pennsylvania
DEPARTMENT OF COMMUNITY
& ECONOMIC DEVELOPMENT

Pennsylvania Infrastructure Technology Alliance

Program Guidelines | September 2010

> ready > set > succeed

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Section I – Mission of the Technology Investment Office

The Technology Investment Office (TIO) is part of the Department of Community & Economic Development (Department). The mission of the TIO is to serve as a catalyst for growth and competitiveness for Pennsylvania companies through technology-based economic development (TBED) initiatives including funding, partnerships and support services. The TIO is ensuring that the variety of TBED organizations and initiatives located throughout the Commonwealth are working collaboratively to fully leverage the wealth of research, capital sources and support services available to build a comprehensive infrastructure that supports company growth. Customers of the TIO include pre-revenue, emerging and mature technology companies; investment partners; universities engaged in Research and Development that can be commercialized and community organizations focusing on technology infrastructure, training and facilities.

Section II – Mission of the PITA Program

The Pennsylvania Infrastructure Technology Alliance (PITA) is a collaboration of the Commonwealth of Pennsylvania, the Center for Advanced Technology for Large Structural Systems (ATLSS) at Lehigh University, and the Institute for Complex Engineered Systems at Carnegie Mellon University. The designated grantee for this program is Lehigh University or one of its subsidiaries.

The mission of the PITA program is to assist the Commonwealth of Pennsylvania and companies within the Commonwealth to increase operating efficiency and to enhance economic development by:

- Capitalizing on the decade-long performance of national engineering centers in Pennsylvania to benefit Commonwealth industry and agencies;
- Combining physical and informational infrastructure expertise for state competitiveness;
- Leveraging complementary technology development in design, manufacturing, and environmental issues; and
- Creating an environment linking Pennsylvania companies, agencies, and students to increase creation and retention of high-paying jobs for highly educated students to remain in the Commonwealth.

Section III – Single Application and Contracting Process

The designated grantee will submit a Single Application for Assistance to the Department for review and approval based upon the availability of grant funding as determined annually by the legislature and the Commonwealth Budget Office. The grantee will be notified by the TIO contact when to submit an application. The grant funding available for these activities (hereafter called the "Program") is highly dependent upon annual Commonwealth budget recommendations and constraints. **All applications must be submitted electronically.** The electronic Single Application can be found at www.esa.dced.state.pa.us. If help is needed completing the Single Application, assistance is available by calling 1-800-379-7448.

The signature page of the single application must be submitted in hard copy to:

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

When the single application and an annual operating plan (Section IV) are approved, the applicant will receive a Department contract for signature that must be returned to the Department at the address shown on the cover letter. The contract is fully executed when Department officials and other Commonwealth officials have executed the contract. A copy of the fully executed contract will then be mailed to the applicant.

Section IV – Operating Plan Outline

The Single Application should include an "Operating Plan" that is a description of the activities of the project. There is a heading in the Single Application called Addenda where the operating plan should be submitted electronically. The Operating Plan should be in the following format:

A. **Purpose of the Program.** Provide a brief explanation of the purpose of the Program and/or the mission statement of the Program.

B. **Operating Activities.** Summarize the process or methods that will be used to provide the services to the Program clients. Include how the clients are found, how it is determined which clients will be served, a description of any review processes, the responsibilities of the clients (if any) and how the services will be delivered.

C. **Performance Metrics and Deliverables.** Outline the quantifiable goals which the Program will use Commonwealth funding to accomplish. The outline of the goals should include previous years, if applicable, and projections for current year. Goals may include but are not limited to the enhanced metrics requirements.

D. **Personnel.** Provide a listing of the Program personnel (including administration) that will be involved in managing the grant. Please include: name, title, organization, address, phone, fax, e-mail and a very short description of duties. Identify the main point of contact for the grant.

E. **Coordination with Commonwealth, Federal and Other Programs.** The applicant may be involved with other Commonwealth programs or organizations that receive Commonwealth funding. List these programs and/or organizations and briefly describe the coordination efforts. Also list Federal, Non-Profit or Other programs if the participation in the project is more than a minor role.

