Webinar I - March 28, 2016

NIST NNMI Competition

The Power to Transform U.S. Manufacturing

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Questions & Resources

Webinar I - March 28, 2016

- **Competition Update**

- **Features of the 2016 NIST Institute Competition**

- **Commonly Asked Questions**

- **Available Resources**
  - Pre-Applications
  - Full Applications

- **Suggested Next Steps**

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Competition Update

- **Proposers' Day 2016** (*held on March 8, 2016)*
  - About 110 onsite registrants, 145 webcast live viewers, 230,000 Twitter accts
  - Summary report, presentations, event recording and attendees list available online at http://www.nist.gov/amo/nnmi-proposers-day.cfm
  - FAQs updated and found at http://www.nist.gov/amo/upload/NNMI2016FAQ.pdf
- **FFO   NO CHANGE**
- **Competition Timeline   NO CHANGE**

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

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2016 NIST NNMI Competition

Public-private partnerships that co-invest in developing world-leading advanced manufacturing technologies and capabilities

- **Has a clearly defined focus**

- **Provides needed state-of-the-art facilities**

- **Enables collaborative, mostly pre-competitive development of promising technologies**

- **Strengthens and leverages regional resources**

- **Carries out workforce development education and training**

- **Increases non-Federal R&D investment**

- **Promotes the creation of a stable and sustainable innovation ecosystem**

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Funding Availability and Award Period

- **Period of Performance**
  - 5 year award for up to $70 million
  - An additional 2-year possible renewal based on:
    - Availability of funds
    - Required approval of spend plans

- **Institutes will leverage non-federal sources of support to promote a stable and sustainable business model without the need for long-term NIST NNMI Federal funding**
  - NNMI Institutes can always apply for non-duplicative Federal Funding from other sources

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Startup Phase and Multiyear Funding with Renewal Option

- **Startup Phase**
  - Initial period of the Institute shall be considered the startup phase
  - Part of the initial 5 year award, anticipated to take up to 12 months
  - Will account for the first increment of funds
  - Ongoing Institute Operations begin once successfully completed

- **Multiyear Funding Policy**
  - Funding is only available for the 1st year and then incrementally thereafter

- **Two Year Renewal**
  - Awards expected for up to 5 years, with a possibility for 2 additional years at the end of the initial award period on a noncompetitive basis

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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
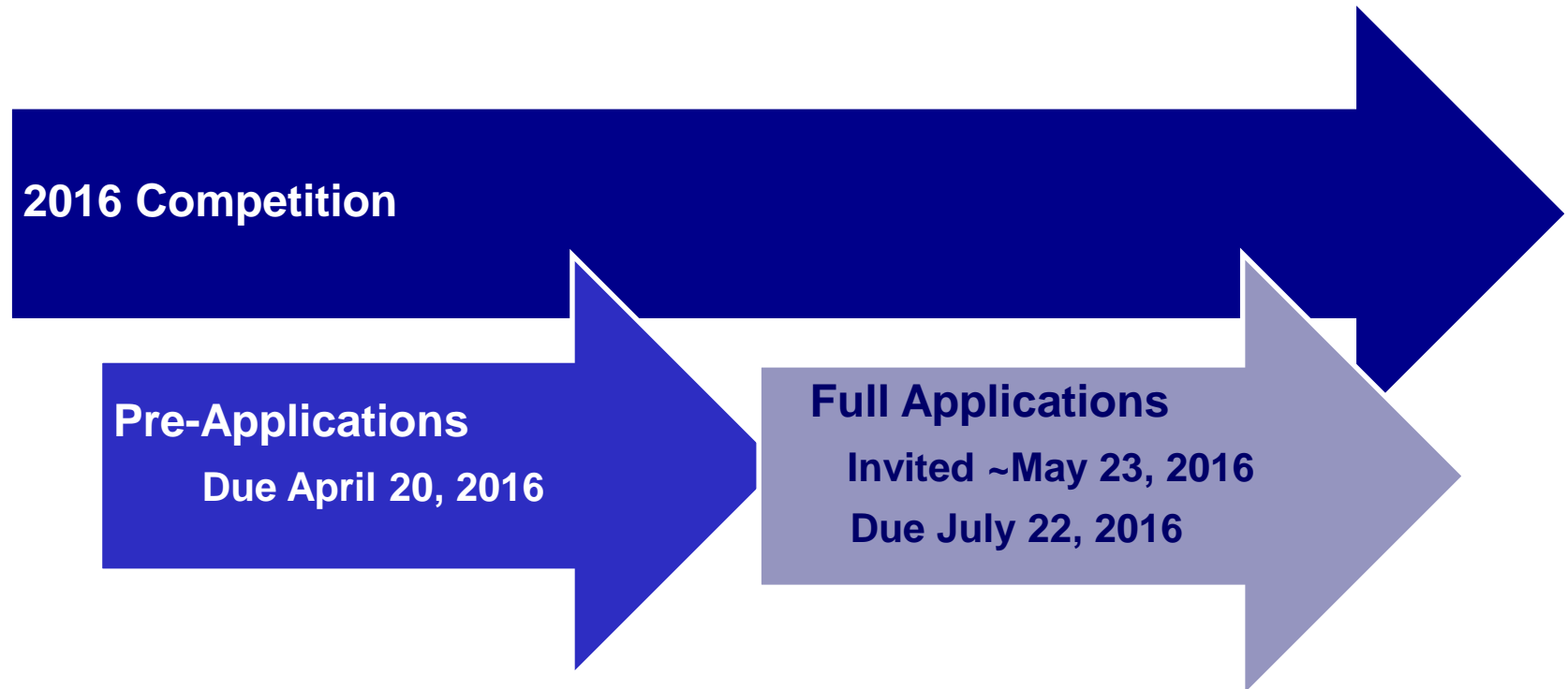   - Post-Award, may be included on a case-by-case basis

