



# *Regional Innovation Strategies Program*

*the Office of INNOVATION and ENTREPRENEURSHIP*

*12 February 2019*

INNOVATION. REGIONAL COLLABORATION. JOB CREATION.



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*The REGIONAL INNOVATION STRATEGIES (RIS) PROGRAM was authorized by the America COMPETES Reauthorization Act of 2010, as amended by the Revitalize American Manufacturing and Innovation Act of 2014 (15 U.S.C. § 3722), and aims to SPUR INNOVATION CAPACITY-BUILDING ACTIVITIES IN REGIONS ACROSS THE NATION.*



## SINCE THE FIRST ROUND OF RIS IN 2014 . . .

- **180 Investments in 46 states & 2 territories**
- **\$78 MILLION in Federal funding**
- **\$89 MILLION in community match**
- **>8,200 jobs**
- **>\$1 BILLION in follow-on capital**

project profiles @ <https://www.eda.gov/oie/historical/>



*EDA's 2019 REGIONAL INNOVATION STRATEGIES PROGRAM consists of the 16 CHALLENGE and SEED FUND SUPPORT grant competitions.*

*EDA is operating under a continuing resolution that reflects 2018 budget levels—final total funding for each competition will be updated on RIS webpage as soon as available.*

*All applications are due*

**THURSDAY, APRIL 4TH, AT 11:59PM EASTERN TIME.**



*The 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.*



*The i6 CHALLENGE funds a range of programs and services that support innovation-based, high-growth entrepreneurship and startup acceleration through services such as TECHNOLOGY ADVISEMENT, MARKET EVALUATION, BUSINESS PLANNING, MENTORSHIP, and ACCESS TO EARLY-STAGE CAPITAL.*

*Project funds (i.e., both Federal and matching funds) CANNOT be given directly to startups.*



*The SFS GRANT COMPETITION is designed to increase AVAILABILITY OF and ACCESS TO regional RISK CAPITAL for early-stage companies.*





*The SFS GRANT COMPETITION 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).*

*Project funds (i.e., both Federal and matching funds) CANNOT be used to capitalize the fund.*



## **16 CHALLENGE**

**\$750k** *Federal funds cap; min. 1:1 match required  
3 year project period*

## **SEED FUND SUPPORT (SFS) GRANT COMPETITION**

**\$300k** *Federal funds cap; min. 1:1 match required  
3 year project period*



**“ONE SIZE FITS ALL”**



*Applicants' projects must not discriminate on the basis of*  
**RACE, COLOR, NATIONAL ORIGIN, DISABILITY, AGE, RELIGION, or SEX.**



