on your concept plan.*

---

#### ☐ Schedule a pre-application meeting with PWD

PWD **requires** that all applicants schedule a pre-application meeting at least one month before the application deadline. The PWD Stormwater Incentives Team will meet with you and your vendor to advise on the concept, schedule, and approach for your project.

---

#### ☐ Finalize your concept plan

Use the feedback that PWD provided at your pre-application meeting to revise and finalize your concept plan. The concept plan should be saved as a PDF file, uploaded in the final step.

*Refer to pages 14-16 for detailed information about what must be included on your concept plan.*

---

#### ☐ Fill out the application form

**1. Project model.** Check the box associated with your chosen project model.

Page 1 of 2: Checklist continues on the next page ➤

- 2. Application information.** Based on your response to Question 1, provide the appropriate contact information for the individual point of contact and organization that constitute "the applicant".
  - 3. Site information.** Provide information about the location, ownership and tenancy of the project site. If the project site consists of multiple properties with different owners, use the additional space to enter information for each property and owner.
  - 4. Project information.** List the stormwater management practices, proposed impervious area and depth managed, your grant request amount, and other sources of funding.
- 

#### ☐ **Prepare exhibits**

*Refer to pages 18-19 for details about the required exhibits.*

1. Project Description and Environmental Due Diligence Summary.
  2. Concept Plan. Submit the Concept Plan as a separate PDF.
  3. Contracts or Letters of Intent, Proposed Schedule, and Budget. *Letter of Intent is required for Alternative-SMIP and GARP applications. Please see Appendix A - C for templates of these documents.*
  4. Proof of Consent from Property Owner(s). *Proof of Consent is required for every project. Please see Appendix D for a template.*
  5. Property Deed(s).
  6. Tax Certification(s). *Tax Certifications are required for every project. Please see Appendix E for a template.*
  7. Financial Disclosure. *Financial Disclosures are required for every project. Please see Appendix F for a template.*
  8. Operations and Maintenance Contract(s) or Plan(s).
- 

#### ☐ **Save the application packet**

Attach all exhibits, except exhibit 2, the concept plan, to the application form and save the entire application packet as a single PDF document. The concept plan is saved separately.

---

#### ☐ **Submit your application**

Visit [www.phila.gov/swgrants](http://www.phila.gov/swgrants) and click the link to "Submit an application." You will be asked to upload two PDF files:

1. Your application packet
2. Your concept plan

PWD accepts applications year-round and reviews applications annually.

## Have questions?

### **We are here to help you!**

If you have any questions about how to complete your application, please contact the PWD Stormwater Incentives Team at 215.685.6070 or [pwd.stormwatercredits@phila.gov](mailto:pwd.stormwatercredits@phila.gov).



# Common Mistakes

In addition to the pre-application meeting, use this checklist to prepare and check for common issues associated with completion of a competitive stormwater grant application. Please reach out to the Incentives Team with any questions, assistance, or clarification.

---

☐ **No grant amount requested, or combination of funding sources and grant request does not equal the total project budget. Check that the grant request amount has been filled out.**

- Property owners are encouraged to commit additional funding sources to a project to make it more cost competitive. Due to this, the Incentives Team will not assume you are requesting the full project amount.
- If additional funding sources (grant funding, loans, donations, etc.) will be used, be sure to list them in the application along with their status (Applied, Pending, etc.) Also ensure that these add up with the project budget. If there's any uncertainty, let the Incentives Team know.
- The Incentives Team can accept project budget "ranges", depending on the project's circumstances, if there's an "expensive" or "cheaper" option based on scope, technical uncertainty, or funding availability. Talk to the Incentives Team for more information.

---

☐ **Environmental due diligence is incomplete or not summarized**

- A list of resources is provided on page 13. These should be utilized along with any past reporting on the site and testimonials from property owners. Once this information is gathered, it should be **gathered into an executive summary** at the beginning of the exhibit to explain the current conditions of the site and implications on the concept plan, budget, or timeline.

