The Advanced Manufacturing Technology Consortia (AMTech) Program and 2013 Federal Funding Opportunity

AMTech Informational Webinars

August 15 & 20, 2013

Margaret Phillips
Associate Director for Competitions

Michael Schen
Associate Director for Programs

Advanced Manufacturing National Program Office
National Institute of Standards and Technology
U.S. Department of Commerce
Gaithersburg, MD

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Overview

Both Dates

- An Overview of AMTech and the 2013 Funding Opportunity

August 15th

- AMTech in the Context of Advanced Manufacturing and NIST
- Expectations and Outcomes
- AMTech Tech Eval Criteria and Performance Metrics
- Evaluation, Selection and Award Announcements

August 20th

- Responding to the FY 2013 Solicitation
- Preparing a Complete Application (Proposal)
- Budget and Administrative Documentation
- Grants.gov

Both Dates

- Competition Resources and Next Steps
- Questions

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What is AMTech?

The Advanced Manufacturing Technology Consortia (AMTech) Program

Newly launched by NIST in FY 2013

- To incentivize the formation of and provide resources to industry-led consortia
  - To support basic and applied research
  - On long-term, pre-competitive and enabling technology development
- For the U.S. manufacturing industry

AMTech-supported consortia will strengthen the capacity of U.S. industry and the nation to compete in global markets

How Will AMTech Work?

- FY 2013 AMTech *planning awards* will fund eligible applicants to create new or strengthen existing industry-led technology consortia
- AMTech-supported consortia will:
  - Identify and prioritize long-term, pre-competitive industrial research needs;
  - Enable technology development;
  - Create the infrastructure necessary for more efficient transfer of technology;
  - Represent a broad range of involved firms across stages of the value chain.
- Once fully implemented, NIST envisions AMTech to offer funding in two broad areas: *planning awards* and *implementation awards*

The 2013 AMTech Funding Opportunity

Grants.gov Funding Opportunity No. 2013-NIST-AMTECH-01

For FY 2013

- Applications/proposals for *planning awards* only

Funding Level & Instrument

- Total funding available: approx. $4 M
- Award size: approx. $250 - $500K, up to 2 years
- Grant or Cooperative Agreement

Key Dates

- Solicitation released: July 24, 2013
- Informational webinars: August 15 & 20, 2013
- Pre-application (optional): September 6, 2013
- Full Application due: October 21, 2013
- Award Announcement: Q1, CY2014

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Eligibility and Partnerships

- Collaborative partnerships that include broad participation by companies of all sizes, universities and government agencies to form an industry-led consortium are sought
- Eligible applicants may be any U.S. organization, located within the United States, excluding commercial organizations and federal entities
- An eligible applicant may work individually or include others effectively forming a team or consortium. Eligible subrecipients are the same types of organizations eligible to apply.
- Commercial organizations may participate in teams as contractors or in unfunded roles

Competition Resources

- Visit the AMTech Website at http://www.nist.gov/ampo/
- Direct Questions to amtech@nist.gov

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Overview for Today

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Proposal Content

- *SF-424, 424A, 424B, CD-511, SF-LLL*
- Technical Proposal
- *Budget Narrative*
- *Indirect Cost Rate Agreement*
- *Resumes of Key Personnel*
- *Required Letters of Commitment*
- *Letters of Interest*
- *SF-424A and budget narrative for known subrecipients*

<u>20 page limit, items in italics excluded from page limitation</u>

Technical Proposal Contents

- Executive Summary
- Table of Contents
- Discussion Against Criteria
  - Identifying and Addressing Significant Challenges
    - Technical challenges may be in any area of advanced manufacturing
    - Must require solution that includes development of highly innovative, transformational technologies that are broadly deployable
    - Present scope and vision, goals, objectives and outcomes; challenges, proposed advances, and impacts to be realized
      - Common to an industry or sector
      - Demonstrate innovation

Technical Proposal (cont.)

- Discussion Against Criteria (cont.)
  - Consortium and/or Roadmapping Development Plan
    - Plan for the entire life cycle
    - Participation by the full value chain (including SMEs)
    - Discuss methods used to select, assess and organize projects
    - How will stakeholders will be involved?
    - Outline processes to be used to gain consensus and disseminate results
    - Discuss progress monitoring and key milestones
    - Teaming and partnerships are encouraged
    - Describe sustainability planning

Technical Proposal (cont.)

- Discussion Against Criteria (cont.)
  - Resource Availability and Qualifications
    - Describe resources and budget and demonstrate cost effectiveness and appropriateness to project goals and outcomes
    - Discuss proposed management/operational structure
    - Provide qualifications of key personnel and participating organizations

  - Proposal review will evaluate the technical proposal narrative against the evaluation criteria – important for applicants to assess the narrative for completeness

The 2013 AMTech Funding Opportunity Evaluation Criteria

A. Identifying and Addressing Significant Challenges	**0-30 points**
B. Consortium and/or Road-mapping Development Plan	**0-50 points**
C. Resource Availability and Qualifications	**0-20 points**

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Budget Narrative

- Required for applicant and any known subrecipients
- Consistent with the technical narrative
- Detailed breakdown of each cost category on the SF-424A
  - Personnel
  - Fringe Benefits
  - Equipment
  - Travel
  - Supplies
  - Contracts/Subawards
  - Other Direct Costs
- Describes the necessity and basis for each element of cost
- Indirect Costs
  - Provide approved IDC Agreement if available
  - If no approved rate, establishment will be part of post-award requirements