**APPLICATION  
SUBMISSION**

**TECHNICAL  
REVIEW**

**MERIT  
REVIEW**

**SELECTION**

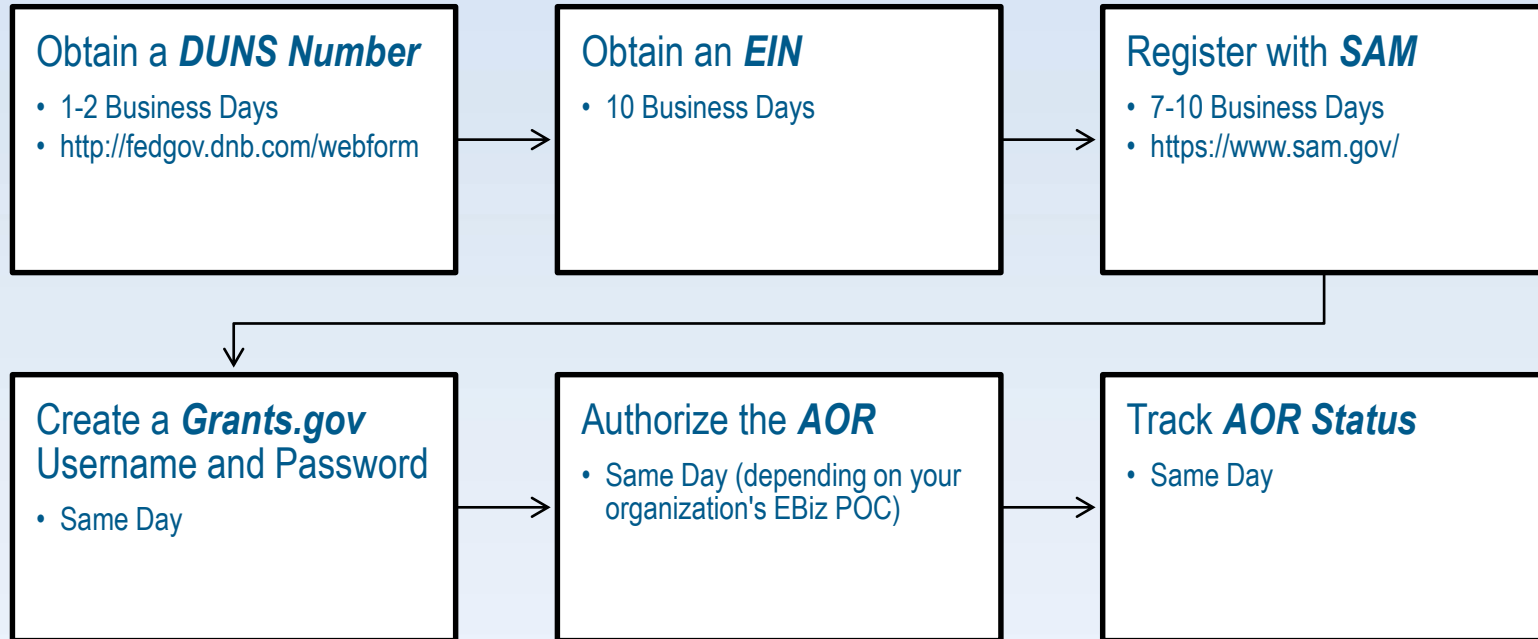


**APPLICATION SUBMISSION DEADLINE—Thursday, April 4, 2019**

**TECHNICAL REVIEW—*eligibility & completeness***

**MERIT REVIEW—*evaluation criteria in Section E(1) of the NOFO***

**SELECTION & AWARD—*scoring & portfolio balance***



*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).<sup>1</sup>

**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 2018 i6 recipient is ineligible for 2019 i6 grant but **may** be eligible for a 2019 SFS grant).

*Individuals are **NOT** eligible for funding.*

<sup>1</sup> 15 U.S.C. § 3722(b)(3).





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

1. **BE COMMITTED** to the project for the period of performance,
2. **BE AVAILABLE** as needed, and
3. **NOT BE CONDITIONED OR ENCUMBERED** 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 **ALL SOURCES** (i.e. applicant, co-applicants or third party organizations).



## DON'T GET KNOCKED OUT BY A TECHNICAL MISTAKE!

### OPTIONAL Pre-Submission Technical Review

- Submit a copy of your application via email to RIS POCs to receive feedback on technical aspects of your application before final submission.
- 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 in Appendix D(1) or D(2) (pp. 39-40) of the NOFO to complete your own technical review and ensure you are submitting all the required documents, e.g.:

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 <a href="https://www.economic-development.gov/wp-content/uploads/2017/11/SPOC-Fair-2014.pdf">https://www.economic-development.gov/wp-content/uploads/2017/11/SPOC-Fair-2014.pdf</a>	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. 16)	Applicant 1	Applicant 2	etc.
Indirect Cost Rate (ICR) Agreement	See Section D.2.iii.b.3 (p. 16)	Applicant 1	Applicant 2	etc.



**ERIC SMITH**

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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)

*See Section D(2)(ii)(a) (pp. 12-13) for a **full list of Project Narrative requirements.**  
**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.

