

Pennsylvania Technical Assistance Program (PennTAP)

Program Guidelines | July 2008

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Section I – General Information

A. Introduction

The Technology Investment Office (TIO) is part of the Department of Community and Economic Development (DCED). The mission of the TIO is to serve as a catalyst for growth and competitiveness for Pennsylvania companies and universities 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. The TIO serves 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.

The Pennsylvania Technical Assistance Program (PennTAP) advances the mission of the TIO by helping Pennsylvania companies to resolve specific technical questions and needs, which will improve their competitiveness and lead to job creation.

B. Program Eligibility

The sole applicant under this program is The Pennsylvania State University, which operates the Pennsylvania Technical Assistance Program (PennTAP).

C. Mission & Focus

Formed in 1965, PennTAP is one of the nation's first technical assistance programs and remains a credible and valuable resource to help Pennsylvania companies compete and grow. A program of Penn State University, PennTAP is a federal-state-university partnership for economic development. PennTAP engages, guides and empowers businesses and organizations throughout the Commonwealth by providing objective and experience-based technical and workforce solutions that enable clients to succeed and thrive, stimulating economic growth for Pennsylvania. The program focuses on small and entrepreneurial businesses that typically lack the expertise and/or resources to address these types of issues in-house.

PennTAP services the entire state of Pennsylvania through a geographically distributed network of technical specialists who have expertise in specific disciplines, including, but not limited to: Advanced Information Technology, Health and Safety, Environmental Compliance, Energy Efficiency, and Product Development. PennTAP technical specialists provide unbiased technical advice and connections to other partners, expertise, resources, and programs. The service of PennTAP staff is confidential and provided at no or low cost to Pennsylvania firms.

D. Use of Funds

Grant funding is used to support the operation and delivery of PennTAP programs. Grant funds may not be used for the acquisition, construction, or renovation of a facility; travel outside the country; or indirect costs.

E. Funding Limits

Funding for this program is determined annually by the legislature and Commonwealth Budget Office. The availability of grant funds under this program may vary and is subject to Commonwealth budget recommendations and constraints.

F. Program Priorities

The TIO has established the following program priorities:

1. Significant economic impact in terms of job creation, job retention, new company formation, the leverage of additional funding from private and public sources, and assistance to businesses.
2. Matching funds from federal, industry, or other sponsors, consisting of a significant proportion of cash, to support the project.
3. Strong collaboration with relevant economic development partners, such as the Ben Franklin Technology Partners (BFTPs), Keystone Innovation Zones (KIZs), Industrial Resource Centers (IRCs), Life Sciences Greenhouses (LSGs), Idea Foundry, The Technology Collaborative (TTC), Center for eBusiness and Advanced Information Technology (eBizITPA), Small Business Development Centers (SBDCs), Workforce Investment Boards (WIBs), Local Development Districts (LDDs), institutions of higher education, industry partners, state and federal agencies, and others as applicable.

Section II – Application Process

A. Application Submission

1. Program-related inquiries should be directed to:

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

phone: 717-787-4147

fax: 717-772-5080

2. Application for funding under this program shall be submitted to DCED no later than **December 31** utilizing the Single Application for Assistance.
 - a. The Single Application must be completed online. Visit www.esa.dced.state.pa.us.
 - b. Attach to the online application all required documentation (see “Contents of Application” below).

- c. The application signature page must be submitted in hard copy to:

Department of Community and Economic Development
Technology Investment Office
Commonwealth Keystone Building
400 North Street, 4th Floor
Harrisburg, PA 17120-0225
- d. Please reference the Web ID number on any documents sent with the signature page.
- e. All inquiries related to completion and submission of a Single Application, including technical difficulties with the website, shall be directed to the DCED Customer Service Center at 1-800-379-7448, 717-787-3405, or ra-dced@state.pa.us.

B. Contents of the Application

The application shall include an “Operating Plan” describing the activities of the project in the following format:

1. **Purpose of the Program**
Provide a brief explanation of the purpose of the program and/or the mission statement of the program.
2. **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.
3. **Performance Metrics and Deliverables**
Outline the quantifiable goals that the program will use Commonwealth funding to accomplish. Include projections for the current year, as well as performance data on previous years (committed vs. actual), if applicable. Committed deliverables shall align with the semi-annual reporting metrics identified on Pages 4-5.
4. **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.
5. **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.
6. **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.

C. Application Review & Approval Process

1. Upon receipt of the application and required supporting material, TIO staff will review the application and communicate with the applicant to obtain a full understanding of the proposal.
2. The applicant may be asked to submit additional background information or materials in support of its proposal. These documents will become part of the applicant's official Single Application for Assistance.