Budget Preparation: Requirements and Principles

- Administrative Requirements15 CFR Part 14

- Cost Principles
  - For-profit companies: 48 CFR Part 31
  - Universities: 2 CFR Subtitle A, Chapter II, Part 220 (OMB Circular A-21)
  - Non-profits: 2 CFR Subtitle A, Chapter II, Part 230 (OMB Circular A-122)
  - State and local governments: 2 CFR Subtitle A, Chapter II, Part 225 (OMB Circular A-87)
  - Hospitals: 45 CFR Part 74, Appendix E

Letters

- Required: Letters of Commitment
  - From each known proposed subrecipient and/or contractor organization and other collaborators (all team members)
  - Key personnel
- Optional: Letters of Interest
  - From interested third parties
    - Indicates a willingness to help accelerate establishment or strengthening of a consortium
    - May vouch for proposer's knowledge, skills, and abilities to conduct the proposed work

Team Composition

Team can consist of:

- Applicant (required)
- Subrecipient(s) (optional, as deemed appropriate)
- Contractor(s) (optional, as deemed appropriate)
- Collaborators (optional, as deemed appropriate)

Eligibility for contractors and collaborators is broader than for applicant and subrecipient(s).

Participant Types

- Subrecipients - Receive funds to perform significant project-related tasks (required to submit SF-424A and budget narrative)
  - Can be any eligible U.S. organization, excluding commercial organizations and federal entities, located in the United States, such as non-profit organizations, accredited institutes of higher education, and state, tribal, and local governments
- Contractors/Vendors - Provide supporting work, services, or materials to a project recipient for a fee; appear as contractor in applicant or subrecipient budget
  - Can be any eligible U.S. organization, **including** commercial organizations and federal entities, located in the United States, such as non-profit organizations, accredited institutes of higher education, and state, tribal, and local governments
- Informal Collaborators – Provide support to the project without receiving any Federal funding; are not included any budget documentation
  - Can be any eligible U.S. organization, **including** commercial organizations and federal entities, located in the United States, such as non-profit organizations, accredited institutes of higher education, and state, tribal, and local governments

Subrecipients and Vendors

Sub-recipient

- Performs substantive portion of the programmatic work
- Involved in the design and conduct of the project
- Usually on cost-reimbursement
- Flow-through of OMB/CFR and award requirements
- No fee or profit can be charged on the grant for subrecipients

Vendor (Contractor)

- Provides the goods and services within normal business operations
- Provides similar goods or services to many different purchasers
- Operates in a competitive environment
- Not subject to Federal programmatic compliance requirements
- Profit can be charged

The primary distinction between sub-recipient and vendor is the performance of programmatic work. A grantee can enter into a sub-recipient relationship using "contract" mechanism. Sub-recipient budgets are required for an award to be issued.

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Pre-application Form (Optional)

- Non-binding
- Use the SF-424 form
  - Fields:
    - 1 – Type of submission
    - 8 – Applicant information (all sections)
    - 12 – Funding Opportunity Number
    - 15 – Descriptive Title of the Applicant's Project
    - 21 – Signature, Authorized Representative
- Information will be used to inform Program officials of potential areas of interest and to prepare for the review process
- Not evaluated for responsiveness to the FFO
- No down-selection conducted
- Submit via email to amtech@nist.gov
- Due date: September 6, 2013

Proposal Page Limits and Exclusions

- Page limit: 20 pages
- Includes: Technical proposal, including all figures, graphs, images and pictures
- Excludes:
  - Cover page
  - Required forms
  - Resumes
  - Letters
  - Budget Narrative
  - Bibliographies and Tables of Abbreviations
  - Human and Animal Subject Documentation (if applicable)

Grants.gov

- Electronic submission using Grants.gov is **required** for AMTech Proposals
  - Announcement 2013-NIST-AMTECH-01
- Begin Grants.gov registration ***early***!
  - Proposers are strongly encouraged to start their Grants.gov registration process at least four weeks prior to the proposal submission due date.
  - New businesses w/o an Employer Identification Number (EIN) should allow at least two additional weeks to obtain the number and register.
  - A DUNS number and current registration in the System for Award Management (SAM) are required
  - Submission must be by an Authorized Organization Representative
- Waiting until the submission deadline is risky and NOT recommended!

Contact During Proposal Evaluation

- Applicants may be contacted during the proposal review process
- Additional information requests during proposal evaluation may include requests for:
  - Corrections to forms
  - Clarifications to budget items
- Important that complete PI and contact information be provided as part of the SF424
  - Turnaround time for information requests typically short
- Contact information also used to provide notifications to applicants and to offer debriefings to unsuccessful applicants

Protection of Proprietary Information

- Proposal information is only shared with reviewers and competition personnel
  - All Federal government employees
  - Confidentiality and Nondisclosure agreements signed
- Mark all proposals appropriately

Weaknesses to Avoid

- Outside of the solicitation scope
- Insufficient detail and/or unsupported assertions regarding key requirements
- Does not address necessary aspects of the evaluation criteria
- Incomplete proposal/Missing documents
- Failure to submit by the proposal deadline via grants.gov
- Ineligible applicant

Questions

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Wrap up and Thank you

- ***Visit the AMTech website at: www.nist.gov/ampo***
  - ✓ *View FAQs and webinar recordings and slides*
  - ✓ *Join AMTech's LinkedIn Group*
- ***Email questions to: amtech@nist.gov***
- ***Key dates to remember:***
  - ✓ *September 6, 2013 - Pre-application (optional) by email*
  - ✓ ***October 21, 2013, 11:59 ET - Full Application due through Grants.gov (only)***
- ***Complete a brief AMTech webinar survey at the conclusion of today's event. Thank you!***

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