2016 NIST NNMI Institute Competition

NNMI: The Power To Compete

Elements of a Complete and Competitive Application

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2016 Competition

Pre-Applications

Full Applications

Competition – Two Stages
Pre-Application – Complete Submission

1. **Federal Forms: (only two needed!)**
   - SF-424 Application for Federal Assistance
   - SF-424A Budget Information – Non Construction Programs
     - Include a preliminary Rough Order of Magnitude (ROM) budget that reflects the anticipated expenses for all project years (up to 5 years)
     - Consider all potential cost increases and cost of living adjustments

2. **Executive Summary (one single-side page)**
   - A concise summary of the proposed effort suitable for public dissemination
   - Make sure to include objectives, description, the potential impact of the proposed Institute (i.e., benefits, outcomes), and major participants
3. Abbreviated Application Narrative

- No more than 20 pages
- Describe the relevance of the proposed Institute:
  - A description of the proposed NNMI Institute sufficient to permit evaluation in accordance with the Pre-Application Evaluation Criteria, including:
    - Uniqueness and complementary nature of the technical scope with regard to the other NNMI Institutes or in-progress competitions and other Federal programs
  - The degree of alignment of the proposed Institute to U.S. advanced manufacturing needs, and/or research programs and goals of NIST and the Department of Commerce advanced manufacturing programs
Eligibility - Who, Where, Funding?

- **Who**
  - Eligible Applicants & Subrecipients
    - State, local, or tribal Governments;
    - Institutions of Higher Education (IHE);
    - non-profit and for-profit organizations,
    - organized and operated in the U.S. with majority domestic ownership or control
  - Ineligible entities
    - Pre-Award - may be included as an unfunded participant
    - Post-Award, may be included on a case-by-case basis

- **Where**
  - Here in the U.S. unless there is compelling reason

- **Cost Share**
  - At least 50% match of Federal Funding
Full Application – Complete Submission

1. Federal Forms: (Full set needed)
   - SF-424 Application for Federal Assistance
   - SF-424A Budget Information – Non-Construction Programs
     • Budget should that reflects the anticipated expenses for the 1st 5 years
     • Consider all potential cost increases and cost of living adjustments
   - SF-424B Assurances – Non-Construction Programs
   - CD-511 Certification Regarding Lobbying
   - SF-LLL Disclosure of Lobbying Activities (if applicable)
   - Project/Performance Site Location(s)
Full Application – Complete Submission (cont’d)

2. Technical Volume
   – Executive Summary (one single-side page)
     • A concise summary of the proposed effort suitable for public dissemination
     • Make sure to include objectives, description, the potential impact of the proposed Institute (i.e., benefits, outcomes), and major participants
   – Table of Contents
   – Application Narrative
     • Description of the proposed NNMI Institute
     • Address evaluation criteria in Section V.1.b for FFO (pages 41 – 55)
2. Technical Volume (cont’d)

- **Annual Institute Plan** – an example plan that demonstrates:
  - How the capabilities of the Institute and its members will be organized
  - How quality technical projects will be generated
  - At minimum, it must include:
    - Summary of annual technical work and proposed accomplishments
    - Organized representation of Institute’s technical work including:
      » project calls,
      » technical thrusts, and
      » technical projects with examples
    - Rough Order of Magnitude Research and Related budget
    - Integrated Project-level schedule, milestones, and deliverables
  - Gantt chart or Timeline
3. Table of Abbreviations and Acronyms

4. Bibliographic List of References

5. Compliance Matrix
   - In a table, explain how and where each merit review criterion is addressed in the application
   - Use this as a checklist for a complete application

6. Table of Funded Participants and Unfunded Collaborators
   - All participating (FUNDED) or collaborating (UNFUNDED) organizations (*known at submission*)
   - For FUNDED participants - Identify scope of work and funding amounts
7. **Table of Cost Share Components and Contributors**
   - Details of contributing cost share sources and type
   - Include rationale for selection this set of cost share

8. **Resumes of Key Personnel**

9. **Letters of Commitment**
   - Required from:
     - Any known subrecipients or contractors indicating willingness to participate
     - Key personnel who will fill vacancies on the applicants or subrecipient’s staff noting relationship to the applicant and how this person will help fulfill the efforts of the Institute
     - Cost-sharing or matching by applicant
   - Encouraged from any third-party entity who is providing cost-share or matching
10. Letters of Interest (optional)
   - Indicate willingness from any 3rd party to support your Institute
   - Outline nature & importance of the collaboration/support being offered
   - May also vouch for applicant’s knowledge, skills, and abilities to conduct the work

