

PennPORTS

Program Guidelines | July 2008

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Table of Contents

Section I	General	1
A.	Introduction	1
B.	Definitions	1
C.	Eligibility	1
Section II	The Application Process	3
A.	General	3
B.	Procedures	3
Section III	Limitations and Penalties	4
Section IV	Contact Information	4
Section V	Vendor Registration	5

Section I – Introduction

A. Introduction

The PENNPORTS Program provides grants to support operations and improvements to the ports of Philadelphia, Erie and Pittsburgh. Applications must meet all requirements of the DCED Single Application for Assistance. Care in preparation of the application will assist DCED in the approval process.

B. Definitions

The following words and terms, when used in these guidelines, have the following meanings, unless the context clearly indicates otherwise:

- Application - The DCED Single Application for Assistance
- DCED - The Department of Community and Economic Development
- PennPORTS - The office within DCED that administers assistance and funding to eligible applicants

C. Eligibility

1. Eligible Applicants

The following are eligible for grants:

- Local government units (including port authorities).
- Municipal, redevelopment, industrial and economic development authorities and agencies (including port commissions).
- Non-profit organizations incorporated under the laws of the Commonwealth.

2. Eligibility of Projects

Funds may be used for projects consistent with the authorizing appropriation, subject to the following:

- a. Eligible projects must provide for improvement to the facilities and operations of the ports of Philadelphia, Pittsburgh and Erie.
- b. Projects for the sole benefit of a for-profit entity are not eligible for program funding.

3. Restrictions on Grants

- a. Grantees May not discriminate on the basis of race, creed, color, place of national origin, or sexual preference in accepting members or selecting participants. Appropriate qualifications for program participation and benefits such as age or income level may be established by the Grantee.
- b. Fiduciary Organization. A grantee is a Fiduciary Organization if all or a portion of the requested funds are to be used by any organization other than the grantee itself. In such cases the following conditions shall be applicable.
 - 1) The Fiduciary Organization must demonstrate that it and any proposed sub-grantees are eligible applicants.
 - 2) A Fiduciary Organization must provide a grant narrative and budget covering funds to be expended by the grantee and all sub-grantees. Alternatively, the Fiduciary Organization may provide in its narrative and budget the guidelines, uses and budgets under which sub-grants will be made and utilized.

- 3) All projects to be undertaken by sub-grantees must be eligible under these guidelines.
- 4) For sub-grants of \$5,000 or more, prior to disbursing grant funds to sub-grantees, the Fiduciary Organization must provide DCED with copies of all written sub-grant agreements, as well as proof of sub-grantees' eligibility under these guidelines.
- 5) A Fiduciary Organization must submit to the Department a closeout report or audit (if grant exceeds \$100,000) for all grant funds expended by the grantee and each sub-grantee. Failure to do so will make the Fiduciary Organization and any sub-grantee not providing required documentation of expenditures ineligible for further financial assistance from DCED. A sub-grantee may submit its own closeout or audit report to avoid such ineligibility.
- 6) The Fiduciary Organization is responsible for ensuring that grant funds are used by sub-grantees for eligible purposes in accordance with the approved budgets. Fiduciary Organizations shall not receive administrative or management fees from sub-grant funds.
- 7) The Fiduciary Organization shall establish and utilize guidelines to evaluate a sub-grantee's eligibility for financial assistance. The guidelines shall include, at a minimum, the following:
 - a) The sub-grantees benefit demographics (age group, special needs, economic status);
 - b) The sub-grantees credit history, including financial statements and tax returns, if available;
 - c) The sub-grantees' program goals; and
 - d) A budget outlining the use of the Grant Funds and the sources of any additional funding utilized by the sub-grantee.
- 8) An organization that has chapters, offices, or other entities that operate under the general direction of the parent organization (e.g. Boys and Girls Clubs, YMCA's, Special Olympics) will not be considered a "Fiduciary Organization" and may submit a single comprehensive program and budget narrative and closeout report or audit.
- 9) The DCED Office of Chief Counsel will make final determination of an organization's eligibility and capacity to serve as a fiduciary organization under these guidelines.