---

☐ **Forms or contracts are not signed or finalized.**

- Please ensure that submitted contracts are signed. If no contracts are submitted, a **Letter of Intent** is **required** from the property owner for Alt-SMIP and GARP applications. See **Appendix C** for a template.
- Any contracts that are included in the application should be **signed**.
- **Proof of Consent**, which demonstrates that the property owner will sign or join PWD's Subgrant Agreement and sign PWD's Operations and Maintenance Agreement, is **required for all projects**. See **Appendix D** for a template.
- **Tax certifications** needs to be completed by **all parties**—all property owners and grant managers (who are filling out the grant application and signing or joining the subgrant). See Appendix E for this form.
- The financial disclosure form needs to be filled out by all grant managers. See Appendix F for this form.

---

☐ **No consultation with PWD regarding offsite drainage area capture.**

- Since PWD has a number of projects managing stormwater in the street, please tell the Incentives Team **as soon as possible** if you are intending to include right-of-way capture in your project. This will give our Planning Analytics team enough time to determine if this drainage area is included in another project. Including right-of-way capture in your project can make your application more competitive.

# STORMWATER GRANTS

# Appendices



- A: Project Schedule Template
- B: Project Budget Template
- C: Letter of Intent Template
- D: Proof of Consent Template
- E: Tax Certification Form
- F: Financial Disclosure Form

APPENDIX A

# Project Schedule Template

# Schedule Template

## Guidelines

Please provide an estimated project schedule that includes all major project milestones.

- **Grant Award:** Grant awards will be communicated to applicants approximately three months after the application deadline.
- **Subgrant Agreement Execution:** Once the grant has been awarded, instructions for executing the subgrant agreement with PIDC will be communicated to the applicant. Agreements must be executed within 3 months of the award letter.
- **Design:** Plans must be developed and submitted to PWD for review and approval before construction can begin. Depending on the project scope, permits and/or approvals from other agencies may be required. The design timeline should include all necessary permits and approvals.
- **Construction:** Once plans have been approved, a pre-construction inspection must be scheduled with the PWD inspector assigned to the project before the start of construction. When construction is complete, a final inspection must be scheduled with the inspector and the PWD reviewing engineer. Please account for weather related/seasonal delays, as well as any construction restrictions communicated by the property owner.
- **Project Close-out:** Project close-out consists of a complete final inspection, verified project Record drawings by PWD, and a completed stormwater credits application. Please include time to address any incomplete construction items, perform final as-built survey, and submission of and PWD review and approval of Record Drawings and credits application.

## Template

Project Milestone	Start Date	End Date	Duration
Application Awarded			3 months
Subgrant Execution			3 months
Design			4 months
Construction			6 months
Project close out			2 months

## APPENDIX B

# Project Budget Template



# Project Budget Template

## Guidelines

To understand the budget request for each individual project, a detailed cost and budget breakdown is required in Exhibit 3 of your grant application. Budgets should be as detailed as possible, likely by receiving an estimate from the contractor and subcontractors you intend to use for construction. If this cannot be obtained, budgets can be derived based on past project and construction knowledge. If you are submitting a budget that has not been developed by the contractor for the project, please discuss this with the PWD Incentives Team before submitting your application.

If additional work is proposed in tandem to your stormwater management retrofit project, please include this work in a total project budget but identify that it is not included in the grant request amount. This will help clarify the extent of your request and reduce uncertainty with your application.

You will need to incorporate Prevailing Wage costs into your budget if applying with the GARP project model. More information can be found at <http://www.phila.gov/commerce/doBusiness/Pages/LaborStandards.aspx>. If you have any questions regarding prevailing wage costs, contact the City's Office of Labor Standards for assistance.

Specific items to keep in mind while developing your cost estimate include the quality of the excavated soil, sewer connections in the ROW, plumbing, and permits. Contaminated soil will need to be specially disposed and tested to determine the potential need for an impermeable liner. Sewer connections in the public ROW require permits and licensed plumbers. (Plumbing is also subject to permits and additional requirements from L&I.) These and other factors may have a significant impact on your cost estimate.

Please see the next page for a template project budget. Using this provided template is not necessary, however your exhibit should include all line items within the template as well as any not listed that are applicable to your project.

