



## **Innovation Investment Guidelines**

**May 06, 2008**



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Send Email Proposals to  
[dvin@innovationphiladelphia.com](mailto:dvin@innovationphiladelphia.com)

and

**Mail 5 Copies to**

Delaware Valley Innovation Network  
Attn: Helen M. Groft, Project Director  
2600 Center Square West  
1500 Market Street  
Philadelphia, PA 19102  
hgroft@innovationphiladelphia.com

## Section I - Introduction

The Delaware Valley Innovation Network (DVIN) is a partnership between local, regional and state workforce development organizations, economic development agencies, technology investment groups, educational and research institutions and the life science private sector throughout Delaware, New Jersey and Pennsylvania. DVIN formed as a result of a Workforce Innovation in Regional Economic Development (WIRED) \$5.1 million grant from the U.S. Department of Labor. This grant is funded through the “H-1B Nonimmigrant Petitioner Account” (8 USC §1356(s)) and known as “H-1B funds”. The purpose of this grant is to accelerate the transformation of the life science industry that includes biotechnology, pharmaceuticals, medical devices, associated research and development activities, and supporting infrastructure, in the 14-county tri-state region into an internationally recognized center for excellence. DVIN will expend and attract resources to support research, industry and human capital development.

The grant extends through January 2010 and represents a 14-county region:

- Pennsylvania: Berks, Bucks, Chester, Delaware, Lancaster, Montgomery, and Philadelphia;
- New Jersey: Burlington, Camden, Cumberland, Gloucester, Mercer, and Salem;
- Delaware: New Castle.

The WIRED Initiative is designed to support the development of a regional, integrated approach to workforce development through the collaboration of workforce development, economic development, academia, and industry. The ultimate goal of WIRED is to expand employment and advancement opportunities for American workers and catalyze the creation of high-skill and high-wage jobs. This goal and more information about the WIRED initiative and the project can be found at [www.doleta.gov](http://www.doleta.gov).

Innovation Philadelphia, Inc. is the fiscal agent of the DVIN initiative. More information about the DVIN initiative can be found at [www.delawarevalleyinnovationnetwork.com](http://www.delawarevalleyinnovationnetwork.com).

DVIN has identified the following goals to drive the transformation of the life science industry into an internationally recognized center for excellence:

1. Conduct a **GAP Analysis** to ensure that the “demands” of the life science industry are being supported by the “supply” from educational and training institutions.
2. Support, strengthen, and develop the incumbent worker training, high school, and post-secondary **Education and Training** structure to address the current and emerging needs of the life science industry.
3. Support **Human Capital Development** by providing training to individuals within the DVIN 14-county, tri-state region to build the necessary skills to prepare them for work within the life science industry.
4. Foster **Regional Collaboration and Knowledge** for economic development, workforce development, and education professionals to deepen their understanding of the life science, supporting knowledge industries, and the DVIN initiative.

## **Section II – Program Design and Goals**

### **DVIN Innovation Investments**

Strategic investment of WIRED funds support the efforts of DVIN to fulfill the demand for a high quality, highly skilled life science workforce, transform the way the tri-state region develops talent, and enhance the DVIN region's competitive position to become a global Center for Excellence.

Innovation Investments are an important element of DVIN's strategy to become internationally known for a skilled and talented life science workforce. Overall, DVIN Innovation Investments will grow, supplement, and connect elements of the region's life science workforce pipeline in order to retain and grow the life science industry in the DVIN region.

All Innovation Investment proposals submitted for DVIN funding must prove to be industry-driven to meet the needs of the life science industry. Therefore all proposals should involve the participation of industry and adhere to the Guiding Principles below to assure that DVIN investments are providing for the current and emerging workforce needs of the life science industry in the region.

### **Guiding Principles**

Proposals for Innovation Investments will be evaluated on the following Guiding Principles:

- **Collaboration:** All projects receiving funding from the DVIN will demonstrate a foundation of partnerships and networks. Such collaborations are a cornerstone of the WIRED initiative. Organizations such as colleges and universities, workforce institutions, local Workforce Investment Boards, economic development organizations, and the life science industry should demonstrate how they are working or plan to work together. All proposals should clearly show collaboration among workforce development and economic development organizations, academia, and industry.
- **Regionalism:** All projects receiving funding from the DVIN will include, where possible and appropriate, organizations from the entire DVIN region. If the project does not immediately involve organizations from the entire region, the proposal must demonstrate meaningful inclusion of and describe the benefits provided to the entire region and/or how the project will be able to be replicated throughout the entire region.
- **Transferability:** All projects receiving funding from the DVIN will demonstrate that they can be developed once and implemented multiple times; and/or can be applied first to the life science sector and then to other industry sectors.
- **Sustainability:** All projects receiving funding from the DVIN will demonstrate funding sources in addition to the DVIN funding. All projects should also demonstrate funding beyond the Innovation Investment funding period.

