Regional Innovation Strategies Program

the Office of **INNOVATION** *and* **ENTREPRENEURSHIP**

19 June 2018

INNOVATION. REGIONAL COLLABORATION. JOB CREATION.

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E·D·A
U.S. ECONOMIC DEVELOPMENT ADMINISTRATION

APPLICATIONS

GRANTS

4 funding rounds awarded
843 applicants
$331m+ Federal request
$398m+ committed local match

140 grants
40 states + 1 territory
$125m+ under management
promising leading indicators

I6
SFS
S&RP

DESIRED OUTCOMES

i6 CHALLENGE is designed to **increase entrepreneurship** that is driven by innovations, ideas, intellectual property (IP), and applied research through the process of technology commercialization and that results in **new businesses**, **accelerated paths to export**, **increased FDI**, and **new jobs.**

DESIRED ACTIVITIES

i6 CHALLENGE funds a range of programs and services **that support innovation-based**, **high-growth entrepreneurship** and **startup acceleration** through services such as technology advisements, market evaluation, business planning, mentorship, and access to early-stage capital.

Grant funds (including both Federal and matching funds) **CANNOT** be given directly to startups.

DESIRED OUTCOMES

SFS is designed to increase availability of and access to regional risk capital for early-stage companies.

DESIRED ACTIVITIES

SFS grant provides funding for **technical assistance**, **operational costs**, **marketing**, and **outreach** related to the planning, formation, launch, or expansion of cluster-based seed capital funds that deploy capital in innovation-based startups with a potential for high growth. These funds must be equity-based (thus, e.g., revolving loan funds do not qualify).

Grant funds (including both Federal and matching funds) **CANNOT** be used to capitalize the fund.

I6 CHALLENGE - $16 MILLION
$750k federal funds cap; min. 1:1 match required
3 year project period

SEED FUND SUPPORT (SFS) GRANT COMPETITION - $5 MILLION
$300k federal funds cap; min. 1:1 match required
3 year project period

"ONE SIZE FITS ALL"

- **Program**

  Through mentorship, technical assistance, and talented MBA students, NC Growth partners with businesses and government to drive entrepreneurship-based economic development

- **Impacts**

  Since program launch in 2012, NC Growth has worked with over 60 clients to create over 400 jobs and diversify the NC economy

- **Businesses and Startups**

  – Flanders Solutions – residential and commercial air filter supplier

  – Taylor Fish Farm – state of the art fish farm specializing in tilapia

TCC.unc.edu

- **Program**

  theINCubator connects the region's cyber & technology

  stakeholders with the U.S. Air Force Research Lab, community business leaders,

  and Mohawk Valley Community College's young entrepreneurs to build high-growth companies

- **Impacts**

  Since late 2016, thINCubator has incubated and supported 9 startups, helped them raise $2.75 Million in venture funding, file 2 new patents, and launch 6 new research projects working to move cutting edge technology into the market

- **Businesses and Startups**

  – AutoModality – autonomous mobile systems that sense, explore, and analyze the world

  – OmniMesh – wireless network for beyond visual line of sight to control drones and better protect and control data transfer

- **Program**

  The Colorado Southwest Innovation Corridor (SWIC) works to support and attract entrepreneurs, enabling them to test business models, fund initial prototyping, execute intellectual property protection and market research, and access world-class mentors and investor networks.

- **Impacts**

  Since late 2015, SWIC has helped incubate or support over 25 new companies, over 100 new jobs, nearly $3.5 Million in new venture investment, and 8 patent applications in a mostly rural corner of SW Colorado

- **Businesses and Startups**

  - Bramble Outdoor – double bottom line outdoor product line, inspired by unique places and giving back
  - ApresActive – virtual reality software to discover new outdoor adventure trails and slopes

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Applicants' projects must not discriminate on the basis of **race, color, national origin, disability, age, religion,** *or* **sex.**

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THE RIS PROGRAM
Process Overview