Item No.	Task	Task Description/ Scope			Total
Engineering/ Design					
1.	Property Boundary Survey/Legal Description				
2.	Geotechnical Investigation				
3.	Environmental Investigation				
4.	Off-site/ ROW Management Plan				
5.	Permitting				
6.	Construction Inspection				
7.	As-built Survey/ Record drawing				
Item No.	Description	Quantity	Unit	Unit Cost	Total
Site Demolition					
1.	Demolition and Removal		CY		
2.	Excavation		CY		
3.	Tree Removal		EA		
4.	Construction Access		EA		
5.	Existing infrastructure removal		LF or EA		
Structural System Components					
6.	Outlet Structure with Weir		EA		
7.	Inlet		EA		
8.	Standard Manhole		EA		
9.	Sumped Manhole		EA		
10.	Snout/Trap for Inlet/ Manhole		EA		
11.	Solid HDPE Pipe with All Fittings		LF		
12.	Perforated HDPE Pipe with All Fittings		LF		
13.	Cleanout		EA		
14.	Observation Well		EA		
15.	Geotextile fabric		SY		
Media, Landscaping, and Restoration					
16.	Clean-washed approved stone		CY		
17.	Soil media		CY		
18.	Mulching		CY		
19.	Seeding		SF or LB		
20.	Basin Plantings		EA		
21.	Asphalt restoration		SF		
Erosion Control					
22.	Silt fence/ silt sock		LF		
23.	Inlet protection		EA		
24.	Tree protection fence		LF		
Other					
25.	Interior Building Plumbing				
		Subtotal			
Potential Overage Funding Sources:		Contingency and Overhead			
		Contributing funds/ match			
		Grand Total*			

\*Budget must reflect costs of prevailing wage if applying under the GARP project model

## Additional Cost Considerations

- Vegetation removal
- Impervious geomembrane liner
- Special handling of contaminated soil
- Curb restoration
- Connection to sewer in ROW
- Interior building plumbing
- Roof drain redirection and connections
- Concrete footway paving
- Forebay
- Trench drain
- Existing infrastructure replacement (examples: fence removed for construction, vegetation (not associated with SMP)
- Headwall
- Riprap
- Specific planting types
- Berms

## APPENDIX C

# Letter of Intent Template

# Letter of Intent Template

## Purpose

To demonstrate that the property owner **intends to work with a vendor for their stormwater retrofit project**. At least one Letter of Intent is required for Alternative SMIP or GARP application **between the property owner and grant manager**. Additional letters for relationships with engineers or contractors can be submitted to demonstrate the project team.

Stormwater Incentives Team  
Philadelphia Water Department  
1101 Market St., 4th Floor  
Philadelphia, PA 19107

RE: Letter of Intent for Grant Application; \_\_\_\_\_ (project address and title)

Incentives Team,

I, \_\_\_\_\_ (property owner name), intend to contract with \_\_\_\_\_ (vendor) for the management, design, and/or installation of retrofitted stormwater management practices on my property. I confirm that I:

1. Accept the presented terms and agreements from this vendor
2. Have reviewed different SMP types (rain garden, green roof, stormwater planter, infiltration basin, etc.)
3. Consent to the presented Conceptual Plan
4. Understand that my project will be held accountable for certain features and proposals on the conceptual plan, given that they are technically feasible, such as
  - Vegetated stormwater management practices or features
  - Off-site drainage area
  - On-site drainage area
5. Have provided my project team with any applicable information regarding the environmental history of the site, including any known underground storage tanks, disturbances, or contamination

Sincerely,

\_\_\_\_\_  
(property owner name)

## APPENDIX D

# Proof of Consent Template



# Proof of Consent Template

## Purpose

To demonstrate that the property owner intends to sign PWD's Subgrant Agreement and Operations and Maintenance Agreement for their stormwater retrofit project. A Proof of Consent letter is **required for every application**.

Stormwater Incentives Team  
Philadelphia Water Department  
1101 Market St., 4th Floor  
Philadelphia, PA 19107

RE: Proof of Consent for Grant Application; \_\_\_\_\_ (project address and title)

Incentives Team,

I, \_\_\_\_\_ (property owner name), if awarded a Stormwater Grant from the Philadelphia Water Department (PWD), will sign or join PWD's standard Subgrant Agreement to receive the grant funds for a stormwater management project. I will also sign PWD's Operations and Maintenance Agreement, and I understand my responsibilities under the Operations and Maintenance Agreement.