- **Accountability:** All projects receiving funding from the DVIN must demonstrate the ability to produce and report qualitative and quantitative outcomes.
- **Demand/Industry Driven Approach:** All projects receiving funding from the DVIN will meet the demonstrated needs of the life science industry and key supporting industries with programs that enhance and/or build the capacity of the region's workforce, training, and education pipeline.
- **Innovation:** All projects receiving funding from the DVIN will either enhance existing, or develop new, processes or practices that encourage the use of technology and other non-traditional methodologies to deliver education and training programs.

### **Examples of Projects**

DVIN seeks to support training and capacity building programs. This list is intended to promote ideas and not to limit the type of projects submitted. DVIN will consider other types of projects, pilot programs or demonstration projects.

Project examples include, but are not limited to:

Training Projects:

- Incumbent worker training
- Community-based programs to enhance the foundational skill set for the life science sector
- Pipeline training programs targeting diversity
- Pre-employment training with job placement in the life science industry

Capacity-Building Projects:

- Experiential learning within the life science sector (e.g. internships and cooperative learning)
- Professional development for educators
- Curriculum development and/or curriculum delivery through non-traditional methodologies

All projects will be required to have qualitative and quantitative outcomes jointly agreed upon by the applicant and DVIN.

### **Section III – Eligible Applicants**

Eligible applicants for the Innovation Investments are: 501(c)3 non-profit organizations, individual businesses or business partnerships, educational entities, economic development organizations, workforce intermediaries, and community-based organizations.

The applicant must demonstrate collaboration within the 14-county, tri-state region. If the project will not immediately impact all 14 counties, demonstration of how the project can be replicated throughout the entire region must be provided.

The lead applicant will serve as the fiscal recipient of the funds and should have a leadership role in developing and maintaining the Innovation Investment. The lead applicant will be responsible for all reporting and will ensure the utilization of funds in accordance with H-1B funds guidelines.

The 14-county region, for the purpose of the DVIN, is:

Pennsylvania: Berks, Bucks, Chester, Delaware, Lancaster, Montgomery, and Philadelphia counties

New Jersey: Burlington, Camden, Cumberland, Gloucester, Mercer, and Salem counties

Delaware: New Castle County

## **Section IV – Application**

### **Timeline**

Applications will be accepted throughout the length of the DVIN project on a rolling application basis as long as Innovation Investment funds are available. Application deadlines are April 1, July 1, October 1, 2008; and January 1, April 1, July 1, October 1, 2009. Funding decisions will be made by the end of the following month.

### **How to Apply**

*Step 1:* Applicants will send one electronic full proposal and 5 paper copies of the remaining Innovation Investment application to DVIN.

**Submit Proposals via Email to [dvin@innovationphiladelphia.com](mailto:dvin@innovationphiladelphia.com)**

**and**

**Mail 5 Copies to**

Delaware Valley Innovation Network  
Attn: Helen M. Groft, Project Director  
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Philadelphia, PA 19102  
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*Step 2:* Proposal will be reviewed by the DVIN Innovation Investment Grant Steering Committee.

*Step 3:* Recommended proposals from the Steering Committee will be reviewed and approved or rejected by the DVIN Executive Committee. (The DVIN Executive Committee meets monthly.)

*Step 4:* DVIN will notify all applicants about Innovation Investment decisions.

## Proposal

Proposals should include the following:

- Cover sheet – Include
  - Project title;
  - Applicant name;
  - Contact person;
  - Contact information;
  - Counties to be served;
  - Target audience;
  - Active partner organizations involved in the project;
  - Length of project;
  - Investment request;
  - Investment match;
  - Quantifiable project outcomes.
- Project Summary (10 page maximum) – Identify the focus of the project, the activities to be performed, the primary audience, goals, objectives, outcomes/deliverables, timetable, management plan and roles and responsibilities of partner organizations. This document should use a minimum 11-point font (Times, Times New Roman or Arial), have 1” margins and be double-spaced. See **Attachment One** for Sample Timeline.
- Budget – Refer to **Attachment Two** for the standard form.
- Metrics Progress Reports – Refer to **Attachment Three** and **Attachment Four**. Identify all project targets that apply and supply project totals to be reached by the end of the project.
- IRS 990 cover sheet of lead organization or fiscal agent

## Reporting

All Innovation Investment recipients will be required to report on the process and provide quantifiable outcomes of the funded project. Measurement will be based on the type of project and progress toward the intended outcomes of the project. DVIN staff will work with recipients to define reporting and measurement details for each Innovation Investment. The timeline for reporting will be a monthly update and quarterly full report, including a budget report. Dates and additional guidance will be communicated as part of the notification of funding approval. See **Attachment Three** and **Attachment Four** of these Guidelines for samples of quarterly reports which will be required.