APPLICATION SUBMISSION
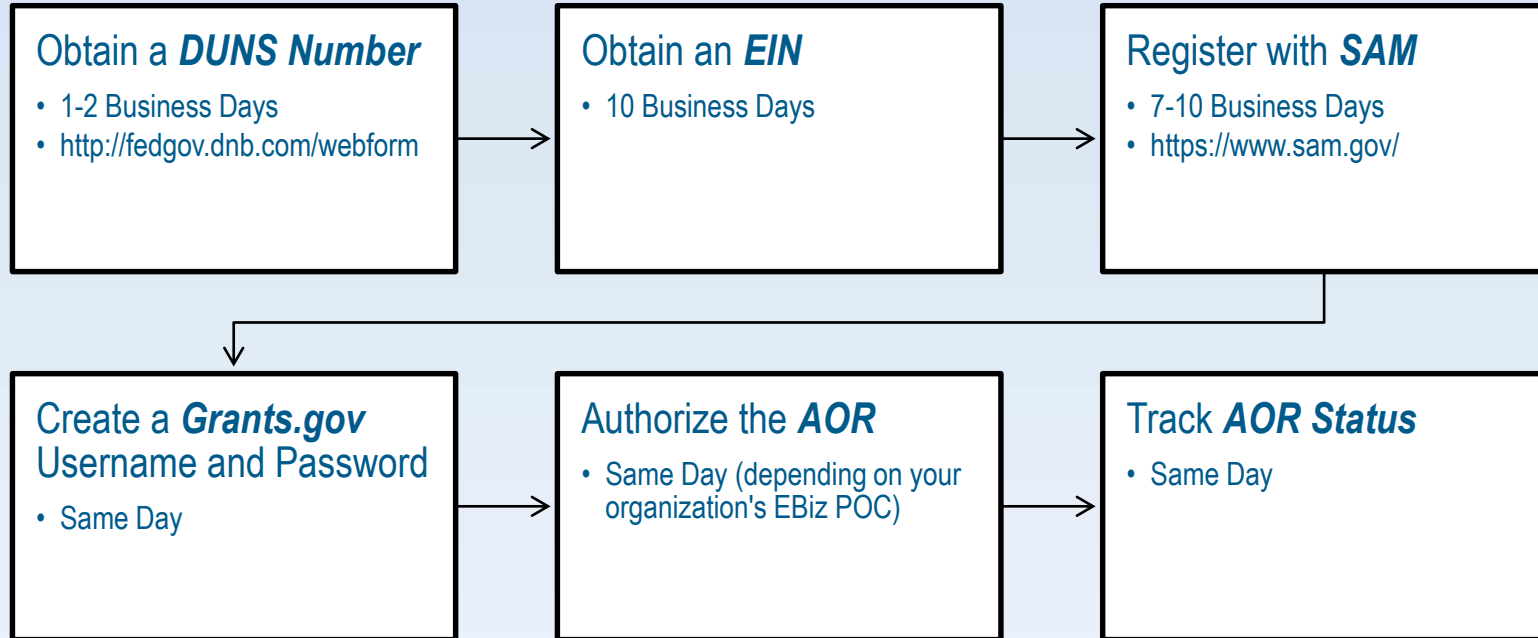
TECHNICAL REVIEW

MERIT REVIEW

SELECTION

APPLICATION SUBMISSION DEADLINE—*Wednesday, August 29*th

TECHNICAL REVIEW—*eligibility & completeness*

MERIT REVIEW—*evaluation criteria*

SELECTION & AWARD—*scoring & portfolio balance*

Obtain a *DUNS Number*
- 1-2 Business Days
- http://fedgov.dnb.com/webform

Obtain an *EIN*
- 10 Business Days

Register with *SAM*
- 7-10 Business Days
- https://www.sam.gov/

Create a *Grants.gov* Username and Password
- Same Day

Authorize the *AOR*
- Same Day (depending on your organization's EBiz POC)

Track *AOR Status*
- Same Day

This process may require **23 OR MORE BUSINESS DAYS** to complete.

1. A **State**;
2. An **Indian tribe**;
3. A **city** or **other political subdivision of a State**;
4. An entity that—
   a. is a **nonprofit organization**, an **institution of higher education**, a **public-private partnership**, a **science or research park**, a **Federal laboratory**, or an **economic development organization or similar** entity; **and**
   b. has an application that is **supported by a State or a political subdivision** of a State; or
5. A **consortium** of any of the entities described in subparagraphs (1) through (4).[1]

NOTE: Entities operating within the performance period of a previously-awarded RIS or i6 are **not** eligible for award under that same grant program (e.g., a 2017 i6 recipient is ineligible for 2018 i6 grant but may be eligible for an SFS grant).

Individuals are **NOT** eligible for funding.

[1] 15 U.S.C. § 3722(b)(3).

Matching shares (whether cash or in-kind) must:

1. <u>BE COMMITTED</u> to the project for the period of performance,
2. <u>BE AVAILABLE</u> as needed, and
3. <u>NOT BE CONDITIONED OR ENCUMBERED</u> in any way that may preclude its use consistent with the requirements of EDA investment assistance.

Applications should include signed Commitment Letters for all matching funds from <u>**ALL SOURCES**</u> (i.e. applicant, co-applicants or third party organizations).

