



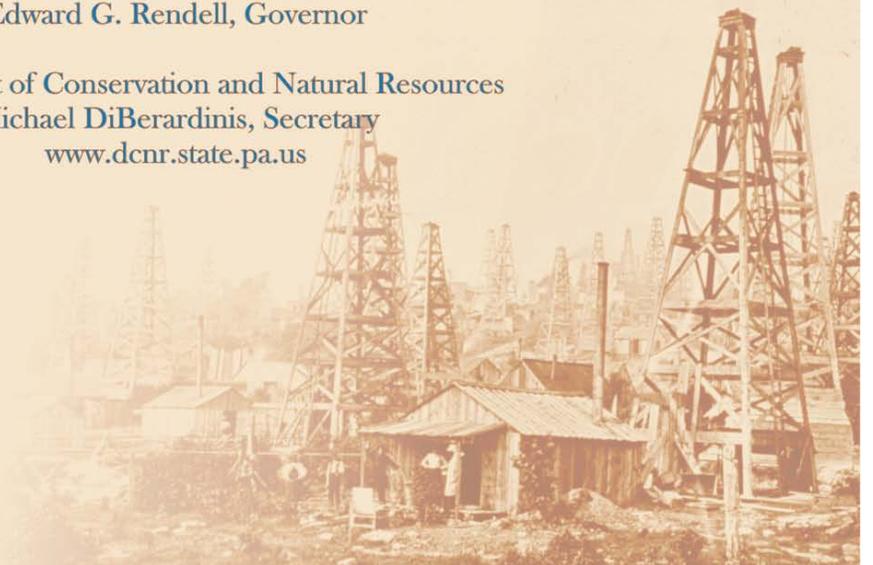
# HERITAGE AREAS PROGRAM MANUAL



Bureau of Recreation and Conservation

Commonwealth of Pennsylvania  
Edward G. Rendell, Governor

Department of Conservation and Natural Resources  
Michael DiBerardinis, Secretary  
[www.dcnr.state.pa.us](http://www.dcnr.state.pa.us)



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# Pennsylvania

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# Heritage Areas

# Program

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## A Program Manual

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## PREFACE

To understand Pennsylvania Heritage Areas one must think to something expansive in size, inclusive in terms of the variety of resources contained within, and broadly in regard to the goals it is designed to achieve. One must think big.

State Heritage Areas are large geographic regions or corridors of the Commonwealth that span two or more counties. These areas contain a multitude of historic, recreational, natural and scenic resources of state and national significance that collectively exemplify the heritage of Pennsylvania. Through regional partnerships and public grassroots planning strategies, these resources are identified, protected, enhanced and promoted to strengthen regional economies through increased tourism, creation of new jobs and stimulation of public and private partnerships for new investment opportunities. This holistic and bottom-up approach to planning ensures that the legacy of a region - and the natural, educational and recreational values inherent to it - are preserved for future generations.

A Pennsylvania Heritage Area is a process as well as a product. It is both the means and the end to substantially enrich the quality of life in Pennsylvania and the communities and regions of the state where these initiatives are pursued. It is also about partnerships. The foundation upon which a heritage area is structured involves building and strengthening regional coalitions of community leaders, non-profit interest groups, the private sector, state agencies and the federal government. Its success is dependent upon partners being able to erase governmental and institutional boundaries while planning, acting regionally and strategically.

Pennsylvania's Heritage Areas System is fundamentally complete. Major themes have been addressed through designated areas. Therefore, the main focus of the Pennsylvania Heritage Areas Program over the next several years will be to continue to support activities and projects that are integral to the implementation of the heritage development, conservation and promotion strategies crafted and refined by the regional coalitions within each heritage area.

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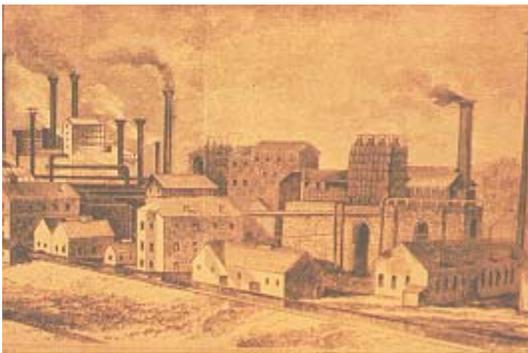


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## OVERVIEW

**INDUSTRIAL PAST** - The heavy industries that were the hallmark of the Commonwealth's economic and technological prowess at the beginning of the 20th century have given way to a more diverse economic base less dependent on iron and steel making, coal mining, railroading and oil production. This process of transition has allowed time for the quality of air, land and water to improve. Our rich natural resources so essential to our industrial growth now offer the setting for a diverse array of outdoor recreational pursuits and quality of life experiences.

As a long time leader in America's industrial development, Pennsylvania heritage is second to none. The stories of the challenges and triumphs, trials and tribulations of the people and places instrumental in making America an industrial giant are a source of great pride to our citizenry. The commitment to keep this legacy alive and thriving is at the heart of the PA Heritage Areas Program (PHAP).



**PENNSYLVANIA HERITAGE AREAS PROGRAM (PHAP)** - The PHAP is a multi-tiered approach to the conservation, development and promotion of Pennsylvania's heritage. A state sponsored initiative administered by the Department of Conservation and Natural Resources, the program offers support to grassroots efforts which capitalize on the benefits and opportunities of heritage development. The program is guided by five inter-related *goals* including *economic development, partnerships, cultural conservation, recreation and open space* and *education and interpretation*. A full description of these goals is found on **page 3** of this manual.

The essence of the initiative is to provide a catalyst for diverse groups within a region to join together to develop a unified strategy for protecting, preserving, developing and promoting the heritage, of the region. In this respect, the PHAP encourages and facilitates *regional planning* and widespread *public and private involvement*. See **page 7** for further details.

One of the primary rewards offered through the PHAP for undertaking an extensive effort to organize and plan regionally is the prospect of being *designated a State Heritage Area*. A State Heritage Area is given special status at the state level and becomes an eligible entity for receiving PHAP funding on an annual basis. The current system of state heritage areas is outlined on **page 8**.

*Program Grants* are awarded on a competitive basis each year to designated State Heritage Areas for both planning and implementation type projects, which carry out the heritage development strategies identified

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in their regional plans. Over the last 20 years, the General Assembly has appropriated over \$42 million to fund the PHAP. A full description of the types of grants starts on page 10 of this manual.

**MANUAL PURPOSE** - This manual is designed to give the reader a full understanding of the PHAP components just mentioned. If you have any questions or need more information about this initiative, *program assistance* is available through the Department of Conservation and Natural Resources' (DCNR) Regional Offices. Please refer to

**Page 17** of the manual for names and telephone numbers of the DCNR Regional Staff.

**COMMONLY USED ABBREVIATIONS**

- BRC - Bureau of Recreation and Conservation
- DCNR - Department of Conservation and Natural Resources
- RHATF - Regional Heritage Area Task Force
- PHAP - Pennsylvania Heritage Areas Program



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## PROGRAM GOALS

There are five primary goals of the PHPP.

- Economic Development
- Partnerships
- Cultural Conservation
- Recreation and Open Space
- Education and Interpretation

**ECONOMIC DEVELOPMENT** - Strengthening regional and local economies through *heritage tourism* is a fundamental program goal. The added dollars pumped into the economy from traditional tourist purchases of food, lodging, entertainment, retail sales, etc. will stimulate business expansions, create new business opportunities and result in the formulation of public and private partnerships for focusing regional investments - all of which serve to create new jobs and markets.

This is a broad-based goal encompassing an array of initiatives from the *revitalization of economically stressed communities* to the *development of rural areas*. The redevelopment and reuse of vacant commercial, manufacturing and industrial buildings and sites; the preservation and rejuvenation of historic downtowns as centers for areawide commerce, and the expansion of advanced technologies to improve rural economics are just a few examples of the kinds of activities that are stimulated by heritage development.

An important component of the economic development goal is to make heritage areas attractive places to live and work by building strong, *sustainable communities*. The support of partnerships and projects which link community conservation activities with sound economic development objectives will be key to creating places of promise and opportunity.

Commitment and leadership in taking a holistic approach to building local and regional futures by integrating economic, education, housing, environmental, recreation and open space, transportation, growth management, and public and private infrastructure needs must be developed and nurtured within the heritage area. The enhanced *quality of life* will lure new businesses and industries to the region, helping to diversify local economies, stabilize local tax bases and provide jobs for area residents.

**PARTNERSHIPS** - Regional partnerships form the foundation upon which the State Heritage Area is formulated and advanced. A *regional interagency approach* to planning for and implementing the Area is dependent upon the creation of a strong coalition of public officials, business and civic leaders, community organizations, planners, educators, preservationists, conservationists and private citizens. The partnership commitment will be documented by the passage of resolutions and executions of interagency agreements at various stages of the program process.



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Supporting the local regional coalition at the *State* level is the Commonwealth Partners. The Pennsylvania Heritage Area Program is housed in the Department of Conservation and Natural Resources but administered in partnership with several other Commonwealth agencies including the Departments of Transportation, Community and Economic Development and Education along with the Council on the Arts, Center for Rural PA and PA Historical Museum Commission.

*Federal* agency and organizational collaboration is important to the success of the program. Heritage Areas have partnered with the National Park Service and Army Corps of Engineers. There are now six federal heritage areas: The Delaware and Lehigh Canal Corridor, Rivers of Steel Heritage Area, Lackawanna Heritage Valley, Schuylkill River Heritage Corridor and “**the former Southwestern Pennsylvania Heritage Preservation Commission**” and the Oil Heritage Region.

The program encourages symbiotic relationships with a variety of *state and national corporations*. Previous Heritage Area projects have partnered with the Center for Rural Pennsylvania, Pennsylvania Downtown Center, Preservation Pennsylvania, Pennsylvania Environmental Council and the National Trust for Historic Preservation.

**CULTURAL CONSERVATION** - A Pennsylvania Heritage Area will foster the conservation of the region's distinctive and varied cultural resources including the preservation of the historical infrastructure and industrial context; the promotion of the human and social stories of the communities, leaders



and laborers who built and sustained the industries; and the celebration of cultural traditions and folklife kept alive by various occupational and ethnic groups, neighborhoods and communities within the region. These cultural conservation efforts will encompass the preservation of the *built environment* relating to the industrial theme including the adaptive reuse and restoration of significant historic sites and properties as well as the protection of important architecture, artifacts, records and other like resources. The human dimension of industrial heritage will be conserved by sharing the legacy through interpretive programs, educational materials and exhibits; through the traditional and performing *arts*; through the works of artisans and crafters, and through special events such as ethnic festivals, reunions, religious and holiday observances, re-enactments or remembrances of historic mileposts and other public celebrations. The Heritage Area will facilitate and support a full range of cultural conservation activities necessary to preserve, develop and promote the complete story predicated by the industrial theme.