## General Administrative and Fiscal Requirements

DVIN Innovation Investments are federal funds to which a number of rules and conditions of use apply. Specific details of these rules differ by the type of grantee (state or local government, educational institution, non-profit institution, for profit commercial organizations, entities involved in administering the workforce investment system, and economic development agencies).

Innovation Investments may not be used for construction, capital improvements, redistribution of funds, or incentives.

Innovation Investments can only be used to serve participants ages 16 and above. Innovation Investments may be used in projects that include participants younger than 16 only if the applicant can prove and track that only non-DVIN funds will be used.

The U.S. Department of Labor requires in 20 CFR 667.200 that recipients follow OMB Circulars that define procurement requirements, eligible expenses or other administrative and audit compliance regulations. Commercial for-profit contractors who become WIRED grantees are governed by requirements published at 48 CFR Chapter 1 for cost principles and 29 CFR, Parts 95 and 96 regarding administrative and audit requirements. It is the grantee's responsibility to comply with all applicable requirements listed above in 20 CFR 667.200.

OMB Circulars: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).

48 CFR and 29 CFR: <http://www.gpoaccess.gov/cfr/about.html>

## Funding

All Innovation Investments will be distributed and administered according to US Department of Labor H-1B funds guidelines. The guidelines can be found at [http://www.indiana-wired.net/documents/WIRED Grants Uses of the H-1B Funding\\_rev3\\_6\\_15\\_07.pdf](http://www.indiana-wired.net/documents/WIRED_Grants_Uses_of_the_H-1B_Funding_rev3_6_15_07.pdf).

***Distribution of funds will coincide with the reporting timeline and will be based on continued demonstration of progress toward the goals of the specific project.*** The timeline will be established for each funding cycle and communicated to recipients upon approval for allocation.

Innovation Investments will be awarded for projects of up to one year in length. Awardees may apply for additional Innovation Investments to extend successful projects. Applicants who intend to involve partners from Pennsylvania, New Jersey and Delaware may apply for multi-year funding, with a maximum project length of two years.

The DVIN has \$2.4 million available for Innovation Investments or \$800,000 per year over a three-year period. The DVIN may award more or less than the \$800,000 each fiscal year depending on the quality and timing of the proposals submitted, and additional funds available. The DVIN may fund up to 10 projects per year.

## Matching Funds

Innovation Investment requests must have a 1:1 match. Aligning resources is a key component to sustainability. Applicants can provide cash or in-kind resources. Please note that neither prior nor current DVIN Innovation Investments nor Federal resources may be counted as a match.

To be allowable as part of the match, a cost must be an allowable charge for Federal grant funds. Determinations of allowable costs will be made in accordance with the applicable federal cost principles. If the cost would not be allowable as a grant-funded charge, then it also cannot be counted toward matching funds. Matching funds must be expended during the Innovation Investment period of performance.

At this time, DVIN funds will not be used for equipment; but program specific equipment used for training that is contributed to the project can be considered as part of the 1:1 match. Equipment is defined for Federal grant purposes in the Uniform Administrative Requirements as tangible property, with a useful life of more than one year and a per-unit cost of \$5,000 or more.

### **Requirements**

- All Innovation Investment recipients will be required to include the DVIN Logo and acknowledgement of US Department of Labor funding in all materials.
- The US Department of Labor and DVIN have the right to use and disseminate all the models and materials created as a result of the DVIN Innovation Investments.

## Attachment 1

### Sample Time Line

This section should include a timeline for all aspects of the project, with particular emphasis on program design and training delivery. The sample timeline table below should be modified to fit your project.

	Outline of Process	Duration	Start Date	Finish Date
<b>Program Foundation</b>				
	Identifying the partnership			
	Recruiting additional stakeholders			
	Selecting a program			
	Hiring project manager			
<b>Program Design</b>				
	Recruiting and selecting firms			
	Assessing training needs			
	Selecting training to be delivered			
	Aligning the resources of existing training systems			
	Designing curriculum			
	Designing assessments			
<b>Program Support</b>				
	Identify and implement support activities			
	Define process for recruiting and selecting training participants			
	Define measures of program success			
<b>Training Delivery</b>				
	Locate facilities			
	Schedule training			
	Recruit and select participants			
	Deliver training			
	Assess training outcomes			
	Define next step activities			