Section II – The Application Process

A. General

1. Project applications must be submitted using the DCED Electronic Single Application for Assistance via www.newPA.com or <http://www.newPA.com/programFinder.aspx>. Paper applications are no longer acceptable.
2. An applicant must follow the detailed instructions for completing the DCED Electronic Single Application for Assistance. DCED reserves the right to request additional information, explanation, clarification or revision of funding requests or to waive the requirements for certain information in appropriate cases.

B. Procedures

1. Grant awards are made throughout the year subject to availability of funds. Successful applicants for projects that funded during the fiscal year will be notified of such during the fiscal year of application. Unsuccessful applicants must submit a new application to be considered for funding in the following fiscal year.
2. Information on the status of submitted grant applications may be obtained from the DCED Customer Service Center. An "assignment of account manager" letter constitutes confirmation of receipt of the application.
3. Grant award notifications will be issued by letter. The applicant will receive a contract and a payment requisition form to be signed and returned to DCED. All contracts are subject to availability of funds and subject to the applicant providing all information required by DCED.
4. The applicant must maintain full and accurate records with respect to the project. DCED must have complete access to such records (including invoices for goods and services and other relevant data and records) as well as the right to inspect all project work. The applicant will promptly furnish all data, reports, contracts, documents, and other information requested by DCED.
5. Every approved grant in the amount of \$100,000 or more requires the grantee to provide a project audit prepared by an independent certified public accountant in accordance with generally accepted accounting principles. The Single Audit performed for Federal audit purposes (A133) is not acceptable.
6. Grants under \$100,000 require the grantee to submit a Closeout Report with appropriate supporting documentation verifying the expenditures of State funds consistent with the approved contract budget.
7. Applications from organizations that are not compliant with audit or closeout report requirements for prior contracts with DCED are ineligible to receive additional financial assistance from DCED until such audit or closeout report requirements are met.
8. Funds will be directly deposited in grantees' bank accounts via Automatic Clearing House (ACH) transfer of funds in accordance with the grant contract.
9. The grantee shall, upon request by the Department, provide copies of deliverables for budgeted consulting services, including but not limited to legal, engineering, accounting, planning, etc.

Section III – Limitations and Penalties

- A. An applicant may not make or authorize any substantial change to an approved project without first obtaining DCED's consent in writing.
- B. If the full amount of the grant is not required for the project, the unused portion shall be returned to DCED.
- C. Failure to comply with these Guidelines may result in penalties, including repayment of funds with interest.
- D. When a project is funded, the recipient must place the grant funds in an interest bearing account. Interest earned on such invested grant funds must be returned to the Commonwealth.

Section IV – Contact Information

All application inquiries should be directed to:

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

1-866-466-3972

E-mail: ra-dcedcs@state.pa.us

Note: If you receive a funding notice from DCED, please direct any inquiries to the Account Manager identified in the notice. Also, please have the assigned application number available when you contact the Account Manager.

Section V – Vendor Registration

Note: Grantee organizations must be registered with the Commonwealth's Vendor Registration System before a grant may be approved. The system tracks information regarding all vendors that do business with or receive grant funds from the Commonwealth and assigns a Vendor Number to the organization. In the event an application is funded, the grantee must be registered in this system before a contract can be issued.

If you have any questions regarding Vendor Registration status, please contact the Vendor Data Management Unit at the address and phone number below. Please have your nine digit Federal Identification number available when you call.

Commonwealth of Pennsylvania
Vendor Data Management Unit
Payable Services Center
9th Floor, Forum Place
555 Walnut Street
Harrisburg, PA 17101

1-877-435-7363

If an organization is not registered with the Vendor Registration System, please visit <http://www.vendorregistration.state.pa.us>. Click on the Non-Procurement Registration Form link and follow the instructions.

The Single Application for Assistance will be accepted only as an on-line submission via <http://www.newPA.com/programFinder.aspx> found on DCED's website www.newPA.com.