**RECREATION AND OPEN SPACE** - A major component of a Pennsylvania Heritage Area is the use of *greenways* to link the significant natural, recreational and historic sites within regions. Greenways often take the shape of corridors following rivers, trails and byways connecting these vital resources. The greenways must be included as an integral part of the heritage area proposal, and may even become the focal point around which an area evolves. The greenways will become major recreational and educational assets as well as key components of the circulation systems for moving people within the heritage park.

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Significant *public and private recreational resources* already existing in the region must become an integral part of the marketing strategy to attract visitors to the area. As a heritage area evolves, opportunities for the development of new recreational sites and facilities should become available to both the public and private sectors.

The protection of *natural areas*, especially those of significant ecological value, and scenic landscapes is an important aspect of a Pennsylvania Heritage Area. Inventories of these resources and the strategies to preserve them for future generations must be included as part of the heritage area planning and implementation process.



This component must also address the creation and preservation of high quality greenspace areas in the *urban* centers of the region.

The development of a system of trails and greenways should be planned and implemented to link natural, cultural, recreational and historic resources throughout each Heritage Area.

**EDUCATION AND INTERPRETATION** – The purpose of the education/interpretive goal is to communicate the significance of the region's resources and *stories* to its residents and visitors and to develop a common story that connects those resources.

Critical to the achievement of this goal is a coordinated and integrated system which orients visitors, encourages them to explore the region's attractions and familiarizes them with the *themes* and stories of the Heritage Area.

The cooperation of educational, informational and interpretive providers will focus program, facility, media and personal services to help residents and visitors better understand, appreciate and enjoy the region. The residents of the Heritage Area should begin to value their resources more and communicate that to visitors. Public and private educational institutions should develop *curriculums*, workshops and conferences to focus attention on the region and its assets. The Heritage Area should foster *public awareness* and participation through its planning efforts and communicate often via the mass media, newsletters and other public information medium.





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# COMMONWEALTH PARTNERS

Implementation of the program is closely coordinated with our Commonwealth Partners consisting of representatives from the following state agencies:

- **Department of Conservation and Natural Resources**
- **Pennsylvania Historical and Museum Commission**
- **Department of Education**
- **Pennsylvania Council on the Arts**
- **Department of Transportation**
- **Department of Community and Economic Development**
- **Center for Rural PA**



The Commonwealth Partners assist DCNR with the following responsibilities:

1. Review Feasibilities Studies for new Heritage Areas and make recommendations for approval or disapproval.

2. Review Management Action Plans and updates to these plans and make recommendations for approval or disapproval.
3. Review other requests, grants or initiatives as necessary and make recommendations for approval or disapproval.



4. Provide expertise on programs and issues related to their agency.
5. Coordinate the Pennsylvania Heritage Area Program funds with grants and loans available from other state agencies and the federal government.
6. Coordinate the provision of technical assistance to Pennsylvania Heritage Areas Program applicants and initiatives.
7. Evaluate the program's effectiveness and recommend improvements to program administration and efficiency.
8. Participate in conferences, workshops, training sessions, and other meetings necessary for the implementation of the program.

The program is also closely coordinated with federal heritage area initiatives being undertaken in Pennsylvania by the National Park Service.

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## STATE HERITAGE AREA PROCESS

**DESIGNATION PROCESS** - Obtaining designation as a State Heritage Area is a two-step process. A region must first complete a *Feasibility Study* and have the study report approved by DCNR and the Commonwealth Partners. DCNR reserves the right to require that a formal presentation of the report be made to the Commonwealth Partners in Harrisburg. Approval of the Feasibility Study will enable the region to be designated as a *State Heritage Area Planning Area* and to apply for a Management Action Plan project grant.

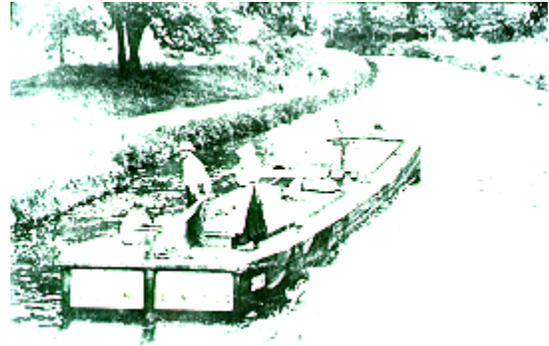
Upon completion of a *Management Action Plan* and its acceptance by DCNR and the Commonwealth Partners, the region will be designated a *State Heritage Area*. DCNR reserves the right to require that a formal presentation of the report be made to the Commonwealth Partners in Harrisburg. This designation will enable the region to compete for Special Purpose Study projects and Implementation projects recommended in the Management Action Plan and for State Heritage Area Management funds.

Refer to the chart of the Pennsylvania Heritage Area Program Application/Designation Process in Appendix C.

**PUBLIC/PRIVATE INVOLVEMENT** - The planning and development of a heritage area must include a substantial commitment of time, effort and cooperation from a wide range of community and citizen interest groups and the general public. Early in the



planning process a Regional Heritage Area Task Force (RHATF) must be created to provide input and guidance in the preparation of a Feasibility Study project application.



This Task Force should include representation from a broad spectrum of interest groups in the region that will have an impact on or be impacted by the heritage area proposal. Examples of such interest groups are: local government officials, civic leaders, entrepreneurs and business leaders, labor unions, community and ethnic organizations, educators, regional and local planners, recreation providers, environmental and conservation organizations, arts and cultural groups, historical societies and historic preservation groups, chambers of commerce, tourist promotion agencies, etc. The RHPTF will also play a major role in the preparation of the feasibility study report, helping to define the product to be produced and the process by which the study effort is conducted.

The RHPTF will become a key organizational link within the region as the heritage area progresses through the management action plan and implementation project phases. The group will form the foundation around which to continue building a strong community/citizen involvement and public participation component in the program.

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## STATE HERITAGE AREAS SYSTEM

Pennsylvania currently has 12 formally designated State Heritage Areas:

The *Allegheny Ridge Heritage Area*, designated in 1992, interprets the iron and steel, coal and coke, rail roading and canal heritage of Blair, Cambria, Huntingdon and Somerset counties.

The *Delaware and Lehigh National Heritage Park Corridor* was designated a State Heritage Area in 1993 and follows the historic railroad and canal transportation system through Luzerne, Carbon, Lehigh, Northampton and Bucks counties.

The *Endless Mountains Heritage Region* designated in 1998, celebrates the legacy of people living with the land. It includes Bradford, Sullivan, Susquehanna and Wyoming counties.

The *Lackawanna Heritage Valley* was the first State Heritage Area, designated in 1991. It encompasses the watershed area of the Lackawanna River in Susquehanna, Lackawanna and Luzerne counties, and includes the Steamtown National Historic Site.

The *Lancaster-York Heritage Region*, designated in 2001, celebrates the region's rich agricultural heritage, and associated manufacturing industries highlighted through a variety of interpretive venues. The region also focuses on the abundant natural, cultural, historical and recreational opportunities and experiences available within the Lower Susquehanna River Valley. The region includes Lancaster and York counties.

Designated a State Heritage Area in 1995, the *Lincoln Highway Heritage Corridor* promotes the transportation heritage of Pennsylvania's section of the first transcontinental highway — U.S. Route 30 — as it winds through Adams,

Franklin, Fulton, Bedford, Somerset and Westmoreland counties.

The *Lumber Heritage Region* of Pennsylvania, designated in 2001, focuses on the past and present day lumbering heritage, as well as the diverse recreational, and nature-based tourism opportunities of a fifteen county region in northcentral and northwest Pennsylvania.

The *National Road Heritage Park* was designated a State Heritage Park in 1994 and celebrates the history, culture and scenery of one of America's oldest byways, following U.S. Route 40 through Somerset, Fayette and Washington counties.

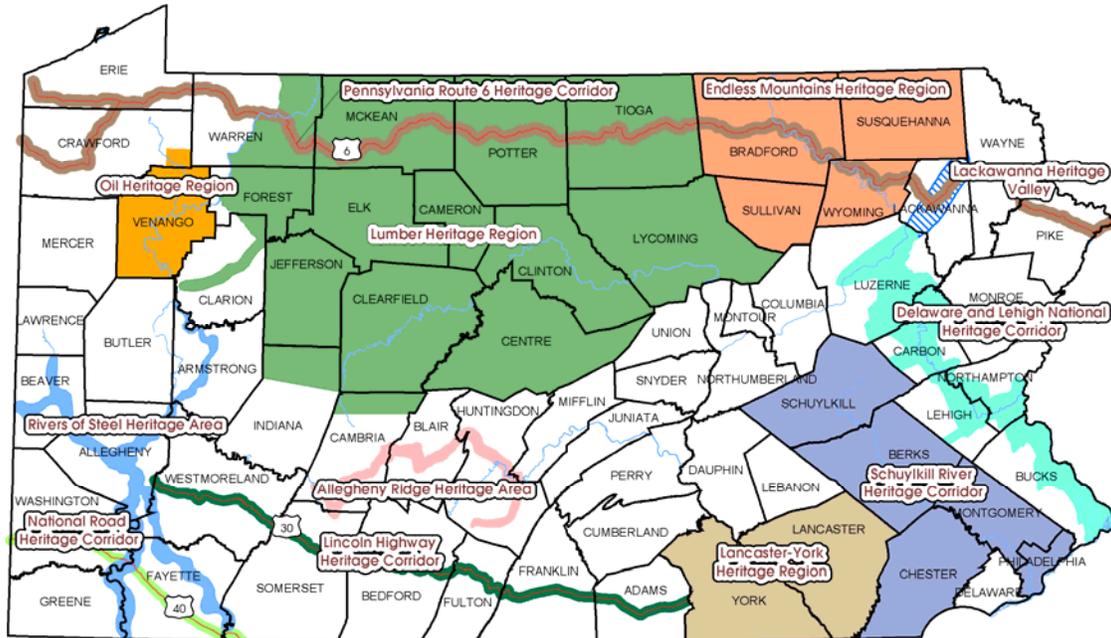
The *Oil Regional National Heritage* was designated a State Heritage Park in 1994 and interprets the nationally significant story of the oil industry in Venango and Crawford counties.