Sincerely,

\_\_\_\_\_  
(property owner name)

APPENDIX E

# Tax Certification Form

# Philadelphia Tax Status Certification Request Form

taxpayer name		date	
taxpayer trading as			
home address		home phone	
business address		business phone	

1.	<b>Are you a Registered Taxpayer?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, please provide your: Federal Employer Identification Number: Philadelphia Business Tax Account: Social Security Number:		
2.	<b>Are you presently delinquent in any City of Philadelphia or Philadelphia School District taxes?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, list tax type and amounts owed:		
3.	<b>Are you presently delinquent in Water and Sewer charges?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, list tax property address(es) and amounts owed:		
4.	<b>Have you ever been sued by the City of Philadelphia or Philadelphia School District or have you declared bankruptcy?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, list date and nature of lawsuit or filing date of bankruptcy petition:		
5.	<b>Are you involved in any other business activity?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, list company name(s) and tax account number(s):		
6.	<b>Do you own real estate in Philadelphia?</b> <div style="text-align: right;">(circle one)</div>	YES	NO
	If yes, list address(s):		

I hereby affirm that the information provided above is true and correct to the best of my knowledge, information, and belief, and said affirmation being made subject to the penalties described by 18 Pa. C.S.A. Sec. 4904 relating to unsworn falsification to authorities.

Print Name	Title
Signature	Date

APPENDIX F

# Financial Disclosure Form

## DETERMINING ELIGIBILITY FOR CITY FINANCIAL ASSISTANCE

Chapter 17-1400 of the Philadelphia Code requires certain disclosures of persons seeking City Financial Assistance and prohibits such persons from receiving financial assistance if they or certain related parties have made contributions to elected City officers or candidates for City office in excess of the following amounts (§17-1404 (1)):

- (1) If an individual makes contributions in excess of \$2,600 (as such amount is adjusted from time to time under §17-1404(1)(c)) in the aggregate during a calendar year to a candidate for nomination or election to any elective City office or to an Incumbent, then, during the term of office to which such candidate is elected or during the Incumbent's term of office, the individual shall not be eligible to receive Financial Assistance of \$50,000 or more.
- (2) If a Business make a contribution in excess of \$10,600 (as such amount is adjusted from time to time under §17-1404(1)(c)) in the aggregate during a calendar year to a candidate for nomination or election to any elective City office or to an Incumbent, then, during the term of office to which such candidate is elected or during the Incumbent's term of office, the Business shall not be eligible to receive Financial Assistance of \$50,000 or more.

**PHILADELPHIA INDUSTRIAL DEVELOPMENT CORPORATION (PIDC)**  
**PIDC-LOCAL DEVELOPMENT CORPORATION (PIDC-LDC)**  
**PHILADELPHIA AUTHORITY FOR INDUSTRIAL DEVELOPMENT (PAID)**  
**FINANCIAL ASSISTANCE DISCLOSURE FORM (FA-1)**

**APPLICANT (BORROWER):**\_\_\_\_\_

**AMOUNT OF FINANCIAL ASSISTANCE REQUESTED:\$**\_\_\_\_\_

**DISCLOSURES:**

The following are mandatory disclosures required of all Applicants for Financial Assistance of \$50,000 or more. Failure to respond to any of the five (5) disclosure questions will eliminate you from consideration for the requested Financial Assistance.

1. List the names, business addresses and phone numbers of all Consultants used by the Applicant with respect to this application for Financial Assistance within the year prior to the date of your application for assistance, and the amount paid or to be paid to each such Consultant for such services. **Were Consultants used? No ☐ Yes ☐ if yes, give details below:**

<u>Name</u>	<u>Address</u>	<u>Phone #</u>	<u>Amt. Paid/Payable</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. List all contributions of money or in-kind assistance made by the Applicant, or any Consultant listed in 1. above, during the two years prior to the date of your application for Financial Assistance to any candidate for nomination or election to any public office in the Commonwealth of Pennsylvania or to an individual who holds such office, or to any political committee or state party in the Commonwealth of Pennsylvania, or to any group, committee or association organized in support of any such candidate, office holder, political committee or state party in the Commonwealth of Pennsylvania, and the date and amount of each such contribution. (Note: The attribution rules of §17-1405 of the Philadelphia Code (see “Definitions”) shall apply to determine what contributions must be disclosed as contributions of the Applicant or of a Consultant). **Were contributions made? No ☐ Yes ☐ if yes, complete attached “Campaign Contribution Disclosure Forms.”**

