

POWDERED METALS PROGRAM

Program Guidelines | February 2017

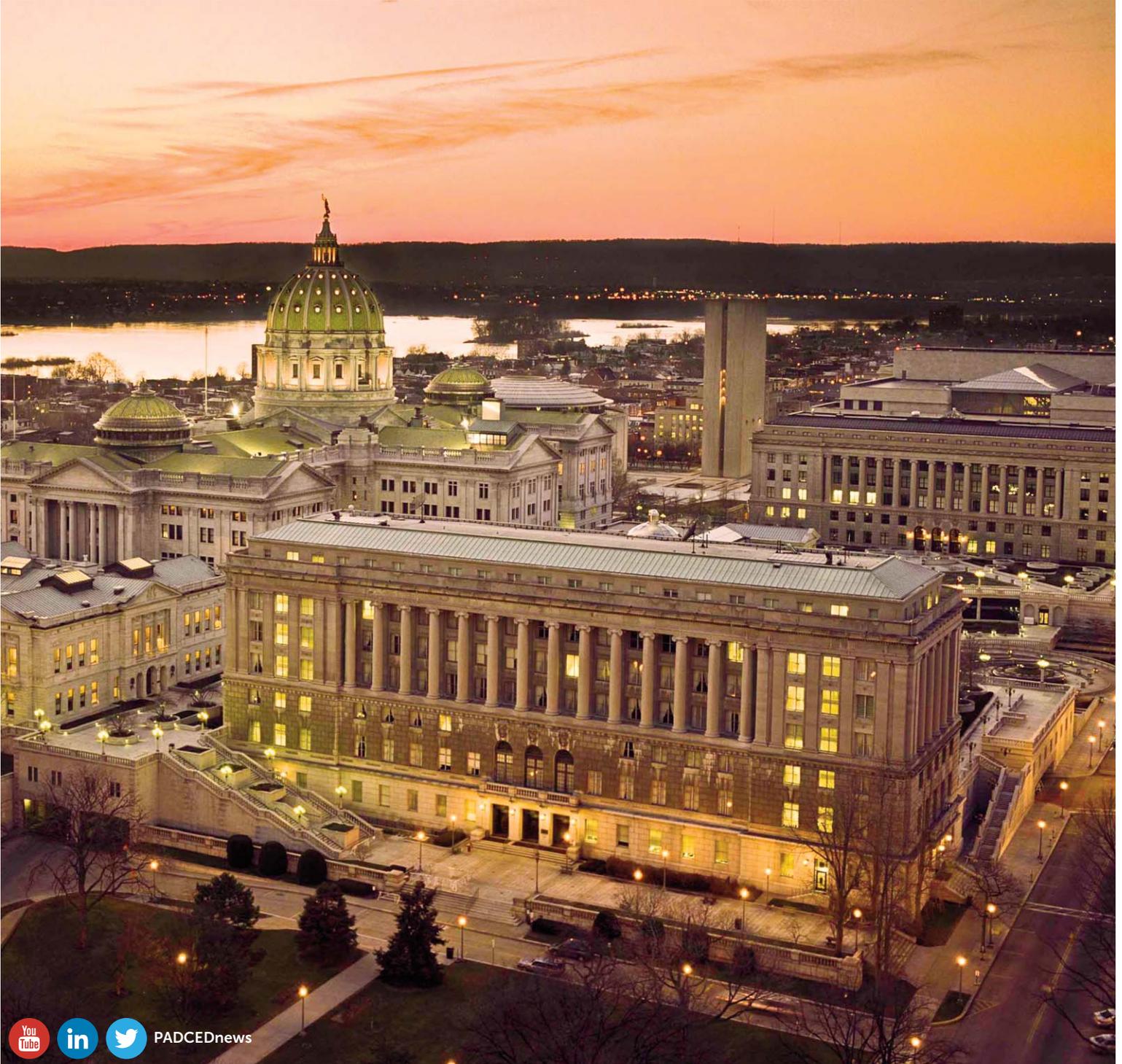


Table of Contents

Section I	Mission of the Office of Technology and Innovation	1
Section II	Mission of the Powdered Metals Program	1
Section III	Single Application and Contracting Process	2
Section IV	Operating Plan Outline	2
Section V	Activity and Impact Reporting Requirements	3
Section VI	Case Studies	4
Section VII	Budgets, Budget Revisions and Invoicing	5
Section VIII	Program Requirements	5