Applications must include the following documents:

Part A: Project Design and Substance
Project Narrative
Budget Narrative and Staffing Plan
Matching Share Commitment Letters
State/Local Government Support
Part B: Forms and Supporting Documentation
SF-424 (Application for Federal Assistance)
SF-424A (Budget Information Non-Construction Programs)
SF-424B (Assurances Non-Construction Programs)
CD-511 (Certification Regarding Lobbying)
SF-LLL (Disclosure of Lobbying Activities)
State Single-Point-of-Contact (SPOC)/Executive Order 12372 Compliance Documentation
Organizational Documentation
Indirect Cost Rate (ICR) Documentation

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DON'T GET KNOCKED OUT BY A TECHNICAL MISTAKE!

OPTIONAL Pre-Submission Technical Review

- Submit a copy of your application via email and receive feedback on technical aspects of your application before the deadline.
- Contact your EDA Regional Office RIS POC.
- RIS POCs will attempt to provide pre-submission technical reviews within two weeks of receipt.

OPTIONAL Checklists

- Use the relevant checklist on Appendix D (pgs. 40-41) of the NOFA to complete your own technical review and ensure you are submitting all the required documents.

Document Checklist for Nonprofit Organization, Institution of Higher Education, Public-Private Partnership, Science or Research Park, Federal Laboratory, and Economic Development or Similar Organization Applicants/Co-Applicants,				
Document	**Title/Description/Requirements**	**Checklist**		
Project Narrative	See Section D.2.ii.a (p. 12)		Application	
Budget Narrative and Staffing Plan	See Section D.2.ii.b (p. 13)		Application	
Matching Share Commitment Letters	See Section D.2.ii.c (p. 14)	Source 1	Source 2	etc.
State/Local Government Support	See Section D.2.ii.d (p. 14)		Application	
Form SF-424	Application for Federal Assistance	Applicant 1	Applicant 2	etc.
Form SF-424A	Budget Information-Non-Construction Programs		Application	
Form SF-424B	Assurances-Non-Construction Programs	Applicant 1	Applicant 2	etc.
Form CD-511	Certification Regarding Lobbying	Applicant 1	Applicant 2	etc.
Form SF-LLL	Disclosure of Lobbying Activities	Applicant 1	Applicant 2	etc.
SPOC/EO 12372 Compliance Documentation	See Section D.2.iii.b.1 (p. 15) and https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb-2018.pdf.	State 1	State 2	etc.
Organizational Documentation	E.g., certificates of good standing, articles of incorporation, bylaws, establishing authorities; see Section D.2.iii.b.2 (p. 15)	Applicant 1	Applicant 2	etc.
Indirect Cost Rate (ICR) Agreement	See Section D.2.iii.b.3 (p. 16)	Applicant 1	Applicant 2	etc.

A competitive application will **address the following elements** in their project narrative:

- A clear and concise narrative that includes a compelling justification for the project.
- A clearly defined regional economic gap.
- The roles of each applicant, co-applicant and key personnel
- Key milestone dates
- Scope of work
- Justification of the long-term potential economic impact of the project (including metrics)

Project Narratives should **not exceed the 10 page-limit.**

A competitive application will **address the following elements** in their budget narrative and staffing plan:

- Clearly identify and justify how funds in each line item of the budget will be used to support the project.
- A staffing plan that lists all positions that would be charged to the award.
- Each line item should tie to its relevant commitment letter.
- Budget line items should include and distinguish between both federal and matching share.
- Budget categories should match the SF-424A.
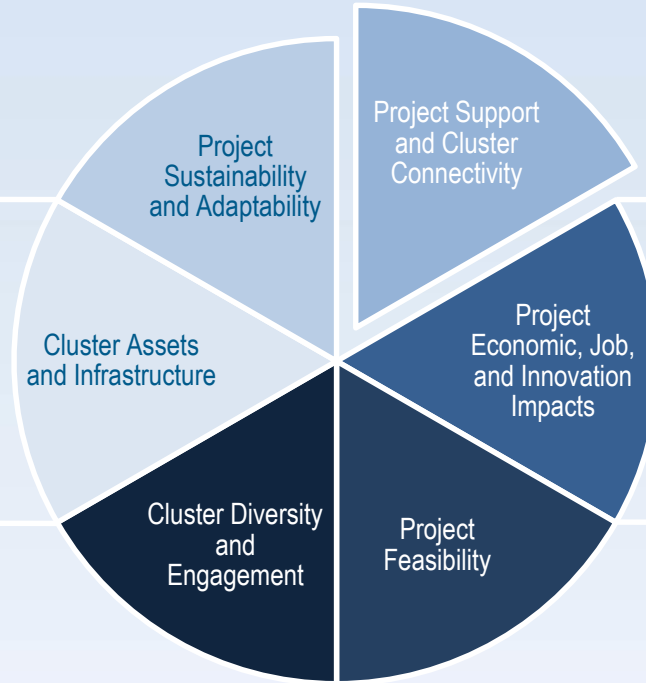- Itemized valuations for any in-kind matching funds.