The *Rivers of Steel National Heritage Area* was designated a State Heritage Area in 1996 and focuses on the industrial heritage of Pittsburgh and southwestern Pennsylvania as the unrivaled center of the nation's iron, steel, coal and coke industries for over a century. The Rivers of Steel National Heritage area encompasses the Allegheny, Monongahela, Ohio and Youghiogheny river valleys in Allegheny, Armstrong, Beaver, Butler, Fayette, Greene, Washington and Westmoreland counties.

Designated a State Heritage Area in 1995, the *Schuylkill River Heritage Corridor* promotes the industrial legacy of the Schuylkill River valley in Schuylkill, Berks, Chester and Montgomery counties and the City of Philadelphia.

Designated in 2005, the *PA Route 6 Heritage Corridor* promotes the natural and scenic qualities and interprets the heritage of the US Route 6 highway corridor as it traverses the state weaving through 11 northern PA counties.

# Heritage Areas of Pennsylvania



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# PROGRAM GRANTS

**PROJECT TYPES** - Pennsylvania Heritage Areas Program funds can be used for six types of projects as described below.

## A - Implementation

*Implementation Projects* are non-planning projects that implement recommendations of the Management Action Plan and Special Purpose Studies. Eligible project activities would include the development, rehabilitation, restoration, preservation and acquisition of sites and buildings, interpretive/educational exhibits and materials, and promotional/marketing products and creation of Revolving Loan Fund programs (RLF). RLF program proposals must first be pre-approved by DCNR prior to the submission of formal applications.



*Early Implementation Projects* are implementation-type projects that are undertaken within State Heritage Area Planning Areas in conjunction with the Management Action Plan process. Projects must be supported by the Regional Heritage Area Task Force (RHATF); must result in a usable area, facility or product and must be able to generate significant public awareness of the overall goals of the Heritage Area effort.

## B - Management

A *Management Action Plan* is a comprehensive study and process that will define a long-range (10 year) plan of action to organize,

implement, manage and market the heritage area concept in the region. It will build upon the feasibility study process and data and contain a much more detailed inventory, analysis, and set of recommendations. Alternative management strategies and a business plan must be developed and presented in the plan. Preparation of a Management Action Plan can be a multi-year process. Up to 20 percent of the grant approved for a Management Action Plan may be used to fund the salary and fringe benefits of a person hired by the applicant to be a State Heritage Area Planning Area Coordinator.

*Management Grants* fund those eligible expenses related to the administration and management of officially designated state heritage areas. Eligible expenses include salary and benefits for park managers and other full time professional and clerical staff, wages for part-time or temporary staff and outsourcing of administrative functions. Up to 15% of the grant can be used to purchase equipment, supplies, office space and related costs as well as to cover travel costs and conference fees. Funding is requested, reviewed and awarded on an annual basis.

## C - Special Studies

A *Feasibility Study*, the initial step of the heritage area planning process, provides the information for DCNR and the Commonwealth Partners to determine if a region has the resources, public and private support, intergovernmental interagency cooperation, and the local commitment and leadership capability to develop and maintain a heritage area initiative for the area. Both the product and process of the Feasibility Study will form the foundation for the continued

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planning and eventual implementation of a heritage area.



Regions wishing to participate in the Pennsylvania Heritage Area Program may apply for feasibility study grants if they meet the following criteria:

- Must have a strong industrial theme based on one or more of the following industries - coal, oil, iron and steel, lumber, textile, transportation, machine and foundry and agriculture.
- Must be multicounty in size.
- Must have natural, cultural, historic, recreational and scenic resources of State or national significance.
- Have a broad-based public and private partnership and regional coalition supporting the project.
- Must demonstrate a local commitment and leadership capacity to undertake the initiative.

A *Special Purpose Study* is a more concentrated study or plan necessary to implement one or more of the recommendations of an approved Management Action Plan or which support the Heritage Area. These projects will be negotiated on a case-by-case basis. Examples of special purpose studies would be master plans, economic assessments, marketing plans, specialized inventories, archaeological surveys, preservation and interpretive plans, special feasibility studies and architectural designs.



**FUNDING PLAN AND CONDITIONS** - The granting of funds by DCNR for Pennsylvania Heritage Area Program appropriations will be made for the six types of projects just highlighted: Feasibility Studies, Management Action Plans, Special Purpose Studies, Implementation Projects, Early Implementation Projects and State Heritage Area Management.

The application period announcement for each round of funding will indicate what types of projects will be considered for funding from the appropriation made available to DCNR. Grants awarded through the PHAP will be made in accordance with the following conditions:

*Feasibility Study, Management Action Plan, and Special Purpose Study* projects are eligible to receive PHAP Program grants of up to 75% funding of the total eligible project costs. The 25% match must be cash, derived from federal

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and/or local sources, and be a combination of public and private funding. Some sources of state funding if pre-approved by DCNR may also be used as a match. The private funding portion of the match must be an amount at least equal to 5% of the PHAP grant amount. Up to 20% of a Management Action Plan Grant may be used to fund a State Heritage Area Planning Area Coordinator.

**Implementation and Early Implementation** projects are eligible to receive PHAP grants of up to 50% funding of the total eligible project costs. The 50% match must be cash, derived from federal and/or local sources, and be a combination of public and private funding. Some sources of state funding if pre-approved by DCNR may also be used as a match. The private funding portion of the match must be an amount equal to at least 5% of the PHAP grant amount for Early Implementation projects and at least 5% of the PHAP grant amount for Implementation projects.



Funding for a *State Heritage Area Management Grant* is requested and reviewed on a year-to-year basis and is limited to a maximum of \$100,000 per year. No match is required.

The maximum grant amount for each project type is generally: Feasibility Study Projects - \$30,000; Management Action Plan Projects - \$200,000; Special Purpose Study Projects - \$150,000; Implementation Projects - \$500,000, Early Implementation Projects - \$100,000, and State Heritage Area Management Grants - \$100,000.

Local in-kind services and/or volunteer work cannot be counted as a project cost eligible for Pennsylvania Heritage Area Program funding and cannot be counted as a part of the required cash match for Feasibility Study, Management Action Plan and Special Purpose Study projects. Some non-cash services or the approved appraised value of donated land may be eligible as a match for Implementation and Early Implementation projects. Eligibility will be determined on a case-by-case basis and pre-approval must be obtained from DCNR prior to application submission.

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**TABLE - FUNDING CONDITIONS**

<b>Project Type</b>	<b>Maximum Grant Amount</b>	<b>Maximum/Minimum Grant % Match %</b>	<b>Minimum Private Contribution</b>
Feasibility Study	\$30,000	75/25	5% of grant amount
Management Action Plan	\$200,000	75/25	5% of grant amount
Special Purpose Study	\$150,000	75/25	5% of grant amount
Implementation Project	\$500,000	50/50	5% of grant amount
E. Implementation Project	\$100,000	50/50	5% of grant amount
Management Grant	\$100,000	No match required	None required

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## GRANT PROCESS

**ELIGIBLE APPLICANTS** - To accommodate the requirement that a Heritage Area be regional in nature and scope, there are three categories of applicants that are eligible to request PHAP funding:

A *Federal Commission* designated by Congress to administer federally designated heritage areas. A *county or multi-county authority* designated by regional partners in a Heritage Area. A *non-profit organization* with 501(c)(3) status created or designated by the partners in a heritage area to act on their behalf.

All PHAP Grant applications must be submitted by one of the above eligible applicants to be considered for funding.



**PROJECT COORDINATOR** - Every applicant must designate a Project Coordinator whose name, address, and telephone number will be provided on the application form. The Coordinator will be the primary contact with DCNR to administer the grant, and will be the primary recipient of correspondence from DCNR regarding the project. In most cases, the Project Coordinator will be the State Heritage Area Planning Area Coordinator or the State Heritage Area Manager.

**APPLICATION PROCESS/CONTENT** - The following is a general summary of the Pennsylvania Heritage Areas Program application process and a brief description of each application step:

**Application Period Announcement** - Subject to the availability of funds, DCNR will issue an announcement in the *Pennsylvania Bulletin* that applications for PHAP grants are being accepted.

The Bulletin notice will establish the application deadline and define the types of projects that will be eligible for funding.

**Application Submission** - Applications must be submitted using the Standard Application for DCNR Grant Funds. See Appendix D. Under Implementation and Special Studies, Heritage Areas may submit an application with several subprojects. For each subproject a separate Project Site Information form and a Heritage Areas Subproject Information form should be attached to the application.

Applications must be submitted by the established deadline and contain the information and supplemental attachments requested.

**Apply Online** - DCNR has launched a new grant application system “e-grants” that standardizes the application process and provides an environmentally friendly way to submit a grant application to DCNR through a secure internet connection. To access an online application go to [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). The Department has also launched a Grants Customer Service Center that can provide help on the eGrants system and direct callers with more technical grant questions to the appropriate area for help. You can reach the Customer Service Center by phone at 1-800-326-7734 or by email at [RA-DCNR-Grants@state.pa.us](mailto:RA-DCNR-Grants@state.pa.us).

**Grant Application Submission Instructions (Deadline Wednesday, April 22, 2009):**

You have the ability to apply using an on-line application by going to [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). If applying using the paper version of the Grant Application submit two original copies on or before Wednesday, April 22,

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2009 by 4:00 PM. Both applications must have original signature(s) signed in blue ink (no hand stamps, FAX, or photocopies) and must be mailed to the address below.

**Department of Conservation and Natural Resources**  
**Bureau of Recreation and Conservation**  
**Rachel Carson State Office Building, 6<sup>th</sup> Floor**  
**P.O. Box 8475**  
**Harrisburg, PA 17105-8475**

For those applications being sent to the Bureau of Recreation and Conservation (Harrisburg Central Office) via U.P.S., Fed Ex. or hand delivered, etc., please use the following street address:

**Department of Conservation and Natural Resources**  
**Bureau of Recreation and Conservation**  
**Rachel Carson State Office Building, 6<sup>th</sup> Floor**  
**400 Market Street**  
**Harrisburg, PA 17101-2301**

**Application Review** - All applications received by the established application deadline will be reviewed by DCNR. During the application review process, the applicant may be asked to travel to Harrisburg to make a presentation of the proposal.

If the application is approved, DCNR will notify the applicant in writing of the approval and a grant agreement will be issued for the project. DCNR reserves the right to adjust the grant amount based upon the demand and the funding available.