11. Estimated Funding by Work Breakdown Structure (WBS)
   - WBS is a tool used to organized and describe the work to be performed composed of tasks, sub-tasks and task descriptions
   - Breaks the work into manageable segments to facilitate Program management, schedule management, cost estimating and budgeting, and reporting of Institute operations
   - Tasks should correspond to items listed on Gantt Chart or Timeline
Full Application – Complete Submission (cont’d)

12. Detailed Budget Table and Budget Narrative
   – For the Startup Phase and 1st year of Ongoing Institute Operations broken down by SF-424A object class categories
   – Budget Table needed for subsequent years
   – Budget narrative only needed for Startup Phase and 1st year of Ongoing Institute Operations

13. Indirect Cost Rate Agreement (if established)

14. Data Management Plan (NOT to exceed 2 pages)
   – Summaries of activities that generate data and the type of data generated
   – A storage and maintenance plan for the data
   – A description of whether or how data will be reviewed and made available to the public
Application Page Limits – What Counts?

- Pre-Applications - Maximum of 20 pages
- Full Applications - Maximum of 90 pages
- Page limit includes:
  - Figures, Graphs, Images, and Pictures
  - Project Narrative (Abbreviated or Full)
  - For the Full Application, page count also includes:
    - Annual Institute Plan (for Full App)
    - Estimated Funding by Work Breakdown Structure
Application Page Limits – What Counts? (cont’d)

- **Page limit excludes:**
  - All Federal Forms
  - Executive Summary
  - Tables of: Contents, Abbreviations and Acronyms, Funded Participants and Unfunded Collaborators, and Cost Share Components
  - Gantt Chart/Timeline
  - Bibliographic List of References
  - Compliance Matrix
  - Resumes of Key Personnel
  - Letters of Commitment or Interest (if applicable)
  - Budget Narrative
  - Indirect Cost Rate Agreement (if applicable)
  - Human and Animal Subject material (if applicable)
  - Data Management Plan
Research Involving Human Subjects or Live Vertebrate Animals

- Research involving human subjects or live vertebrate animals, including research that involves:
  - bodily materials, data about bodily material, testing research prototypes (products, usability, HMI, etc), data collected through digital or image recording, private information or data (genetic, medical records, surveillance – even if you didn’t collect it), human subjects, or clinical studies) or live vertebrate animals

- Will require extra documentation and Administrative Review by the NIST Human Subjects Protection Office (HSPO) - see FFO, pp. 62-69

- NIST Grants Officer must give written approval before any research can be initiated or costs incurred for those activities under an award

- Proposers may also contact HSPO as indicated in the FFO:
  - Anne Andrews; anne.andrews@nist.gov; (301) 975-5445
  - Linda Beth Schilling; linda.schilling@nist.gov; (301) 975-2887
Common Weaknesses to Avoid

- Poor alignment to the scope of an Institute
- Incomplete packages - check and double check!
- Ineligible applicant
- Incomplete proposal or missing documents
- Does not differentiate current proposal from existing NNMI Institutes or other agency announced competitions
- Does not address necessary aspects of the evaluation criteria
- Insufficient detail and/or unsupported assertions regarding key requirements
- Failure to submit by the proposal deadline via grants.gov

*Remember, last minute upload to grants.gov is very risky!*
Competition Resources

- **Suggested Templates**
  - Annual Institute Plan
  - Budget Narrative and Budget Table
  - Work Breakdown Structure
  - Estimated Funding of Work Breakdown Structure
  - Rough Order of Magnitude Budgets
  - Table of Funded Participants and Unfunded Collaborators

- **Guidance**
  - Budget Narrative
  - Merits and Uncertainties of Cost Share

- **How-To Instructions**
  - Submitting a Pre-Application
  - Getting a DUNS number
  - Getting and Understanding the EIN
  - SAM Registration
2016 NIST NNMI Institute Competition

Proposers’ Day, March 8, 2016

- **Website and Resources**
  - Resources to assist Applicants, include:
    - Documents, FAQs, Suggested Templates and Guidance, and How-To’s
    - Cooperative Agreements & Award Requirements, and Publications
  - Send questions to NIST hotline at [nnmifund@nist.gov](mailto:nnmifund@nist.gov) or (301) 975-0404

- **Competition Timeline**
  - **February 19, 2016**
    - Announced on [Grants.gov](https://grants.gov) (*2016-NIST-NNMI-01*)
  - **April 20, 2016, 11:59 p.m. ET**
    - Pre-Applications due through [Grants.gov](https://grants.gov)
  - **May 23, 2016 (on or about)**
    - Pre-Application review and selection notification
  - **July 22, 2016, 11:59 p.m. ET**
    - Full Applications due through [Grants.gov](https://grants.gov)
    - (on or about)
  - **Q1, CY 2017**
    - Anticipated start date for awards