Budget Narratives and Staffing Plan should **not exceed the 4 page-limit.**

What is the likelihood that the participants in the regional innovation cluster will be able to sustain activities once grant funds under this subsection have been expended?

Will the participants in the regional innovation cluster have access to, or contribute to, a well-trained workforce, technology infrastructure, innovation pipelines, and sources of early-stage capital?

How will the existing participants in the regional innovation cluster encourage and solicit participation by all types of entities that might benefit from participation?

Is the regional innovation cluster supported by the private sector, State and local governments, and other relevant stakeholders?

To what extent is the regional innovation cluster likely to stimulate innovation and have a positive impact on regional economic growth and development, including but not limited to the jobs creation, innovative manufacturing expansion, export growth, and increased FDI?

Do the operations and management capacities and experiences of the applicant organization(s) and its team demonstrate the ability to execute the proposed project successfully?

- Project Sustainability and Adaptability
- Project Support and Cluster Connectivity
- Cluster Assets and Infrastructure
- Project Economic, Job, and Innovation Impacts
- Cluster Diversity and Engagement
- Project Feasibility

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EDA plans to announce awards late this calendar year.

In order to ensure you receive the notification, make sure you list the correct points of contact on the FORM SF-424 under Application POC, and Authorized Representative.

- **Start early!** Be clear in how the proposed project meets program objectives and evaluation criteria.
- Provide **data** to support your claims.
- Propose relevant **outcome metrics** and provide documentation and data that support how your project will achieve them.
- Demonstrate any novel and innovative aspects of your approach and be clear about your **value proposition**.
- Show how the project will be **sustained** after the grant period.
- Show strong **community support** and **commitment** to the project.

CONTACT INFORMATION

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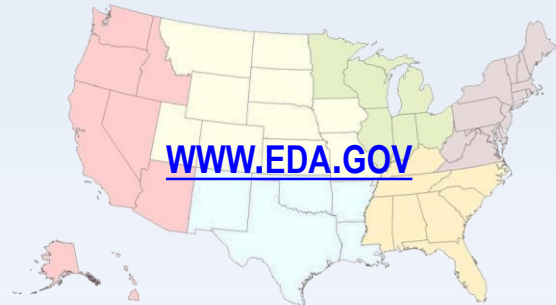
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WWW.EDA.GOV

Link to the Application Package

https://www.grants.gov/web/grants/view-opportunity.html?oppId=305799

Grants.gov Funding Opportunity Number

EDA-HDQ-OIE-2018-2005523

Application Submission Deadline

11:59 pm ET on **Wednesday, August 29, 2018**

Link for Additional Information

https://www.eda.gov/oie/ris/

Grants.gov Helpdesk
(800) 518-4726; support@grants.gov

Sam.gov Helpdesk
(866) 606-8220

i6 Challenge Awards
https://www.eda.gov/oie/ris/i6/

SFS Awards
https://www.eda.gov/oie/ris/seed/

My organization is a for-profit entity, can I apply for a grant?

All categories of eligible entities are identified in the NOFO. Individual for-profit startups or businesses are not eligible, but EDA recognizes for-profit economic development organizations and science or research parks do exist and may benefit from leveraging RIS funding.

EDA strongly encourages any for-profit organizations that may identify as one of the eligible categories to refer to the examples provided in the NOFO, and then discuss their eligibility with their respective Regional POC or OIE.

What is a public-private partnership and what documents should I submit to EDA to demonstrate my eligibility?

EDA defines a public-private partnership as a relationship formalized by contractual agreement between a public agency, *meaning a State, city, or other political subdivision of a State or an agency thereof*, and a private-sector entity that reasonably defines the terms of collaboration in the delivery and financing of a public project. EDA will typically review agreements for items such as the purpose and objectives of the partnership, the binding/contractual nature of the relationship, the duties and responsibilities of each party, and the duration of the agreement…..

How do you determine who the co-applicant is and what forms are they required to submit?

If the other entities in question will be partnered with the lead applicant in the management and/or carrying out of the grant, then that entity may be considered a co-applicant. For assistance identifying co-applicants, please reach out to your regional POC.

What if my organization plans to engage a third party that is not a co-applicant to perform a portion of the project activities? Is the third party considered a co-applicant?

If your organization intends to enter into an agreement with a third party to accomplish a portion of a project's activities, then the third party is not considered a co-applicant. Third parties must be retained pursuant to an open and free competitive process that is in compliance with the Uniform Guidance.

QUESTIONS?