If the application is not approved, the applicant may contact the Department to discuss the shortcomings in the application, and to coordinate technical assistance if the applicant wants to continue pursuit of the initiative. The applicant will have the opportunity to resubmit for funding during a future application period. For Feasibility Study projects, this opportunity will be provided only once. If the second application attempt is also not approved, the proposal will not be considered for PHAP funding



but the applicant will be offered technical assistance and referred to other programs as appropriate.

**GRANT AGREEMENT** - Subject to the availability of funds and upon approval of an application, DCNR will issue a grant agreement for the project. The agreement will set forth the program requirements and grant conditions, define the project scope and time frame, and establish the grant amount. Upon full execution of the grant agreement by the applicant and the Commonwealth, the project activity may commence.

Beginning of the project activity before the grant agreement is fully executed may affect the eligibility of the work for funding. All program requirements and grant conditions apply to matching funds as well as grant funds.

**GRANT PAYMENT** - Upon full execution of the grant agreement by the applicant and the Commonwealth, and with a written request from the applicant, a working capital disbursement of no more than 50% of the entire grant amount will be authorized. Subsequent disbursements will be made upon request and in a manner specified by DCNR.

**INTEREST INCOME** - All grant moneys received by the applicant must be deposited into a separate and special project account which is interest bearing. All interest earned on PHAP grant funds may be used by the Heritage Area in a manner specified in the agreements. All unused interest shall be submitted to the Commonwealth upon expiration of the agreement.

**PROGRESS REPORTS** - The applicant will be required to submit periodic progress reports in a format and time frame that will be defined by DCNR for each specific project.

**PROJECT REVISIONS** - Any revision to a project must be communicated to DCNR and approved by DCNR prior to initiation or enactment of the revision. Major revisions must be documented in writing.

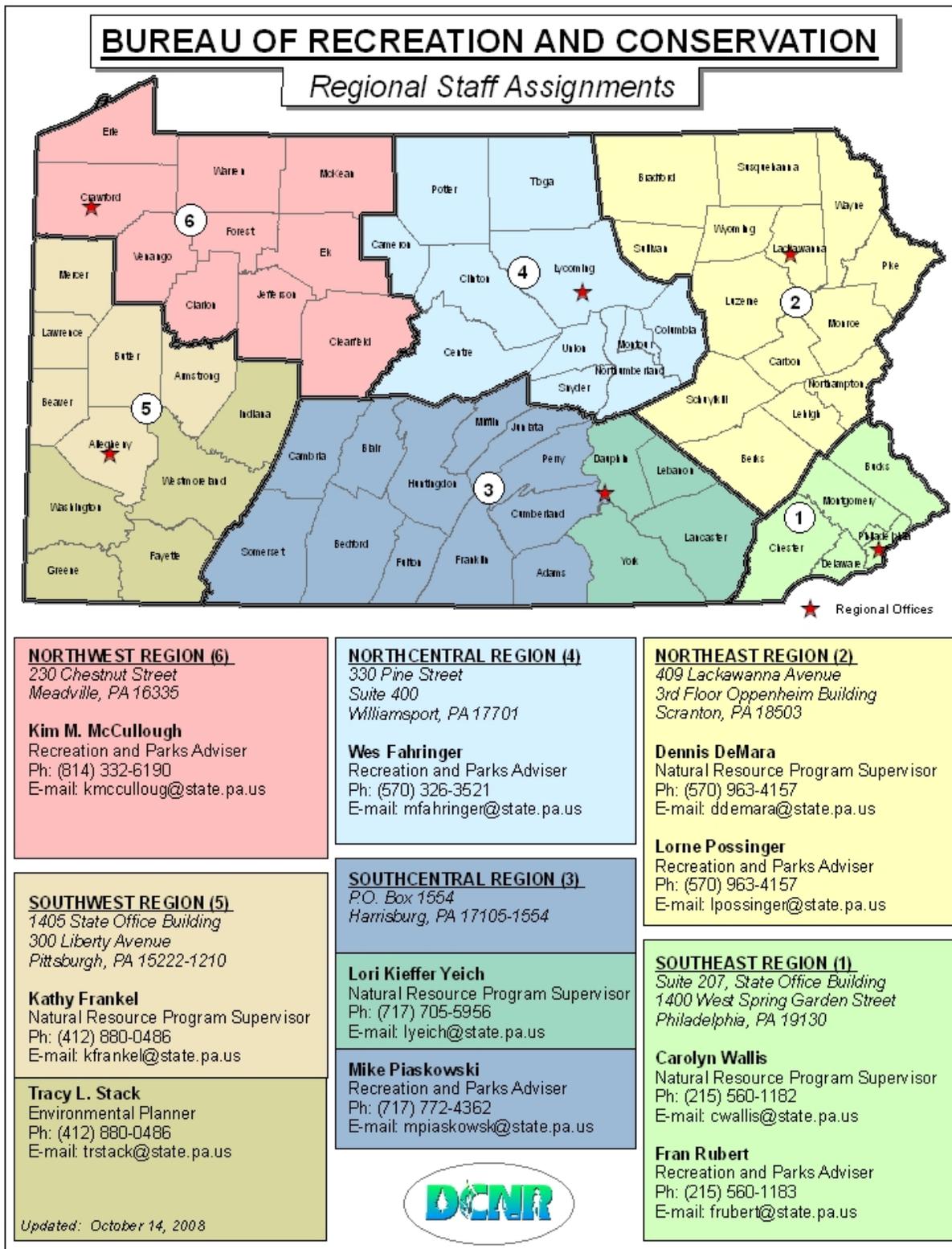
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**GRANT AMENDMENTS** - Addition of grant funds, extension of the term of the grant, and changes within the project scope may be accomplished by means of a letter from the Department approving a written request by the grantee. Major project revisions that significantly change the project scope, and other changes not addressed above must be accomplished by formal amendments to the grant. Formal amendments must be requested by the applicant in writing and must be executed by the applicant and the Commonwealth to become effective.

**FINAL REPORT/AUDIT** - Upon completion of a project, the applicant will be required to submit a final report in a format and time frame that will be defined by DCNR for each specific project. The grant recipient must keep a separate file of their project records for the PHAP grant and maintain this file for a period of three years from the date this final report is submitted to DCNR or until the project file is audited, whichever comes first. If a project is audited within the three year period and exceptions are found, the grant recipient must maintain the project file until all audit findings are resolved to the satisfaction of DCNR. The project records shall be subject to audit by DCNR and the Auditor General of the Commonwealth of Pennsylvania or their representative. An audit report from the Grantee may be required to verify the financial accountability of the grant and to confirm compliance with programmatic requirements, as deemed necessary by DCNR.



# PROGRAM ASSISTANCE



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## APPENDICES

**A - Definitions**

**B - Industrial Themes**

**C - Application/Designation Process**

**D - Heritage Area Grant Application**

**E - Application Instructions**



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## *APPENDIX A - DEFINITIONS*

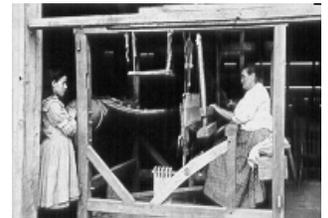
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**Commonwealth Partners** - State agencies with an interest and involvement in Heritage Areas and Heritage Area Projects. Includes agencies represented on the State Heritage Areas Interagency Task Force.

**Cultural Context** - A body of information drawing on ethnographic and historical sources about a region's settlement patterns, social organization and folklife. A cultural context will provide information about the daily patterns of activity experienced by people of different social groups at particular periods of time, covering such elements as occupational, domestic, religious, and social life; sense of place; and attitudes towards, and interaction with the built and natural environments.

**Folklife** - The traditional expressive culture shared within various groups (e.g., ethnic, occupational, religious, regional) encompassing a wide range of creative and symbolic forms such as custom, belief, technical skill, language, literature, art, architecture, music, play, dance, drama, ritual, pageantry, and handicraft; such expressions are mainly learned orally, by imitation, or in performance, and are generally maintained without the benefit of formal instruction or institutional direction (adapted from Public Law 94-201, American Folklife Preservation Act, U.S. Congress, 1976).

**Heritage Development** - A sustainable approach to community and economic development and to conserving and restoring natural, historic and cultural resources. Its purpose is to improve quality of life, instill a pride of place and achieve common purposes among regional partners.



**Historic Context** - A body of information about an area's built environment in its historical setting organized by use, form, and historic period. An historic context will establish relationships between the prehistoric and historic growth and development of the region and that region's existing sites and structures.

**Historic Resource** - A building, structure, object, district, place, site, or area significant in the history, architecture, maritime heritage, archaeology, or culture of this Commonwealth, its communities, or the nation.

**RHATF** - Regional Heritage Area Task Force

**Municipality** - Any county, city, borough, town, township, home rule municipality, or any official agency created by the foregoing units of government under the laws of the Commonwealth of Pennsylvania. Any of the actions of such official agency taken under the program shall be first approved by the participating local governing bodies in such agency.



**State Heritage Areas** - Large geographic regions or corridors of the Commonwealth that span two or more counties containing a multitude of cultural, historic, recreational, natural and scenic resources of state and national significance that collectively exemplify the industrial heritage of Pennsylvania. Through regional partnerships and public grassroots planning strategies, these resources are identified, protected, enhanced and promoted to strengthen regional economies through increased tourism, creation of new jobs and stimulation of public and private partnerships for new investment opportunities. State Heritage Areas are formally designated by the Governor after successfully completing the PHAP Planning Process.

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## APPENDIX B - INDUSTRIAL HERITAGE THEMES

*Iron and Steel*

*Coal*

*Textile*

*Machine and Foundry*

*Transportation*

*Lumber*

*Oil*

*Agriculture*



Pennsylvania has long been in the forefront of American industrial development. In fact, America's industrial heritage started here. Known as both bread basket and iron forge to the colonies, Pennsylvania was one of the leading states in the nation's enormous industrial expansion of the nineteenth and early twentieth centuries. The iron and steel, coal, textile, machine and foundry, and transportation industries in the Commonwealth's rise to industrial prominence. These five industries exceed all others in terms of numbers of people employed, the amount of capital invested, the value of their products, and their contributions to technological, labor and business history over a sustained period of time. For brief periods, the lumber and oil industries have been significant employers and producers of industrial goods in the Commonwealth and the nation. Agriculture has played a key role in Pennsylvania's economy from colonial times to the present; agriculture is now the Commonwealth's leading industry. Iron and steel manufacturing has been one of the largest and most important industries in the Commonwealth since the early eighteenth century. Spreading across the state from the early iron forge sites of southeastern Pennsylvania, the Commonwealth was manufacturing fifty percent of the nation's value of iron by 1860. Massive growth and technological changes marked the iron and steel industry into the early twentieth century.