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

- **Cost Share**
  - At least 1:1 match of Federal Funding annually

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2016 NIST NNMI Competition

2016 Competition

Pre-Applications

Due April 20, 2016

Full Applications

Invited ~May 23, 2016

Due July 22, 2016

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Application Process

Step 1: Pre-Applications

- **Submitted through Grants.gov only**
- **Due by April 20, 2016, 11:59 PM ET**
- **One Pre-Application per applicant**
  - Applicants may only lead one proposal; however, they may participate as a subrecipient, contractor, or unfunded collaborator on others
- **Selected applicants will be invited to submit a Full Application on or about May 23, 2016**

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2016 NIST NNMI Competition

Step 2: Full Applications

- **ONLY selected Pre-Applicants will be invited by NIST to submit a Full Application** *(Full Applications submitted by applicants who were not selected by NIST within the Pre-Application phase, and Full Applications submitted by applicants who did not submit a Pre-Application, will be returned without review.)*

- **Submitted through Grants.gov only**

- **Due by July 22, 2016, 11:59 PM ET**

- **Changes in applicant, requested budget and reteaming are permitted prior to submission of the Full Application**
  - Change lead entity, revise the requested budget amount, or reteam (subrecipients, contractors or contributors to the Institute)
  - Applicants <u>must</u> provide <u>written notice</u> of its intent in advance of the Full Application due date by mail or email to <u>jessica.strickler@nist.gov</u>

Full Applications must stand on their own and should not rely on information presented within a Pre-Application

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Today's Topics

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- **Suggested Next Steps**

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Common Questions

Cost Sharing?

- **At least 50% of the Institute funding must come from non-Federal cost share annually**
  - In-kind and cash contributions
  - It must be tangible, meaningful, and substantial enough in the aggregate to signal strong and committed industry, regional, and local partnership.
  - Weighted preference will be given to applications that provide greater than 1:1 cost share of funds in the proposed budget.
- **Each type of cost-share has its own merits and uncertainties**
- **Resources**
  - Cost Share Components and Contributors – suggested template that could be used to document both anticipated and committed cost share
  - Guidance on Merits and Uncertainties of Cost Share - provides guidance of the various risks associated with different types of cost share. These risks may affect the cost share assessment. Intended to assist applicants for their own analysis of cost share.

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Common Questions

<u>Ineligible Topics and Alignment with Other NNMI Institutes?</u>

- **Any area of advanced manufacturing will be considered so long as it does not duplicate or overlap the technical scope and programs:**
  - Of other federally funded Institutes within the National Network for Manufacturing Innovation (NNMI), or
  - The technical focus area(s) that are identified within any in-progress Institute(s) funding opportunity announcement led by another federal agency

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Common Questions

Ineligible Topics and Alignment with Other NNMI Institutes (cont'd)?