*See Section D(2)(ii)(b) (pp. 13-14) for full Budget Narrative and Staffing Plan requirements.*

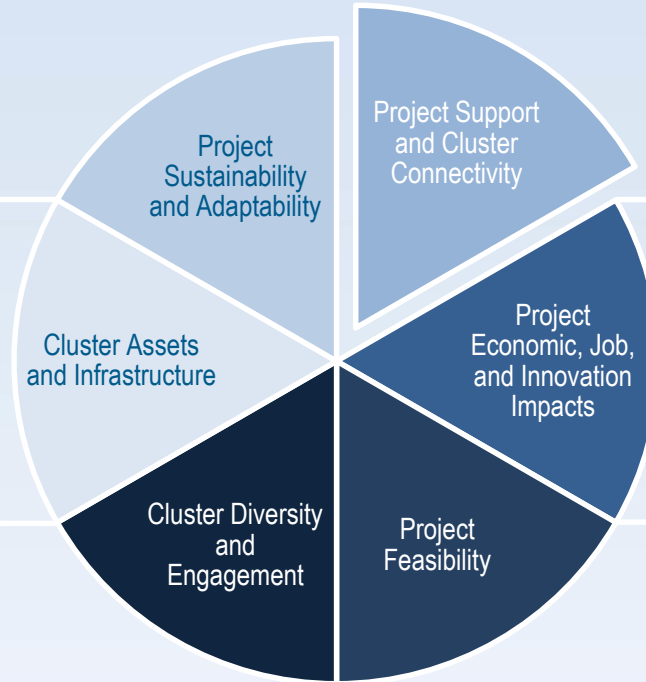
*Budget Narratives and Staffing Plans should **not exceed the 4 page-limit.***



What is the likelihood that the participants in the regional innovation cluster will be able to sustain activities once RIS grant funds 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 job 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?



*EDA plans to announce awards **APPROXIMATELY 90-120** days after application deadline.*

Notifications will be made via email, **MAKE SURE YOU LIST THE CORRECT POINTS OF CONTACT** on 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.





U.S. ECONOMIC DEVELOPMENT ADMINISTRATION

# CONTACT INFORMATION



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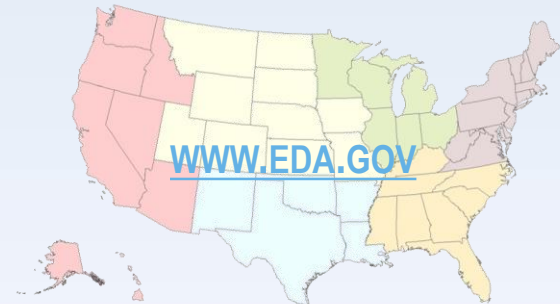
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## Link to the Application Package

<https://www.grants.gov/web/grants/view-opportunity.html?oppld=312519>

## Grants.gov Funding Opportunity Number

EDA-HDQ-OIE-2019-2005942

## Application Submission Deadline

**11:59 pm ET on Thursday, April 4, 2019**

## Link for Additional Information

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



**Grants.gov Helpdesk**

(800) 518-4726; [support@grants.gov](mailto: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/>



**EMILY MILLER**

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**I'm a brand new organization/program/partnership. A number of your previous awards are larger, more established programs, should I apply? Will I be competitive?**



## My organization is a for-profit entity. Can I apply for a grant?

All categories of eligible entities are identified in the NOFO (see slide 16). Individual for-profit startups or businesses are not eligible, but certain types of for-profit entities that support innovators and entrepreneurs may be eligible for 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.**



**We are working hard to identify the best type of match for a strong proposal.  
What recommendations do you have? Do you prefer cash or in-kind?**



**Some of our "neighbors" are recent grantees. Will we be competitive if we apply this year?**





**We are a Community College in a mostly rural part of the state and are just starting to develop our innovation efforts through a partnership with the local national lab/military base/corporate leader. Should we apply?**



**How do you define a regional innovation project proposal?**



**You mentioned community support, partnerships, support letters, matching commitments, and more. What is the right amount of partnerships and support letters you are looking for?**



How should we address our work on (\*\*insert grant program/policy here\*\*),  
in our proposal?



## 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.....



**QUESTIONS?**