Closely related to iron and steel, coal mining developed in the anthracite fields of eastern Pennsylvania and the bituminous fields of western Pennsylvania. Pennsylvania was the nation's largest supplier of coal, iron and steel from the mid-nineteenth to the mid-twentieth centuries. These industries fostered steel communities and built coal patch towns that were home to thousands of native born Pennsylvanians and eastern and southern European immigrants. The emergence of unions to protect workers in these dangerous industries marked a significant development of labor history.

Pennsylvania's extensive transportation network developed in relation to its industrial expansion. Three thousand miles of turnpikes were completed by 1832, more than any other state. Canals were the first part of a transportation revolution that greatly spurred industrial growth by 1860. Canals channeled millions of dollars worth of raw materials out of the interior and the Ohio River valley. Construction of the canals also served as a training ground for many of the engineers who built the bridges, railways and heavy industries of nineteenth century America.

Railroads were the second part of the transportation revolution, quickly overtaking the role of canals in providing the outlet for industrial transportation. Dozens of railroad companies, many of them short lines, constructed tracks, and by the early twentieth century almost every city and larger town in Pennsylvania was linked by rail. The Pennsylvania Railroad was by far the largest and most powerful of the many railroad companies between 1861 and 1919. Railroads served the coal mining industry, and were the largest customers for iron and steel during the nineteenth century. Railroad was also the basis for the development of allied industries in Pennsylvania: locomotive construction and railroad car and locomotive repair. The Commonwealth's largest rail lines played a predominant role nationally in the growth of big business and labor conflict.

Textile manufacturing was another leading industry in Pennsylvania into the early twentieth century. Cotton, wool, silk, hosiery, knit goods, and carpet manufacturing have all played a role in Pennsylvania's textile

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industry. Each branch of the textile industry developed its own specialization and geographical concentration within the Commonwealth. The anthracite region silk mills, for example, provided jobs for the daughters and wives of slate quarry workers and coal miners.

Much of the textile machinery and other types of machinery produced in the United States were manufactured by Pennsylvania foundries and machine shops. From its origin in the early nineteenth century when foundries cast implements for home and farm use, the machine shop industry grew enormously and pioneered technological advances in casting, shaping and machining interchangeable parts for industrial machinery. More than any other state, Pennsylvania was the machine shop of the nation.

During the mid-nineteenth century, Pennsylvania led the nation in the production of sawed and planed lumber. Market demands sparked by the Civil War and the growth of the country, coupled with technological developments that included the circular saw and the use of transportable steam-driven machinery, transformed the timber trade into a modern industry. The extensive forests of the state's central and northern counties presented a vast resource to astute entrepreneurs who established lumber camps throughout the area.

Pennsylvania's oil industry experienced a meteoric ascent and decline from the mid-nineteenth to early twentieth centuries, yet had a significant impact on the development of commercial oil drilling and refining nationally. The oil boom began in 1859 in Titusville, peaked by 1891, and fell by 1919. Essentially all of the technology necessary for the modern oil industry was developed in northwestern Pennsylvania during the 1850s to 1870s.

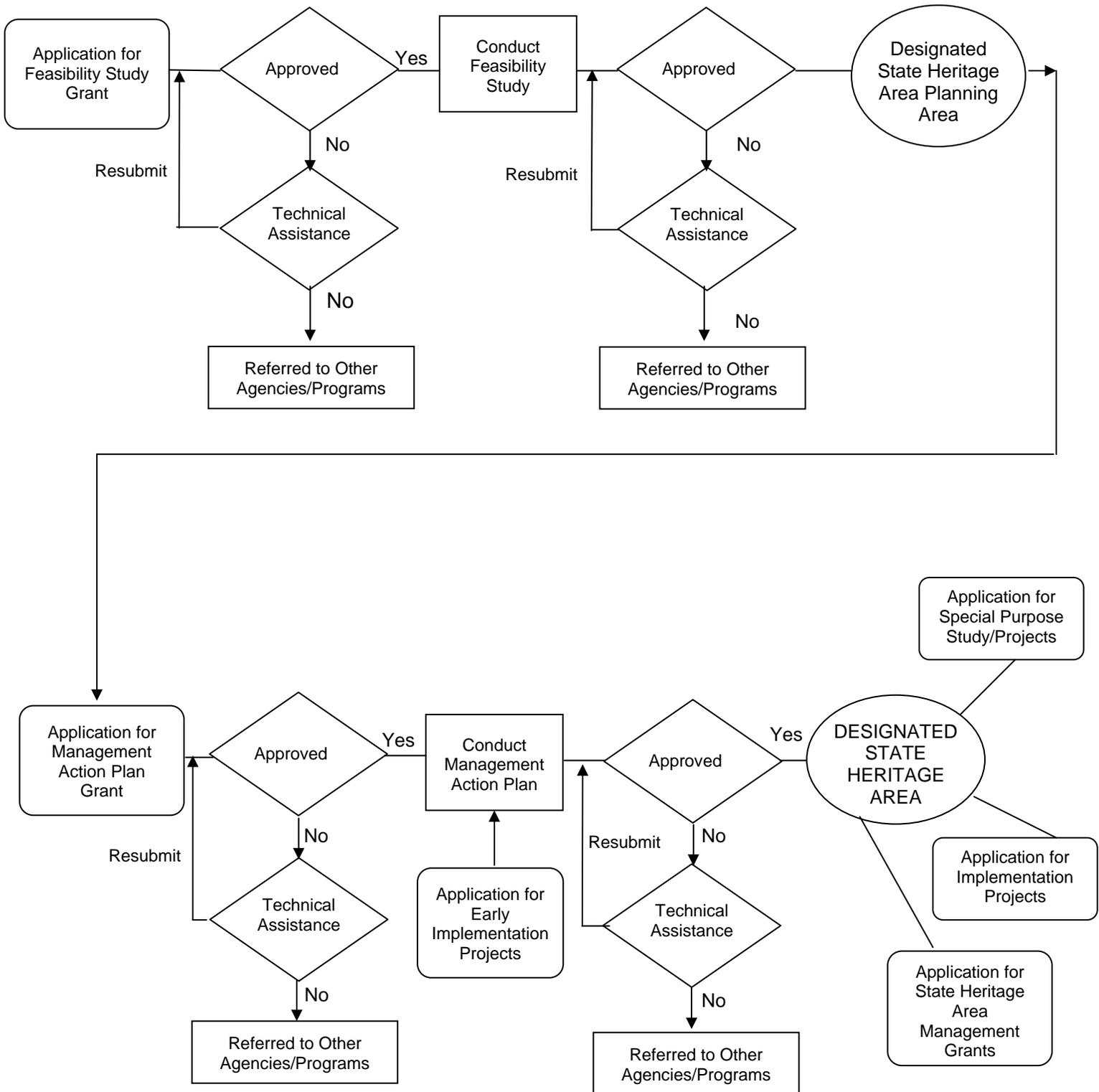
Agriculture has also been critical to the economic development of the Commonwealth. Many of the immigrants who came to colonial Pennsylvania were farmers who settled on rich farmland in southeastern Pennsylvania. With fertile soil and access to the port of Philadelphia, colonial farmers made Pennsylvania the leading producer of wheat and flour in North America. Agriculture in Pennsylvania was transformed from the mid-nineteenth to the early twentieth centuries by mechanization, adoption of better farming techniques, and crop diversification.

At its peak in 1880, Pennsylvania agriculture accounted for 20,000,000 acres of farmland distributed among 224,000 farms, with a farm population of roughly 1,200,000 people. In the twentieth century, the number of farms and farmers have declined significantly, but the productivity and value of farmers' products have soared. Advances in technology and biological science have boosted production and contributed to agriculture's emergence as a large-scale business enterprise in contemporary Pennsylvania.

This summary of Pennsylvania's industrial heritage is drawn from the Pennsylvania Historical and Museum publication, "Made in Pennsylvania: An Overview History of the Major Industries of the Commonwealth" (available upon request).



# APPENDIX C - APPLICATION/DESIGNATION PROCESS



**APPENDIX D - HERITAGE PARK GRANT APPLICATION**





Grants Customer Service Center  
1-800-326-7734

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF CONSERVATION AND NATURAL RESOURCES  
Standard Application for DCNR Grant Funds

eGrants

Grants Online  
www.dcnr.state.pa.us/grants

\*Indicates required information

**Application Information (for DCNR use only)**

**Type of Submission: (check one)**

- Preapplication  
 Application  
 Changed/Corrected Application

**Type of Application**

- New  
 Continuation  
 Revision

**If Revision, check all that apply**

- Change in Scope  
 Change in Award Amount  
 Change in Time

**Grant Program Opportunities**

**Grant Program Opportunity:\*** (Check only one for which you are applying.)

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Community Recreation and Conservation** | <input type="checkbox"/> Rivers Conservation** | <input type="checkbox"/> Wild Resource Conservation Program            |
| <input type="checkbox"/> Land Trust Projects**                   | <input type="checkbox"/> Snowmobile / ATV**    | <input type="checkbox"/> Volunteer Fire Assistance (Forestry)          |
| <input type="checkbox"/> PA Recreational Trails**                | <input type="checkbox"/> TreeVitalize Metros** | <input type="checkbox"/> Peer-to-Peer**                                |
| <input type="checkbox"/> Rails-to-Trails**                       | <input type="checkbox"/> Heritage Areas**      | <input type="checkbox"/> Circuit Rider**                               |
| ** C2P2  |  | <input type="checkbox"/> C2P2 Education, Training and Implementation** |

**Applicant Information**

Applicant Legal Name:\*

Federal Employer ID Number:\*

SAP Vendor Number:\*( If you do not have or do not know if you have an SAP Vendor Number, call 1-866-775-2868 (toll free) for assistance.)