## Attachment 2

### Budget Summary

Budget Categories	Budget Request	Matching Funds*	Total
<b>Administration**</b>			
<b>Program Manager</b>			
Salary			
Benefits			
Travel			
<b>Subtotal</b>			
<b>Operating Costs</b>			
<b>Subtotal</b>			
<b>Other***</b>			
Office Supplies/Postage Miscellaneous Costs			
<b>Subtotal</b>			
<b>Training Costs</b>			
Materials			
Training Materials (Equipment is not an eligible expense)			
Instructors (In-house "Company Trainers")			
Contracted Instructional Services (List All Contracted Providers)			
Other Costs (Provide Detail)			
<b>Subtotal</b>			
<b>Total</b>			

\* Please provide sources of matching funds on a separate sheet

\*\* Not to exceed 5% of the total request

\*\*\* Additional budget categories can be added as appropriate  
matching funds required: 1 to 1 ratio

# Attachment 3 Side A

## SAMPLE QUANTITATIVE REPORT FOR ALL TRAINING PROJECTS

GRANTEE IDENTIFYING INFORMATION					
1. Organization Name:					
2. Address:					
City:		State:		Zip	
3. County:	4. Phone:	5. Fax:	6. Email:		
7. Organization FEIN:	8. Counties Served: (Please circle all that apply)				
	Bucks	Mercer	Philadelphia	Berks	Lancaster
	Salem	Gloucester	Camden	Delaware	Chester
				Burlington	Montgomery
				New Castle	Cumberland
9. Type of Life Science Company Served: (Please circle YES or NO)	Biotechnology: YES NO	Associated Research & Development: YES NO	Medical Devices: YES NO	Pharmaceutical: YES NO	
Supporting Life Science Infrastructure: YES NO	Explain:				
GRANTEE RESULTS					
Progress Report Performance Categories and Measures		Project Target	Previous Quarter	Current Quarter	Cumulative Grant-to-Date
Education/Training					
10	Number of Participants in Workforce Education/Training Using DVIN Funds.				
11	Number of Participants Who Have Completed Workforce Education/Training Using DVIN Funds.				
12	Number of Participants Who Have Obtained a Degree, Certificate, or Life Science Industry Credential as a Result of Workforce Education/Training Using DVIN Funds				
13	Numbers of Individuals Participating and/or Completing Workforce Education/Training Using DVIN Funds Who Were Placed in Life Science Industry Employment.				

## Attachment 3 Side B

### SAMPLE QUANTITATIVE REPORT FOR ALL TRAINING PROJECTS Required for each individual training participant

GRANTEE IDENTIFYING INFORMATION			
1. Training Participant Name: (required for each individual training participant)		2. Training Participant Social Security Number: (required for each individual training participant)	
3. Address:			
City:		State:	Zip: County:
5. Training Start Date:	6. Training Completion Date:	7. Training Description	
8. Certificate Obtained Upon Completion: (Circle One) YES NO	9. Date Obtained:	10. Credential Obtained Upon Completion: (Circle One) YES NO	11. Date Obtained:
12. Placed in employment in life science industry? (Circle One) YES NO	13. Date Employed:		

# Attachment 4

## SAMPLE QUANTITATIVE FORM FOR CAPACITY BUILDING PROJECTS

GRANTEE IDENTIFYING INFORMATION					
1. Organization Name:					
2. Address:					
City:		State:		Zip	
3. County:	4. Phone:	5. Fax:	6. Email:		
7. Organization FEIN:	8. Counties Served: (Please circle all that apply) Berks Lancaster Chester Montgomery Bucks Mercer Philadelphia Delaware New Castle Salem Gloucester Camden Burlington Cumberland				
9. Type of Life Science Company Served: (Please Check all that apply)	Biotechnology:	Associated Research & Development: YES NO	Medical Devices: YES NO	Pharmaceutical: YES NO	
Supporting Life Science Infrastructure: YES NO	Explain:				
GRANTEE RESULTS					
Progress Report Performance Categories and Measures		Project Target	Previous Quarter	Current Quarter	Cumulative Grant-to-Date
<b>Capacity Building</b>					
10	Number of Educators Prepared for Instruction in Life Science Industry and				
	Projected Number of Additional Students That Will be Trained Annually as a Result				
11	Projected Number of Additional Students That Will be Trained Annually as a Result of New Curriculum Developed.				
12	Project Number of Participants That Will be Trained Annually as a Result of Experiential Learning Developed/Implemented (clinical experiences, internships, etc).				
	Other Capacity Building Activates as Identified by the Regional and Projected Number of Additional Students That Will Be Trained Annually as a Result (insert cells as needed)				

Quarterly Milestones Progress Reports will be developed on a project by project basis.