- **Request for Information (RFI's) are underway by DoD and/or DOE to help identify the topics for future NNMI Institutes**
    - These topics identified are not considered "ineligible topics"
    - One or more of these topics may be the subject(s) of a soon to be announced competition
- **Should a new funding opportunity be announced while this competition is in progress, applications within these areas may be considered "ineligible". Applicants will be notified ASAP so that they have time to re-direct their efforts if they so choose**
- **See manufacturing.gov/funding/ for information on the current Institutes and for funding competitions in-progress**

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Common Questions

What is meant by the phrase "Benefits that Extend Beyond the Direct Return to Participants"?

- **May fall across a range of categories including, but not limited to:**
  - scientific and technical
  - economic,
  - education and training,
  - national security,
  - Jobs (specifically mentioned in RAMI – Section (d).(4).(E))

- **FFO: Pre-Application criterion #1 and associated sub-criteria 1.a and 1.b (Section V, pgs. 35-37 of the FFO) and Full Application criterion 1.b (Section V, pgs. 42-43)**

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Is There an Upper Limit to Our First Year Funding Request?

- **No, however, there is likely to be a practical limit**
  - Based on the experience of the other NNMI Institutes the needed start-up time and money varies depending on the readiness level of the lead organization

- **The proposed budget should be appropriate for completing Institute startup and matched to the lead's pre-existing level of readiness**
  - By matching budget to the readiness level for the startup phase, it preserves federal and cost sharing funds for the Institute's ongoing operations.
  - A notional range of Federal funds that may be needed for startup may be $1 million to $8 million.

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Common Questions

Notional Multi-year Budget (Example)

Performance Period	Period 1*	Period 2#	Period 3	Period 4	Period 5	Total
Institute Phase	Startup*	Ongoing Institute Operations				
Example 1						
Gov't Funding	$ 12.0	$ 18.0	$ 16.0	$ 14.0	$ 10.0	$ 70
Cost Sharing†	$ 12.0	$ 18.0	$ 16.0	$ 14.0	$ 10.0	$ 70
Total Institute Funding						$140
Example 2						
Gov't Funding	$ 8.0	$ 18.0	$ 16.0	$ 14.5	$ 13.5	$ 70
Cost Sharing†	$ 8.0	$ 18.0	$ 16.0	$ 14.5	$ 13.5	$ 70
Total Institute Funding						$140

* Startup Phase (up to 12 calendar months)
 # First full period of operations (could be greater than 12 months)
† Minimum for eligibility, met annually

- **Startup Phase, 1st performance period, may take up to 12 calendar months depending on the applicant's pre-existing level of readiness**
- **Ongoing Institute Operations begin in 2nd performance period, which may be 12 months or more, depending on the duration of Period 1**

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Common Questions

How Should I Include Foreign or Federal (& FFRDC) Participation?

- **Pre-Award.** Foreign organizations (if organized and operated in the U.S.), Federal Labs, and FFRDCs may be included in a team or consortium as an unfunded collaborator

- **Post-Award.**
  - On a case-by-case basis majority foreign-owned or foreign-controlled entities organized and operated in the U.S. may be allowed as subrecipients or contractors based on the unique and specific needs of the Institute.
  - FFRDCs may be allowed as subrecipients or contractors, based on the unique and specific needs of the Institute, subject to the provisions of FAR 35.017-1.

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Common Questions (vertical text, left margin)

Cooperative Agreement - What is Meant by "Substantial Involvement"?

- **Term applies to Cooperative Agreements and relationship between the Federal sponsor and the award recipient**

- **In NNMI, "Substantial Involvement" includes:**
  - NIST collaborating with the Institute leadership:
    - NIST Grants team
    - NIST Advanced Manufacturing Office
    - NIST technical staff
  - Envisioned collaborations and partnerships that develop between the funded Institute and federal agencies, including NIST

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Common Questions

Are Multiple Proposals in the Same Topic Needed before NIST will Determine the Topic is Appropriate for a NNMI Institute?