Organizational DUNS:

**Applicant Organizational Unit:**

Department / Bureau Name:

Division / Office Name:

**Applicant Address:\*** (Must match the SAP Vendor Address)

Street 1:	
Street 2:	
City:	
State:	
Zip:	
Municipality:	
County:	

**Type of Applicant:\*** (Check all that apply. Refer to grant program guidelines for applicant eligibility.)

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Federal Government             | <input type="checkbox"/> Higher Educational Institution                               | <input type="checkbox"/> Volunteer Fire Organization |
| <input type="checkbox"/> State Government               | <input type="checkbox"/> Other Educational Institution                                | <input type="checkbox"/> Individual                  |
| <input type="checkbox"/> County or Municipal Government | <input type="checkbox"/> Non-profit with 501(c)3 IRS Status                           | <input type="checkbox"/> Other                       |
| <input type="checkbox"/> Prequalified Land Trust        | <input type="checkbox"/> Non-profit without 501(c)3 IRS Status                        |  |
| <input type="checkbox"/> For Profit Organization        | <input type="checkbox"/> Non-profit with PA Bureau of Charitable Organizations Status | Specify Other:                                       |

**Non-profit Information:** (Refer to grant program guidelines for required non-profit information.)

<b>501(c)3 Information:</b>		<b>PA Bureau of Charitable Organizations Information:</b>	
Organization Name:		Organization Name:	
Registration Number:		Registration Number:	
Approval Date:		Expiration Date:	

**Local Project Coordinator:\*** (Name and contact information of person to be contacted on matters involving this project.)

Prefix (Mr., Ms., Dr., etc.):		Telephone Number: (daytime):	
First Name:		Telephone Extension:	
Middle Initial:		Fax Number:	
Last Name:		Email:	
Suffix (Jr., Sr., etc.):			
Title:			
Organization (if different than applicant):			

**Project Information**

Project Title:\*

Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

Commonwealth Adviser Name: \_\_\_\_\_ Adviser Agency: \_\_\_\_\_

Is this a Statewide project?\*  Yes  No

Project Scope:\* (Enter a brief description of the overall project - less than 1,000 characters.)

Project Narrative:\* (Attach a project narrative to this application. Refer to grant program guidelines for required narrative information.)

**Project Type:\* (Select only one that best describes your project.)**

Planning  Technical Assistance  Land Acquisition  
 Development (Construction)  Educational Materials  Equipment Purchase  
 Implementation  Training  Management  
 Maintenance  Special Studies  Research

**General Grant Budget:\*** (Attach additional pages if more than six match sources)  
 List Local Match sources and cash and/or non-cash amounts below; (Refer to grant program guidelines for required eligible match.)

Name of Match Source	Cash Amount	Pending (P) or Secured (S)	Non-Cash Value	Pending (P) or Secured (S)
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	
	\$		\$	

Total of Local Cash and Non-Cash Match → \$ \_\_\_\_\_ ←

Grant Amount Requested \$ \_\_\_\_\_

Total Project Cost (Local Match plus Grant Amount) \$ \_\_\_\_\_

**Application Signature**

By signing this application, I certify that I am authorized to sign on behalf of the applicant and that the information I have provided in the application is accurate and complete to the best of my knowledge, information and belief.

\*\* I Agree

Authorized Representative:\* (Check grant program guidelines for required authorized representative information.)

Prefix (Mr., Ms., Dr., etc.):		Telephone Number: (daytime)	
First Name:		Telephone Extension:	
Middle Initial:		Fax Number:	
Last Name:		Email:	
Suffix (Jr., Sr., etc.):			
Title:			

Signature of Authorized Representative \_\_\_\_\_ Date Signed \_\_\_\_\_

## Standard Application for DCNR Grant Funds Project Site Information

\*Indicates required information

### Application Information

Applicant Legal Name:\*

Project Title:\*

### Project Site Information (Attach additional form copies for multiple sites)

Project Site Address:

Street 1:*	
Street 2:	
City:	
State:	PA
Zip:	
County(ies):*	
Municipality(ies):*	
Go to <a href="http://www.legis.state.pa.us">www.legis.state.pa.us</a> to find your Pennsylvania legislative districts.	
PA House District Number(s):*	
PA Senate District Number(s):*	
U.S. Congressional District Number(s):	
Is the Property Leased?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Property Owner Name:	

GIS Information: (Not all grant opportunities require this information. Check the grant program guidelines for project site requirements.)

Latitude:	
Longitude:	
Acreage (if applicable):	
Length in Miles (if applicable):	
Parcel Number (if available):	

### Mapping Information

Attach an 8 1/2" x 11" color copy that clearly outlines the Project Area. The map must include longitude and latitude coordinates, street names and intersections with sufficient detail to locate the project site (see the example to the right).

Maps can be created in Google Earth, Microsoft Virtual Earth, GIS, or other mapping applications that display accurate site locations that DCNR can reference.

For mapping linear or large-landscape projects (e.g. trails, greenways, or watershed studies) where the project does not fit on an 8 1/2" x 11" format, please use alternative mapping techniques that show the entire project area. Please provide logical beginning/ending points and trail mileage for all projects.

If possible please attach a CD or DVD containing an ESRI shape file for the project location or the parcel layer for the project from your County Tax Office.



Indicate the Project Location with a boundary and print out in color, including the aerial photography displaying street names, intersections, and longitude and latitude coordinates as displayed above.





Mapping Information: (Not all grant opportunities require this information. Check the grant program guidelines for project site requirements.)

Latitude:	
Longitude:	
Acreage (if applicable):	
Length in Miles (if applicable):	
Parcel Number (if available):	



## APPENDIX E - Management Narrative Instructions



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF CONSERVATION AND NATURAL RESOURCES  
BUREAU OF RECREATION AND CONSERVATION  
PENNSYLVANIA HERITAGE AREA PROGRAM

MGT

### STATE HERITAGE AREA MANAGEMENT GRANT NARRATIVE INSTRUCTIONS

#### SECTION I: INTRODUCTION

Prerequisites for receiving a State Heritage Area Management Grant are the designation of the region as a State Heritage Area and approval by the Department of Conservation and Natural Resources (DCNR) and the Commonwealth Partners of a region's Management Action Plan.

All questions and all documentation requested in Section II must be addressed by the applicant. The information will also be used to determine the amount of the financial commitment that will be provided by DCNR to support the State Heritage Area Management project. Because the documentation submitted will be used to make funding decisions, it should be as complete and accurate as possible. If a proposal is selected for funding, DCNR reserves the right to require that the documentation be refined, updated, and expanded as part of the actual State Heritage Area Management project.

Applications can be submitted online electronically at [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). The deadline for submission of the application is set forth in the *Pennsylvania Bulletin* announcement of the program funding. Applications received after the deadline will not be considered for funding. FAX submissions of applications will not be accepted.

#### SECTION II: APPLICATION INFORMATION AND DOCUMENTATION

In addition to the application forms found in this manual in Appendix D, please address in a narrative written report the grant application information listed below. Also provide all supplemental documentation requested. Once you receive a State Heritage Area Management Grant, you will be expected to closely coordinate the Heritage Area project with the staff of the Department of Conservation and Natural Resources and will be expected to provide some services in support of the overall Pennsylvania Heritage Areas Program. This condition should be incorporated into the answers to the project selection criteria listed below.

1. **Correlation with Plan** - Identify the section(s) or recommendation(s) of the Management Action Plan that identify the need for State Heritage Management Project and explain how this project will enhance and support the implementation of the Heritage Area project. If not specifically identified as a priority in the Management Action Plan, provide special justification for the need for this project.
2. **Project Description** - Provide an overview of the project and identify all the administrative and management activities to be funded through this proposal including full time and part time positions, outsourcing contracts, office space, equipment and all other eligible items.
3. **Management Agency Operating Budget** - Provide a copy of the current operating budget or the operating budget that will be in effect at the time the grant funds will be expended, whichever is available. If supplying an

operating budget that does not currently include the utilization of the grant funds, explain how this budget will change or otherwise be impacted by the inclusion of the grant funds.

4. **Job Descriptions** - Provide a detailed description of the proposed responsibilities and duties of the full time and part time positions to be covered by the grant request. (The period must be a minimum of one year and normally would not exceed a one year time frame.)
5. **Organization Chart** - Provide an organization chart of the management agency that depicts the working relationship of the manager and staff and lines of supervision. (The management agency should also be the applicant agency for the grant funds.) Be sure to describe the working relationship and interaction that the manager and staff will have with the PHAP staff of the Department of Conservation and Natural Resources and the Commonwealth Partners.
6. **Education and Experience** - Describe the level and type of education and experience that will be required for each funded position to support the responsibilities and duties outlined in the Job Descriptions - Item #4 above.
7. **Hiring Process/Time Frame** - If it will be necessary to hire new personnel who will be paid through this grant, describe the process that will be used to recruit, interview, and select the applicants for the funded positions, taking into consideration applicable federal, state and local laws, regulations, policies, procedures, etc. governing the process. Staff from the Pennsylvania Heritage Areas Program must be included in the recruitment and selection process.
8. **Cost Estimate** - Provide a cost estimate for the funded positions, allowing for a minimum of one full year of employment. The cost estimate should include projected salary and fringe benefits, and should also include the projected value of related in-kind ineligible costs of the positions such as travel allowances, conference fees and food allowances.

Identify the sources of funding for the in-kind ineligible costs and the sources of funding for the match for the eligible salary and fringe benefits costs, taking into consideration the maximum grant amounts stated in Funding Condition #3 of the Program Manual (page 10).

Provide a cost estimate of all other funded activities and the funding sources for each.

These cost estimate figures should agree with the figures presented on the Standard Application for DCNR Grant Fund (2300-FM-RC0102).

9. **Supervision/Evaluation** - Describe how the staff will be supervised on a day-to-day basis, the process and structure for determining short-term assignments and the administrative process that will be used to evaluate the person's performance. Describe how the Board will supervise and evaluate the manager's performance, allowing for input from the Pennsylvania Heritage Areas Program staff of the Department of Conservation and Natural Resources.
10. DCNR may require, on a case-by-case basis, the submission of other data that it deems necessary to support the project proposal.
11. **The Pennsylvania Department of Conservation and Natural Resources is an Equal Opportunity Employer and prohibits discrimination based upon race, color, sex, age, religion, political affiliation, national origin or disability. Please certify in writing that the Manager will be recruited and selected without discrimination and that a non-discrimination clause will be included in the materials seeking applicants for the position.**

## APPENDIX E – Implementation Project Narrative Instructions



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF CONSERVATION AND NATURAL RESOURCES  
BUREAU OF RECREATION AND CONSERVATION  
PENNSYLVANIA HERITAGE AREAS PROGRAM

### IMPLEMENTATION PROJECT NARRATIVE INSTRUCTIONS

#### SECTION I: INTRODUCTION

Prerequisites for receiving a grant for an Implementation Project are approval by the Department of Conservation and Natural Resources (DCNR) and the Commonwealth Partners of a Heritage Area's Action Plan and the designation of the region as a State Heritage Area. All projects should support the priorities identified in the Management Action Plans.