F. **Organizational Structure.** The applicant will provide a description and/or an organizational chart of managing and support personnel. If there is a Board, all the members of the Board and their private or public affiliation should be noted as well as the Board role and responsibilities for oversight of Program direction.

G. **Program Specific Requirements.** The Department may require information or activities unique to the PITA Program. It is the responsibility of the grant applicant to contact the Program Manager to obtain those requirements.

The Operating Plan will be reviewed and when approved, will be made a part of the contract with the Department.

Section V – Activity and Impact Reporting Requirements

Reporting to the Department will be on a semi-annual basis with the first report due on or before January 15, 2011 and the second report due on or before July 15, 2011. The report will include the following:

1. A database with selected parameters as described in the Enhanced Metrics initiative. Additional parameters may be included at the discretion of the Department. The database submitted to Department will have the database fields updated continuously and transmitted to the Department on a semi-annual basis as mentioned above or upon request from the Department at other times.
2. A narrative that updates activities listed in the operating plan, events pertinent to the program, and any public relations events involving the applicant. The narrative should only include highlights of activities and be brief in nature. Updates of the activities can include, but are not limited to, the following activities:
   a. Relationships or agreements with federal, state, or other economic development partners, including other educational institutions.
   b. Events, seminars, or conferences that are pertinent to the Program should be reported and, where possible, any results should be noted.
   c. Any public relations events such as news articles, publications, or awards can be included in the narrative report.
   d. Progress toward meeting the goals should be updated.
3. A summary table showing the goals and the progress toward meeting those goals on a semi-annual basis. The Department, in cooperation with the applicant, will develop those goals at or near the beginning of each fiscal year. Note that the goals might include some of the Enhanced Metrics parameters while others may not. The Department will provide a template for the goals and their updates.

Section VI – Case Studies

The PITA Program will provide at least one case study semi-annually with the Activity and Impact semi-annual reports. The following format will be used:

Company Name:
Address:
City, State, Zip:
Phone:
Email:
Industry Focus:
Organization(s) from which the company received assistance:

Year the project started:
Year [company name] was formed:
County/counties in which the funded project occurred:

Please provide a narrative (250 words or less). Include all of the following:

- 1- or 2-sentence description of the company
- Name of organization that provided assistance
- What type of assistance was provided (financial or technical/non-financial)? Amount (if applicable)
- How did the assistance impact company goals?
- What was the impact of the program/project on the market?
- Outcomes (i.e. jobs created, jobs retained, $'s leveraged, new company formation)

If applicable/available, please note:

Total annual sales:

Is this a minority/woman owned business? If so, describe.

As a representative of [Company Name], I approve this information for use in Commonwealth correspondence and collateral materials.
Name:
Title:
Signature:
Date:

Section VII – Budgets, Budget Revisions and Invoicing

A budget will be submitted with the electronic single application showing the expense categories for the Department grant and the expense categories for any required matching funds. The budget will be reviewed by the Department, and when approved, will be made a part of the contract with the Department.

A. **Budget Revisions.** After the applicant has a fully executed contract, the original budget may require revision of certain budgeted line items to reflect changing circumstances. A request for a budget revision should be made to the TIO Program Contact at the Department and should include the description for the budget revision. A form/spreadsheet showing the original budget in one column and the proposed revised budget in a separate column should be included in the request. The Department will review the budget revision request and, if approved, send an approval letter by surface mail. Please Note: Budget revisions must be submitted to the Department prior to the expiration of the contract.

B. **Invoices.** Submissions for payment to the Department should include a document that includes column with the original and/or revised budget and a column showing the expenditure of the budgeted line items for that particular invoice submission. Subsequent invoices from the first invoice submission should add an additional column for each invoice submission. A separate column should be provided showing the remaining balance of the grant funds after each invoice submission. When the final invoice is submitted, the remaining balance column should show no funds remaining.

All invoices should be on the applicant's letterhead and show the contract number, the vendor number, and the time period that the invoice covers. Invoices should be sent to the following address:

PA Department of Community & Economic Development
Technology Investment Office Invoice Processing
Commonwealth Keystone Building
400 North Street, 4th Floor
Harrisburg, PA 17120-0225