3. List the names, business addresses and phone numbers of all subcontractors the Applicant intends to use if awarded this Financial Assistance, and the amount or percentage to be paid to each such subcontractor. **If subcontractors will not be used, answer “none.”**

<u>Name</u>	<u>Address</u>	<u>Phone #</u>	<u>Amt.(\$)/Percentage (%)</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____



4. Provide the requested information for each City of Philadelphia, PIDC, PIDC-LDC or PAID officer or employee, who within two years prior to the date the application for Financial Assistance is filed, asked the Applicant, any officer, director or management employee of the Applicant, or any Person representing the Applicant, to give money, services, or any other thing of value (other than a Contribution as defined in the PA Election Code, 25 P.S. §3241, see “Definitions”) to any Person, and any payment of money, provision of services, or any other thing of value (other than a Contribution as defined in the PA Election Code, 25 P.S. §3241) given to any Person in response to any such request. **If no such request was made, answer “none.”**

<u>Name</u>	<u>Title</u>	<u>Date Requested</u>	<u>Amount Requested</u>	<u>Date Paid</u>	<u>Amount Paid</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

5. List name and title of each City of Philadelphia, PIDC, PIDC-LDC or PAID officer or employee who, within two years prior to the date the application for Financial Assistance is filed, directly or indirectly advised the Applicant, any officer, director or management employee of the Applicant, or any Person representing the Applicant that a particular Person could be used by the Applicant to satisfy any goals established pursuant to the application for Financial Assistance for the participation of minority, women, disabled or disadvantaged business enterprises. The Applicant shall also disclose the date the advice was provided, and the name of such particular Person. **If no such advice was provided, answer “none.”**

<u>Name</u>	<u>Title</u>	<u>Date</u>	<u>Advice Provided</u>	<u>Person Recommended</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

# **CERTIFICATION:**

**The following certification must be signed and dated.**

I certify under penalty of law that the above DISCLOSURES, including those set forth on the attached “Campaign Contribution Disclosure Forms,” are complete and true and correct in all respects. I further certify that I have not made any contribution(s) which would render me ineligible to receive Financial Assistance in accordance with §17-1404(1) of the Philadelphia Code.

_____	_____
Signature	Date

## **Campaign Contribution Disclosure Forms**

This form is being provided to Applicants for Financial Assistance who are required to complete it and who may want to use it in order to obtain information from their Consultant(s), if applicable.

### **Consultants**

Every Applicant for City Financial Assistance and all Contractors used to obtain said financial assistance are required to provide information on campaign contributions that were made.

Please note that a Consultant, for the purposes of the required disclosures, is defined as an individual or business used by an Applicant to assist in obtaining the requested Financial Assistance through direct or indirect communication by such individual or business with any City agency or any City officer or employee, or PIDC, PIDC-LDC or PAID or any officer or employee of PIDC, PIDC-LDC or PAID, if the communication is undertaken in exchange for, or with the understanding of receiving, payment from the Applicant or Consultant or any other individual or business (however, "Consultant" shall not include a full-time employee for the Applicant).

When applying for Financial Assistance, Applicants have to disclose, on behalf of their Consultant(s), any contributions they made during the two years prior to the Application deadline to:

- A candidate for nomination or election in any public office in the Commonwealth of Pennsylvania
- An incumbent in any public office in the Commonwealth of Pennsylvania
- A political committee or state party in the Commonwealth of Pennsylvania
- A group, committee, or association organized in support of any candidate, office holder, political committee or state party in the Commonwealth of Pennsylvania

Every recipient of Financial Assistance shall, for a period of five (5) years after receiving such assistance, be subject to the covenant and disclosure requirements set forth Philadelphia Chapter 17-1400 §17-1402(1)(e) as listed below:

- (i) The recipient shall covenant for a period of five (5) years after receiving such assistance, contributions will not be made that would render the recipient ineligible to apply for Financial Assistance under the provisions of §17-1404(1). Breach of such covenant shall be an event of default and PIDC, PIDC-LDC or PAID at its option, may accelerate the loan or increase the interest rate to the default rate set forth in the documents.
- (ii) The recipient shall, for a period of five (5) years after receiving such assistance, disclose any contribution of money or in-kind assistance the recipient or any Consultant has made during such time period to a candidate for nomination or election to any public office in the Commonwealth of Pennsylvania, or to any group, committee or association organized in support of any such candidate, office holder, political committee or state party, and the date and amount of such contribution. Such disclosure shall be made on a form provided by PIDC, PIDC-LDC or PAID, and the form shall

- (iii) be signed and filed with PIDC, PIDC-LDC or PAID within five business days of the contribution. The attribution rules of §17-1405 shall apply to determine what contributions must be disclosed under this provision as contributions of the Contractor or of a Consultant.
- (iv) The recipient shall for a period of five (5) years after receiving such assistance, disclose the name and title of each City of Philadelphia, PIDC, PIDC-LDC or PAID officer or employee who, during such time period, asked the recipient, any officer, director or management employee of the recipient, or any Person representing the recipient, to give money, services, or any other thing of value (other than a Contribution as defined in §17-1401) to any Person, and any payment of money, provision of services, or any other thing of value (other than a Contribution as defined in §17-1401) given to any Person in response to any such request. The recipient shall also disclose the date of any such request, the amount requested, and the date and amount of any payment made in response to such request. Such disclosure shall be made on a form provided by PIDC, PIDC-LDC or PAID, and the form shall be signed and filed with PIDC within five business days after the request was made or a payment in response to a request was made, as the case may be.
- (v) The recipient shall for a period of five (5) years after receiving such assistance, disclose the name and title of each City of Philadelphia, PIDC, PIDC-LDC or PAID officer or employee who directly or indirectly advised the recipient, any officer, director or management employee of the recipient, or any Person representing the recipient that a particular Person could be used by the recipient to satisfy any goals established relative to the Financial Assistance for the participation of minority, women, disabled or disadvantaged business enterprises. The recipient shall also disclose the date and the advice that was provided, and the name of such particular Person. Such disclosure shall be made on a form provided by PIDC, and the form shall be signed and filed with PIDC, PIDC-LDC or PAID within five business days after recipient was so advised.

The recipient must submit this updated information on the attached form to: Compliance Monitor, 2600 Centre Square West, 1500 Market Street, Philadelphia, PA 19102. This attached form can also be used to obtain and/or report the necessary information from its Consultant(s).

### **Eligibility Restrictions**

If an individual makes contributions totaling over \$2,600 in one year to a candidate for City elective office or to an incumbent, the individual is not eligible to receive City Financial Assistance of \$50,000 or more during that candidate's or incumbent's term of office.

If a business makes contributions totaling over \$10,600 in one year to a candidate for City elective office or to an incumbent, the business is not eligible to receive City Financial Assistance of \$50,000 or more during that candidate's or incumbent's term of office.

Although individuals and businesses have to disclose campaign contributions made during the two years prior to the application deadline, the eligibility restrictions takes into consideration only those contributions made on or after January 1, 2006.

### **Individual: Campaign Contribution Disclosure Form**

Please read through the directions and definitions before filling out this disclosure form to make sure that each question is answered appropriately and thoroughly.

	Yes	No
Have you made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>
Have you solicited or served as an intermediary for any contributions?	<input type="checkbox"/>	<input type="checkbox"/>
Has a member of your immediate family made any contributions over and above \$2,600?	<input type="checkbox"/>	<input type="checkbox"/>
Has a member of your immediate family solicited or served as an intermediary for contributions over and above \$2,600?	<input type="checkbox"/>	<input type="checkbox"/>

Additional information on every contribution must be disclosed. Please use the table provided on the next page.

### **Individual: Campaign Contribution Disclosure Form**

For relationship, indicate whether the contributor was the Individual or Family Member.

For Family Members, only disclose contributions over and above \$2,600 (e.g., disclose \$400 when a family member gave \$3,000 to one recipient).

<b>Name of Contributor</b>	<b>Relationship</b>	<b>Name of Recipient</b>	<b>Date of Contribution</b>	<b>Amount of Contribution</b>

Please use additional pages as needed.