All questions and all documentation requested in Section II must be addressed by the applicant. The information will be used to determine the amount of the financial commitment that will be provided by DCNR to support the Implementation Project. DCNR will select for funding those proposals with the greatest potential for meeting the goals of the Pennsylvania Heritage Areas Program and the recommendations of the Management Action Plan for the Heritage Area.

Because the documentation submitted will be used to make funding decisions, it should be as complete and accurate as possible. Available data, including data obtained from the Management Action Plan and any other subsequent special purpose studies should be utilized. If a proposal is selected for funding, DCNR reserves the right to require that the documentation be refined, updated, and expanded as part of the actual Implementation Project process.

Applications can be submitted online electronically at [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). The deadline for submission of the application is set forth in the *Pennsylvania Bulletin* announcement of the program funding. Applications received after the deadline will not be considered for funding. FAX submissions of applications will not be accepted.

#### SECTION II: APPLICATION INFORMATION AND DOCUMENTATION

In addition to the application forms found in this manual in Appendix D, please address in a narrative written report the grant application information listed below.

1. **Study Scope - Please describe in detail the scope of the project proposal, addressing the following items:**
  - A. The goal or purpose of the project.
  - B. If the project has a geographic boundary or location, please describe it and provide maps, drawings, or photographs of the project area/location if appropriate.
  - C. Describe the management/administrative structure that will be responsible for overseeing the initiation, completion and monitoring of the study, including the RFP process and the required paperwork and recordkeeping requirements.
  - D. If the project will result in a property or facility that will require operation or maintenance, please describe the management/administrative structure that will be responsible for the operation and maintenance (O&M). Indicate if any agreements will be executed for the O&M. (Operation and maintenance agreements should be submitted to DCNR in draft form for prior approval of the provisions. DCNR reserves the right to require revisions to the provisions of such agreements.) Provide a resolution or letter from the agency responsible for the O&M committing to the long-term operation and maintenance of the property or facility. Provide an estimated cost of the yearly operation and maintenance of the property or facility.

- E. Provide information on any other aspect of the project proposal appropriate for DCNR and Commonwealth Partner's knowledge.
2. **Correlation with Plan** - Identify the section(s) or recommendation(s) of the Management Action Plan or Special Purpose Study that support the need for the study being proposed. Explain how the project will enhance or support implementation of the Management Action Plan.
3. **PHAP Goals** - Please explain how the project will relate to or enhance the five goals of the Pennsylvania Heritage Areas Program. If the project involves a partnership effort, supplemental documentation should be included that verifies the support by the participating partners. Support can be in the form of resolutions or letters from participating partners.

In explaining the impact the project will have on the local and regional economy, please address factors such as attraction of tourists, job opportunities, small business development, revenue projections, public/private investment partnerships, etc.

4. **Project Work Plan/Cost Estimate** - Please provide a general work plan, including a time table and cost estimate, to complete the project. The cost estimate should indicate which work items will be paid for in cash and which will be completed through in-kind or volunteer services. The in-kind and volunteer services are not an eligible project cost for funding from the Pennsylvania Heritage Areas Program and cannot be counted as part of the required cash match for a PHAP grant. Only the costs being paid for in cash are eligible project costs.

Identify the sources of the cash match and indicate if they are public or private funds. The cash match must be at least 50% of the total eligible project cost. An amount equal to at least 10% of the PHAP grant amount must come from private cash sources. Indicate the grant amount being requested. It cannot exceed \$500,000 or 50% of the total eligible project cost, whichever is less. These cost estimate figures should agree with the figures presented on the Standard Application for DCNR Grant Fund (2300-FM-RC0102).

5. **Public Input** - Please describe the process and system that will be used to ensure that community/citizen involvement and public participation is an integral part of the project.
6. **Ownership/Control** - The project property or facility must be owned in fee simple title by a public agency or a non-profit organization with 501(c)(3) status, or must be controlled by a public agency or a non-profit organization with 501(c)(3) status through a lease agreement with a term and provisions acceptable to DCNR. Provide evidence of the ownership/control of the project property or facility. Forward a copy of the deed or lease agreement, or other document verifying ownership or control. (Lease agreements should be provided to DCNR in draft form for prior approval of the lease term and provisions. DCNR reserves the right to require revisions to the lease term and provisions.)
7. **Public Use/Non-Discrimination** - All properties or facilities funded with PHAP monies must provide a public benefit. Properties and facilities available for public use and access shall not discriminate on the basis of race, religion, handicap, color, national origin, sex or age. Please describe how this requirement will be met and provide a written certification from the property or facility manager that the property or facility will be operated and maintained for long-term public use and access without discrimination.

8. **Support Documents** - Provide support documents that will assist with the evaluation of the project such as appraisal reports, site plans, floor plans, schedules of use, financial documentation, letters of support for the project, etc.

9. **Environmental Analysis** - Provide a comprehensive description of the existing environmental conditions of the property or facility, addressing both present and past environmental impacts on and adjacent to the project site such as wetlands, toxic or hazardous waste sites, asbestos, junk yards, dumps, utility lines, other aesthetic intrusions or safety problems, etc. Explain how the environmental intrusions and impacts will be mitigated or minimized as part of or concurrent with the project proposal. (Based upon analysis of the information received, DCNR reserves the right to require a more comprehensive environmental assessment of the project property or facility.)
10. **Pennsylvania Natural Heritage Program / Pennsylvania Natural Diversity Inventory** - In an effort to continuously move toward creating and maintaining sustainable sites and to protect our natural resources of special concern, DCNR is requiring, the Pennsylvania Natural Diversity Inventory (PNDI) status to be determined for each C2P2 grant application submitted to the Department, with the exception of certain Planning projects including; Comprehensive Recreation, Park and Open Space Plans (CRPP), County and Municipal Greenway and Open Space Network Plans, Feasibility Studies involving rehabilitation of an existing site, and Rivers Conservation Plans. The Pennsylvania Natural Heritage Program (PHNP) gathers and provides information on the location and status of important ecological resources in the Commonwealth. PHNP helps guide conservation work and land-use planning, ensuring the maximum conservation benefit with the minimum cost. As part of DCNR's grant application process applicants are required to complete a Pennsylvania Natural Diversity Inventory (PNDI) by logging onto <http://www.gis.dcnr.state.pa.us/hgis-er/Login.aspx>. Before logging onto the PNDI site please read the PNDI instructions page that can be found on the website or Grant Manual accompanying CD. Information on how to complete a PNDI review for large projects, such as rail-trail projects, can be found on the PNDI instructions page. The result of your PNDI search will help determine if the activities proposed for the project site have the potential to conflict with natural resources of special concern. These resources, which include plant and animal species, exemplary natural communities and ecosystems, and outstanding geologic features, will be protected in accordance with applicable state/federal laws and regulations. It is important that you complete the PNDI Environmental Review Tool early to avoid any complications that may cause you to miss the application submission deadline. Once you have completed the PNDI Environmental Review please submit just the receipt with your application. In some cases the PNDI Receipt will indicate the need for clearance letters to be obtained if a species of concern was found on the site; please do not proceed in obtaining letters until further notice from DCNR. For assistance or further information specific to the PNDI process, please contact DCNR at (717) 214-7512 or email [ndewar@state.pa.us](mailto:ndewar@state.pa.us)
11. **"Green" Project Principles** - The Bureau is encouraging grant applicants to incorporate best management practices and sustainable site concepts into their projects submitted for funding. Applicants should integrate wherever possible, in their planning, development, or acquisition project, concepts taken from the pages on "Green Project Principles". The "Green Project Principles" are available both on the website and on the C2P2 Pre-application Workshop CD. These principles include techniques and practices to consider implementing on your site; and should be added to your grant proposal and scope of work. The principles are: "Maintain and Enhance Trees and Natural Landscaping", "Connect People to Nature", "Manage Stormwater Naturally", "Conserve Energy", and "Integrate Green Design and Construction". A combination of these principles can lead to increased quality of life, improved livability of our towns and municipalities, and will protect valuable natural resources.
12. DCNR may require, on a case-by-case basis, the submission of other data that it deems necessary to support the project proposal.

NOTE: If a project is approved for PHAP funding, all plans and specifications for construction, rehabilitation or restoration projects must be sealed by a registered professional from one of the three disciplines licensed to practice in Pennsylvania before the activity can commence. The plans and specs will also be reviewed by the Pennsylvania Historical and Museum Commission for compliance with the Secretary of Interior's Standards for Rehabilitation. All plans and specifications must provide for handicapped accessibility in accordance with state and federal laws governing this requirement.

## APPENDIX E – Special Purpose Study Narrative Instructions



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF CONSERVATION AND NATURAL RESOURCES  
BUREAU OF RECREATION AND CONSERVATION  
PENNSYLVANIA HERITAGE AREAS PROGRAM

SPS

### SPECIAL PURPOSE STUDY NARRATIVE INSTRUCTIONS

#### SECTION I: INTRODUCTION

Prerequisites for receiving a grant for a Special Purpose Study project are approval by the Department of Conservation and Natural Resources (DCNR) and the Commonwealth Partners of a region's Management Action Plan and the designation of the region as a State Heritage Area.

All questions and all documentation requested in Section II must be addressed by the applicant. The information will also be used to determine the amount of the financial commitment that will be provided by DCNR to support the Special Purpose Study process and product. DCNR will select for funding those proposals with the greatest potential for meeting the goals of the Pennsylvania Heritage Area Program and the recommendations of the Management Action Plan for the Heritage Area.

Because the documentation submitted will be used to make funding decision, it should be as complete and accurate as possible. Available data, including data obtained from the Feasibility Study report and the Management Action Plan project should be utilized. If a proposal is selected for funding, DCNR reserves the right to require that the documentation be refined, updated and expanded as part of the actual Special Purpose Study process and report.

Applications can be submitted online electronically at [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). The deadline for submission of the application is set forth in the *Pennsylvania Bulletin* announcement of the program funding. Applications received after the deadline will not be considered for funding. FAX submissions of applications will not be accepted.

#### SECTION II: APPLICATION INFORMATION AND DOCUMENTATION

In addition to the application forms found in this manual in Appendix D, please address in a narrative written report the grant application information listed below.

1. **Study Scope - Please describe in detail the scope of the study proposal, addressing the following items:**
  - A. The goal or purpose of the study in a clear and concise manner.
  - B. If the study has a geographic boundary or location, please identify it and provide maps, drawings, or photographs of the study area/location if appropriate.
  - C. Explain what final product(s) will result from the study/plan and what will be the intended use of the product(s).
  - D. Describe the management/administrative structure that will be responsible for overseeing the initiation, completion and monitoring of the study, including the RFP process and the required paperwork and recordkeeping requirements.
  - E. Provide information on any other aspect(s) of the study proposal appropriate for DCNR and Commonwealth Partners knowledge.