D. Post-Approval Process

1. Upon DCED approval of the application, TIO staff will initiate a grant contract agreement with the applicant. This agreement will include the scope of work and budget as approved by DCED and will be subject to any conditions or contingencies dictated by TIO staff. The grant contract agreement will detail additional requirements with which the applicant must comply, including but not limited to: competitive bidding and subcontracting requirements, project audit or financial grant closeout report, maintenance of records, and investment of grant funds in an interest bearing account.
2. The contract agreement will not be executed until all of the following have been resolved to the satisfaction of TIO staff:
 - a. The applicant must have a valid SAP vendor number and profile on record with Pennsylvania's Central Vendor Management Unit (CVMU), which matches the address used on the application. Applicants can create a new profile in this system or add a new location to an existing profile by registering online at <https://www.vendorregistration.state.pa.us/cvmu/paper/GranteeRegistration.aspx>.
 - b. The applicant must be in compliance with DCED's Audits and Compliance Division relative to the submission of audits and/or financial grant closeout reports on any previous contracts with DCED, regardless of the program or funding source.
 - c. The applicant must be current in payment of all state and local taxes unless it has entered into an agreement satisfactory to the respective taxing authority and is fully in compliance with the terms thereof.
 - d. The applicant must certify to DCED that it will not discriminate against any employee or against any applicant for employment because of race, religion, color, handicap, national origin, age, or sex.
3. DCED will make payments to the grantee through the Pennsylvania Electronic Payment Program (PEPP). Within 10 days following execution of the grant contract, the grantee must submit or must have already submitted a PEPP Enrollment Form. This form is available online at http://www.oit.state.pa.us/bfm/lib/bfm/ACH_Enrollment_Form_05-2007.pdf.
4. Once a contract agreement is fully executed, the applicant may request reimbursement for expenses incurred. Specific invoicing procedures will be provided with the contract. Requests for advance payment are subject to DCED approval.
5. TIO staff will monitor the project and will require the submission of semi-annual reports to ensure that the grantee fulfills the conditions of the grant. Upon request and as required by the grant contract agreement, the grantee must furnish TIO staff with all data, reports, contracts, documents, and other information relevant to the project.

6. If there is a failure in performance by the grantee, DCED may engage in any and all activities necessary to ensure that the conditions of the contract are fulfilled, including, but not limited to, appropriate legal action when required.
7. If it is determined that the application contained material misrepresentations or funds were used for activities not permitted under the terms of the grant, the contract will be considered in default and DCED will demand immediate repayment. In addition, the matter may be referred to the appropriate authorities for criminal investigation.
8. All grantee requests for modifications to the executed contract (i.e. budget revisions, time extension requests, etc.) must be received by DCED no later than 60 days prior to the end date of the contract.

E. Reporting Requirements

1. Semi-Annual Reports

- a. The grantee is required to provide semi-annual reports quantifying the progress toward accomplishing approved deliverables.
 - i. Reporting periods run from 07/01/20XX to 12/31/20XX and 01/01/20XX to 06/30/20XX.
 - ii. Semi-annual reports are due on or before January 15th and July 15th for the reporting period immediately preceding the due date.
- b. Performance data provided in the semi-annual reports shall be limited to the impact that occurred as a result of and attributable to the PennTAP program investment in the project. The semi-annual reporting metrics for this program include:
 - i. Increased Employment (job creation)
 - ii. Retention of Existing Jobs (job retention)
 - iii. Businesses Assisted
 - iv. Leverage of Additional Funding - Private and Public
 - v. New Company Formation
 - vi. Development and Commercialization of New Products
 - vii. Expanded Research, Development, Testing, and Evaluation
 - viii. Intellectual Property and Licensing
 - ix. Increased Revenues
 - x. Increased Productivity
 - xi. PA Graduates and Job Placement
 - xii. Placement of Internships and Fellowships
 - xiii. Case studies
 - xiv. Other project-specific deliverables as requested by TIO staff

- c. The grantee may submit any other data, descriptions, or material that documents the accomplishments of the project.
- d. An electronic reporting survey template will be provided to the grant recipient by TIO staff. All reports must be submitted directly to DCED's Technology Investment Office (TIO) via e-mail (ra-techinvestment@state.pa.us) using the template provided.
- e. Upon completion of the project, reporting shall continue for a minimum of three (3) years from the grant contract agreement expiration date or as otherwise required by TIO staff.

2. Financial Grant Closeout

- a. The PennTAP grant recipient will be required to submit financial documentation to close out the project
 - i. If the grant amount is \$100,000 or greater, the grantee must submit an independent project audit to DCED no later than 120 days after expiration of the contract.
 - ii. If the grant amount is less than \$100,000, the grantee must submit a Grant Closeout Report to DCED no later than 30 days after expiration of the contract.
- b. Non-compliance with this requirement may prevent the applicant from obtaining funding or payment from any DCED-administered grant and/or loan programs.

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