## **Business: Campaign Contribution Disclosure Form**

Please read through the directions and definitions before filling out this disclosure form to make sure that each question is answered appropriately and thoroughly. Where “non-profit” is an option, indicate whether the business is a non-profit; non-profits are not required to disclose contribution information on these questions.

	Yes	No	Non-Profit
Has the business made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the business solicited or served as an intermediary for any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
For for-profit businesses only: Has an officer, controlling shareholder, or partner of the business made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For for-profit businesses only: Has an officer, controlling shareholder, or partner of the business solicited or served as an intermediary for any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has an affiliate of the business made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has an affiliate of the business solicited or served as an intermediary for any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has an officer, director, controlling shareholder, or partner of a for-profit affiliate of the business made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has an officer, director, controlling shareholder, or partner of a for-profit affiliate of the business solicited or served as an intermediary for any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the business or an affiliate of the business reimbursed another individual or business for a contribution that the individual or business has made?	<input type="checkbox"/>	<input type="checkbox"/>	
Has an officer, director, controlling shareholder, or partner of a for-profit business, or of a for-profit affiliate of the business, reimbursed another individual or business for a contribution that the individual or business has made?	<input type="checkbox"/>	<input type="checkbox"/>	
Has a political committee controlled by the business or by an affiliate of the business made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has a political committee controlled by an officer, director, controlling shareholder, or partner of the for-profit business, or of a for-profit affiliate of the business, made any contributions?	<input type="checkbox"/>	<input type="checkbox"/>	

Additional information on every contribution must be disclosed. Please use the table provided on the next page.

## **Business: Campaign Contribution Disclosure Form**

For relationship, indicate whether the contributor was the Business, Affiliate, Controlled Political Committee, Controlling Shareholder, Director, Officer, Parent, Partner, Reimbursed Contributor, Solicited Contributor or Subsidiary.

<b>Name of Contributor</b>	<b>Relationship</b>	<b>Name of Recipient</b>	<b>Date of Contribution</b>	<b>Amount of Contribution</b>

Please use additional pages as needed.



## **Definitions**

Affiliate	A parent, subsidiary, or otherwise affiliated entity of a business.
Applicant	An individual or business who has filed an application for City Financial Assistance.
Attribution Rules (Philadelphia Code §17-1405)	<p>The following attribution rules shall apply to determine what contributions shall be considered to be contributions of an Applicant or Consultant.</p> <p>(1) Contributions made by a member of an individual’s Immediate Family shall be considered to be contributions made by the individual, but only if such contribution exceeds the maximum amount specified in §17-1404(1)(a). Only the amount of such contribution in excess of such maximum amount shall be attributed to the individual.</p> <p>(2) The following shall be considered a contribution by a Business:</p> <ul style="list-style-type: none"> <li>(a) A contribution made by any parent, subsidiary, or otherwise affiliated entity of a Business (“affiliate”);</li> <li>(b) A contribution made by any Person for which they are reimbursed by such Business or affiliate.</li> <li>(c) A contribution from an officer, director, controlling shareholder or partner of such Business or affiliate, except that this provision shall not apply to not-for-profit Businesses or affiliates;</li> <li>(d) A contribution by a political action committee controlled by the Business or affiliate;</li> <li>(e) A contribution by a political action committee controlled by an officer, director, controlling shareholder or partner of such Business or affiliate (other than a not-for-profit Business or affiliate).</li> </ul>

	<p>(3) A contribution to any political committee which, during the calendar year in which the contribution is made, itself makes contributions or gives financial support in excess of fifty percent of the committee's total receipts for that calendar year to a particular candidate for nomination or election to any elective City office or to a particular Incumbent, shall be considered a contribution to such candidate or Incumbent. A contribution to a political committee that has listed the names of any candidates on a registration statement filed pursuant to the Election Code (25 P.S. §3244) shall be considered a contribution to each such candidate.</p> <p>(4) Any other contribution made not directly to a candidate for nomination or election to any elective City office or Incumbent, but with the purpose and intent that the entity to whom the contribution is made will, directly or indirectly, make such contribution available to such candidate or Incumbent, shall be considered a contribution to such candidate or Incumbent.</p> <p>(5) Any contribution solicited by a Person shall be considered a contribution by such Person, and if a Person sponsors or hosts a fundraising event, then any contributions raised at such event shall be considered to be contributions by such Person. Any contribution solicited by an officer, director, controlling shareholder or partner of a Business or affiliate (other than a not-for-profit Business or affiliate) shall be considered a contribution by such Business, and if any officer, director, controlling shareholder or partner of a Business or affiliate (other than a not-for-profit Business or affiliate) sponsors or hosts a fundraising event, then any contributions raised at such event shall be considered to be contributions by such Business.</p> <p>(6) Any contribution for which a Person is an intermediary shall be considered as a contribution by such Person, and any contribution for which an officer, director, controlling shareholder or partner of a Business or affiliate (other than a not-for-profit Business or affiliate) is an intermediary shall be considered a contribution by such Business. For the purposes of the subsection, an "intermediary" means a Person who, other than in the regular course of business as a postal, delivery or messenger service, delivers a contribution from another Person to the recipient of such contribution.</p>
Business	A corporation, limited liability company, partnership, association, joint venture or any other legal entity (including non-profit organizations).