2. **Correlation with Plan** - Identify the section(s) or recommendation(s) of the Management Action Plan that support the need for the study proposal, and explain how the study will enhance or support implementation of the Management Action Plan. If not specifically identified as a priority in the Management Action Plan, provide justification for the need for the study.
3. **Industrial Theme** - Please explain how the study will relate to the thematic industry(ies) identified in the Management Action Plan approved by DCNR and the Commonwealth Partners.
4. **PHAP Goals** - Please explain how the study will relate to or enhance the five goals of the Pennsylvania Heritage Areas Program. If the study involves an intergovernmental/interagency effort, supplemental documentation should be included that verifies the support for the study by the municipalities and counties impacted by the study. The support documentation can be in the form of a resolution passed by the governing body of the municipality/county or a letter signed by the chief elected official of the municipality/county. Support for the study effort by non-governmental agencies or organizations should also be documented with letters from the chairperson or president of the governing body of the agency.
5. **Study Work Plan/Cost Estimate** - Please provide a general work plan, including a time table and cost estimate, to complete the Special Purpose Study project. The cost estimate should indicate which work items will be paid for in cash and which will be completed through in-kind or volunteer services. The in-kind and volunteer services are not an eligible project cost for funding from the Pennsylvania Heritage Areas Program and cannot be counted as part of the required cash match for a PHAP grant. Only the costs being paid for in cash are eligible project costs.

Identify the sources of the cash match and indicate if they are public or private funds. The cash match must be at least 25% of the total eligible project cost. At least 10% of the PHAP grant amount must come from private sources.

Indicate the grant amount being requested. It cannot exceed \$150,000 or 75% of the total eligible project cost, whichever is less.

These cost estimate figures should agree with the figures presented on the Standard Application for DCNR Grant Fund (2300-FM-RC0102).

6. **Public Input** - Please describe the process and system that will be used to ensure that community/citizen involvement and public participation is an integral part of the study process.
7. If applicable, describe the current and proposed future ownership/control of the property or facility being studied and the entity to be responsible for the management, operation and maintenance of the property or facility.
8. DCNR may require, on a case-by-case basis, the submission of other data that it deems necessary to support the study proposal.

## APPENDIX E - Revolving Loan Fund Grant (RLFG) Guidelines and Narrative Instructions



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF CONSERVATION AND NATURAL RESOURCES  
BUREAU OF RECREATION AND CONSERVATION  
PENNSYLVANIA HERITAGE AREAS PROGRAM

**IMP-RLF**

# REVOLVING LOAN FUND GRANT (RLFG) GUIDELINES AND NARRATIVE INSTRUCTIONS

## SECTION: I INTRODUCTION

The Revolving Loan Fund Grant (RLFG) is a special implementation project being offered as an incentive for capitalizing regional and local Revolving Loan Fund (RLF) programs to further the goals of designated State Heritage Areas and the implementation of approved Management Action Plans. RLF's are another means for financing heritage related projects and activities and for leveraging private funds and involvement in bolstering the economic vitality of communities and heritage resources within State Heritage Areas.

An RLF is a separate fund established for the purpose of financing eligible activities which, in turn, results in repayments to the fund for reuse in financing other activities. The Revolving Loan Fund Grant (RLFG) offered through the Pennsylvania Heritage Areas Program (PHAP) is designed to assist in capitalizing or recapitalizing regional or local Revolving Loan Funds (RLF) to enhance the availability of low cost loans for eligible applicants, projects and activities within designated State Heritage Areas. The preservation and adaptive reuse of historic buildings, downtown revitalization projects, small business/microenterprise development, housing rehabilitation/home ownership programs and sustainable development projects are examples of some of the types of activities that can be targeted by RLF's for loan assistance. When linked to the goals of State Heritage Areas and approved management plans, RLF's which finance these and other like activities can be candidates for RLFG's through the Pennsylvania Heritage Areas Program.

Applications can be submitted online electronically at [www.dcnr.state.pa.us/grants](http://www.dcnr.state.pa.us/grants). The deadline for submission of the application is set forth in the *Pennsylvania Bulletin* announcement of the program funding. Applications received after the deadline will not be considered for funding. FAX submissions of applications will not be accepted.

## SECTION: II SELECTION CRITERIA

The following criteria will be used to rate and select RLFG projects:

1. The need for the regional or local revolving loan fund and the financing gaps that it is intended to address,
2. The capacity of recipient organization to administer and sustain the revolving loan fund on a long term basis,
3. The relationship of the revolving loan fund to the goals and priorities of the State Heritage Area and the implementation of the management action plan,
4. The amount of private funding committed beyond the minimum match requirement

## SECTION III: APPLICATION INFORMATION AND DOCUMENTATION

Please address the following information elements in a written narrative report and supply any necessary supplemental information.

1. Provide a prospectus of the RLF explaining the need for establishing the fund and the goals and objectives of the loan program. Include information on local capital market conditions and conventional lending and financing activity in the area. Is local capital scarce, interest rate high, lending requirements too stringent, or loan funds

unavailable to your target clientele? What financial market gaps and economic development needs will the RLF address? What is your market and what types of activities or projects will be eligible for financing through the RLF?

2. Explain how the RLF will be initially capitalized and indicate the amount and sources of capital. Indicate whether future contributions to the RLF are desired and, if so, submit a five year or more plan for further capitalization of the RLF showing how long term funding will be secured.
3. Identify lending approaches or strategies that will be used in operating the RLF such as subordinate lending, loans with deferral features, loans with balloon features, participation agreements or companion loans, interest rate write down or below market interest rates, straight equity financing or debt with equity participation, product development financing, or start-up funding.
4. Provide estimates of the number and size of the loans, interest rates to be charged, anticipated defaults and other relevant information needed to assess the continued viability of the fund.
5. Explain how the fund will be administered including staffing and management, loan request procedures, the loan review process and loan servicing. Also, provide a projected operating budget and indicate how administrative costs will be covered.
6. Identify and explain the function of the governing body of the RLF as well as its composition, legal authority, liability exposure and protection, and terms of appointment of its members. Provide a copy of the incorporation papers and by-laws of the governing body and a copy of an organization chart of the RLF.
7. Provide any additional information necessary to show conformance with the guidelines provided in Section IV, below.

#### **SECTION IV: GUIDELINES AND RESPONSIBILITIES FOR THE ADMINISTRATION AND OPERATION OF REGIONAL/LOCAL REVOLVING LOAN FUND PROGRAMS**

1. The governing body of the Grantee is responsible for ensuring that the Pennsylvania Heritage Areas Program Revolving Loan Fund (RLF) grants are used for legitimate purposes, in accordance with the applicable laws, regulations, rules, guidelines, and other orders issued by the Department of Conservation and Natural Resources, and the provision of the Heritage Areas Program contract to which the Grantee is a party.
2. The Grantee may delegate, by written agreement, authority to administer the Pennsylvania Heritage Areas Program Revolving Loan Fund grants to a chartered lending institution, municipal authority, or a nonprofit community or an economic development corporation. In such cases, the delegated agency shall be required to adhere to these guidelines, and any additional requirements imposed by the Grantee. However, such delegation does not reduce or otherwise affect the Grantee's responsibilities to the Department as set forth in Paragraph 1 above. The Grantee is to notify the Department, in a timely manner, in the event the program is delegated to another entity to administer.
3. Loans shall be approved by the governing body of the Grantee or the governing body of the Grantee's delegated agency. The governing body shall adopt criteria for approval of loans. Loans must be reviewed by a loan committee appointed or approved by the governing body of the Grantee or delegated agency for the purpose of providing informed recommendations on loan applications to the governing body which approves the loan. The loan committee shall be comprised of members competent to judge the feasibility of the financing proposal, the ability of the proposed activity to meet the economic/heritage enhancement requirements of the proposed agreements, and the ability of the recipient to meet stated repayment obligations. Members of the committee shall have no interest in the real estate, businesses, loans or investments under their review.
4. Loans must serve a "public purpose." They must primarily promote the health, safety or welfare of the public at large, and provide overall benefit to the citizens of the community. In addition, the primary objective of the loan program must be full consistent with the objectives of the Pennsylvania Heritage Areas Program, the Heritage Area and the officially approved Management Action Plan and/or special purpose studies prepared for the Heritage Area.

5. All loans shall be secured by lien positions on collateral at the highest level of priority which can accommodate the borrower's ability to raise sufficient debt and equity capital.
6. The loan agreement shall include requirements which the recipient must meet in satisfaction of the loan, shall provide for monitoring the progress of the recipient's activity, and provide means of enforcing compliance with the terms of the agreement including standard audit procedures, as necessary. Additionally, a schedule for the repayment of principal and interest, if applicable, shall be set forth in the loan agreement.
7. Businesses must benefit the Heritage Area. There shall be a provision in the loan agreement that the recipient will provide employment of Heritage Area residents where feasible, and/or otherwise provide tangible benefits to the area in such matters as increased overall economic activity and/or enhanced tourism development of the area. The agreement between the grantee or delegated agency and the recipient shall contain a provision that, if the business relocates outside the Heritage Area before a loan is paid, the par value of the outstanding balance of the loan shall become payable within sixty (60) days. The grantee or delegated agency shall also require a premium on the stipulated interest rate on the balance of a loan in the event of relocation.
8. The activity financed by the loan shall commence and be completed within a reasonable time. Provision shall be made for immediate or accelerated repayment or penalty of the activity is not started or completed within a reasonable and agreed-upon time, unless there are mitigating reasons accepted by the Grantee or delegated agency.
9. Pennsylvania Heritage Areas Program funds shall be placed in an interest bearing account. Funds shall be drawn from this account as needed for the issuance of approved loans. All interest shall be returned to the Commonwealth as stipulated in the grant contract. Once the funds are loaned, repayments of principal and interest shall be deposited in the established RLF for further lending purposes.
10. In the event the RLF becomes inactive or is dissolved, an amount of remaining funds equal to the PHAP grant contributions to the RLF, or an appropriate percentage thereof, shall be made available to the grantee for use in funding heritage Areas projects upon approval of the Department. If the grantee is unable to exercise this option or otherwise fails to do so, the funds shall be returned to the Commonwealth.

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For more information, visit us through the Pennsylvania homepage at [www.state.pa.us](http://www.state.pa.us) or visit DCNR directly at [www.dcnr.state.pa.us](http://www.dcnr.state.pa.us)



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AND NATURAL RESOURCES

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