Section I – Mission of the Office of Technology and Innovation

The Office of Technology and Innovation (OTI) is part of the Department of Community & Economic Development (Department). The mission of the OTI 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 OTI ensures 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 OTI 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 Powdered Metals Program

The powdered metal industry in Pennsylvania is concentrated to a large extent in North Central Pennsylvania. The designated grantee for this program is The Pennsylvania State University, DuBois Campus. The Powdered Metals Program provides training programs and academic courses for the regional workforce, with specific goals of enhancing academic, educational and technical outreach. These efforts are supported through the Community Education Council of Elk and Cameron Counties and local school districts in the region. The programs make use of the facilities such as the metalworking and machine shop classrooms at the St. Marys High School and Jeff Tech Area Vocational Technical School. Other economic development entities, local employment enhancing initiatives, and legislative offices are involved as regional needs require or support.

Penn State DuBois offers both a Bachelor of Science degree in Engineering Applied Materials Option and an Associate degree in Mechanical Engineering Technology. Both programs have earned accreditation by ABET, which is the accrediting organization for college-level programs. The baccalaureate program in particular was developed to serve the manufacturing needs of the local region, both powdered metals and manufacturing related processes. The Powdered Metals Program has supported that effort by providing funds for equipment and supplies for laboratory use, travel to conferences and professional society meetings for faculty members and students, efforts to increase enrollment such as engineering competitions and promotion of employment opportunities, course and curriculum development, and related research by faculty and students. The DuBois Campus also allows private companies to have access to the advanced equipment located in the lab for trouble-shooting, problem-solving, and research, in accordance with policies developed by The Pennsylvania State University. Faculty, staff, and students assist these companies whenever possible.

The Powdered Metals Program has also provided mini-grants to the partner institutions to provide region-wide training opportunities, usually through the purchase or upgrade of equipment and supplies. Other activities include support for field trips for both students and teachers to powdered metal and manufacturing related events and educational opportunities, and the advertising of such. There is a continuing attempt to include additional academic and private partners in the development of the program.

Through these academic, technical, and educational goals, the Powdered Metals Program will directly assist and grow the technical and knowledge base of the powdered metal and manufacturing community of North Central Pennsylvania. It is hoped that these efforts will lead to enhanced technical process and product capabilities, intrusion into new product markets for powdered metal components, and overall improvement in the education and capabilities of the North Central Pennsylvania powdered metal and related manufacturing industry and community. Such cooperative University and industry activity will benefit the North Central Pennsylvania economy.

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 OTI 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.

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 Powdered Metals 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 close of business on the last Friday in January and the second report due on or before close of business on the last Friday in July. The report will include the following:

- 1. 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.
- 2. 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. The Department will provide a spreadsheet template for the goals and their updates.
- 3. The Program will be required to survey partners and businesses to collect data for the Enhanced Metrics initiative that the Department has developed in order to determine the impact of the grant. Some, but not all, of the Enhanced Metric parameters will be part of the goal setting process and made a part of the summary table mentioned above.

Section VI – Case Studies

The Powdered Metals 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 OTI 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: Requests for budget revisions must be submitted to the Department three months prior to the expiration of the contract.
- B. **Invoices.** Submissions for payment to the Department shall be made on OTI payment request and invoice templates and sent electronically to jeleinbach@pa.gov or mailed to the address below:

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

Section VIII – Program Requirements

Nondiscrimination. No assistance shall be awarded to an applicant under this program unless the applicant certifies to the Department that the applicant shall not discriminate against any employee or against any person seeking employment by reason of race, gender, creed, color, sexual orientation, gender identity or expression, or in violation of the Pennsylvania Human Relations Act, which prohibits discrimination on the basis of race, color, religious creed, ancestry, age, sex, national origin, handicap or disability, or in violation of any applicable federal laws. All contracts for work to be paid with grant funds must contain the commonwealth's official nondiscrimination clause.