Candidate	Any individual who seeks nomination or election to public office, other than a judge of elections or inspector of elections, whether or not such individual is nominated or elected. An individual shall be deemed to be seeking nomination or election to such office if he or she has (1) received a contribution or made an expenditure or has given his or her consent for any other person or committee to receive a contribution or make an expenditure, for the purpose of influencing his or her nomination or election to such office, whether or not the individual has made known the specific office for which he or she will seek nomination or election at the time the contribution is received or the expenditure is made; or (2) taken the action necessary under the laws of the Commonwealth of Pennsylvania to qualify himself or herself for nomination or election to such office.
Consultant	An individual or business used by an applicant to assist in obtaining City Financial Assistance through direct or indirect communication by such individual or business with any City agency or any City officer or employee, or PIDC, PIDC-LDC or PAID or any officer or employee of PIDC, PIDC-LDC or PAID, if the communications is undertaken in exchange for, or with the understanding of receiving, payment from the applicant or any other individual or business (however, "Consultant" shall not include a full-time employee of the Applicant).
Contribution (PA Election Code, 25 P.S. §3241)	Any payment, gift, subscription, assessment, contract, payment for services, dues, loan, forbearance, advance or deposit of money or any valuable thing, to a candidate or political committee made for the purpose of influencing any election in this Commonwealth or for paying debts incurred by or for a candidate or committee before or after any election. "Contribution" shall also include the purchase of tickets for events such as dinners, luncheons, rallies and all other fundraising events; the granting of discounts or rebates not available to the general public; or the granting of discounts or rebates by television and radio stations and newspapers not extended on an equal basis to all candidates for the same office; and any payments provided for the benefit of any candidate, including any payments for the services of any person serving as an agent of a candidate or committee or a person whose expenditures the candidate or committee must report under this act. The word "contribution" includes any receipt or use of anything of value received by a political committee from another political committee and also includes any return on investments by a political committee.
Financial Assistance	Any grant, loan, tax incentive, bond financing subsidy for land purchase or otherwise, or other form of assistance that is realized by or provided to a Person in the amount of fifty thousand

	dollars (\$50,000) or more through the authority or approval of the City, including, but not limited to, Tax Increment Financing (TIF) aid, industrial development bonds, use of the power or eminent domain, Community Development Block Grant (CDBG) aid or loans, airport revenue bonds, and Enterprise Zone or similar economic development zone designations (such as Keystone Opportunity Zones, Keystone Opportunity Expansion Zones, Keystone Opportunity Improvement Zones, and Economic Development District Zones), but not including any assistance to which a Person is entitled under a law enacted before the Person applied for or requested such assistance.
Immediate family	A spouse or life partner residing in the individual's household or minor dependent children.
Incumbent	An individual who holds elective City office.
Individual	Single persons whose business is not incorporated.
Intermediary	An individual or business, who, other than in the regular course of business as a postal, delivery or messenger service, delivers a contribution from another individual or business to the recipient of such contribution.
Political committee	Any committee, club, association or other group of persons which receives money or makes expenditures for purpose of influencing any election.
Solicit a Contribution	Requesting or suggesting that a person make a contribution. The sponsoring or hosting of a fundraising event is considered soliciting a contribution from the attendees of the event. Any contributions raised at such event are counted as a contribution made by the host of the event.