- No. The NIST open-topic competition uses evaluation criteria that are agnostic to any one specific focus area or topic. Thus for an application to have merit, it must stand on its own against those criteria.

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Common Questions

<u>Am I required to establish a new organization to propose and operate a NNMI Institute?</u>

- **No. The applicant must present their vision of how the Institute should be optimally structured and operate.**

- **It is important for the applicant to demonstrate**

    "How the Institute and organization will be an independent, neutral, and nonbiased entity able to coordinate and convene a broad range of stakeholders, including small and medium-sized enterprises (SMEs),…"

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Common Questions

The Competition website has an extensive library of FAQs

- Evergreen document and recently updated

- Visit http://www.nist.gov/amo/upload/NNMI2016FAQ.pdf

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Competition Resources– *<u>All Applications</u>*

Available on the Competition Website

http://www.nist.gov/amo/nnmi/2016competition.cfm

- **How-To Instructions**
  - Submitting a Pre-Application
  - Getting a DUNS number
  - Getting and Understanding the EIN
  - SAM Registration
  - Human Subject Regulations & Live Vertebrate Animals Care

- **Guidance**
  - Merits and Uncertainties of Cost Share
  - Notional Multiyear Budget Example

Available Resources

For Full Applications

- **Suggested Templates**
  - Annual Institute Plan (AIP)
  - 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**
  - Merits and Uncertainties of Cost Share
  - Notional Multiyear Budget Example
  - Budget Narrative

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Available Resources

Helpful Documents

- **Publications**
  - References
    - FFRDC's
    - Intellectual Property
    - Revitalize American Manufacturing and Innovation Act (RAMI), 15 U.S.C. § 278s – Network for Manufacturing Innovation, 2014

  - Reports
    - NNMI Program Annual Report & Strategic Plan (2016)
    - Accelerating U.S. Advanced Manufacturing (2014)
    - NNMI: A Preliminary Design (2013)
    - A National Strategic Plan for Advanced Manufacturing (2012)
    - Capturing Domestic Competitive Advantage In Advanced Manufacturing (2012)

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Available Resources

For Selected Awardees

- **Cooperative Agreements & Award Requirements**
  - Automated Standard Application for Payments (ASAP)
  - DOC Standard Terms and Conditions & Grants/Cooperative Agreement manuals
  - OMB Uniform Guidance 2 CFR Part 200

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Pre-Application Package

Next Steps

- **SF-424 Application Form**
  - Signed by an authorized representative of the institute
- **SF-424A, Budget Information - Non-Construction Programs**
  - A preliminary Rough Order of Magnitude (ROM) budget reflecting the anticipated expenses for an Institute award up to 5 years, considering all potential cost increases, including cost of living adjustments
- **Executive Summary / Abstract of Proposed Effort**
- **An Abbreviated Project Narrative**
  - A typed document of no more than 20 pages
- **Please follow the Pre-Application Instructions at the following link:**
  http://www.nist.gov/amo/upload/NNMI-Pre-Application-Instructions.pdf

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Two-Step Process

Step 1: Pre-Applications

2016 Competition

- FFO Published 2/19/2016
- Proposers' Day 3/8/2016
- Webinars to follow

Pre-Applications

- Due by 4/20/2016
- Evaluation & Selection in May 2016

Notifications

- On or about 5/23/2016
- Invitation to submit Full Application OR debriefing offered

Step 2: Full Applications

Full Applications

- Due by 7/22/2016
- Reteaming in Advance
- Evaluation July-Sept. 2016

Interviews & Negotiation

- Interviews in early Oct. 2016
- Negotiations likely Sept.-Dec. 2016
- Selection to follow

Awards-Startup

- Announcement & Notifications in Q1 CY 2017
- Institute Startup in Q1 CY 2017

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Full Application – Complete Submission

1. **Federal Forms: (Full set needed)**
   – 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 (if applicable)
   – Project/Performance Site Location(s)

2. **Technical Volume**
   – Executive Summary (one single-side page)
   – Table of Contents
   – Application Narrative
   – Annual Institute Plan (AIP)
   – Gantt Chart or Timeline

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Available Resources

Full Application – Complete Submission (cont'd)

3. **Table of Abbreviations and Acronyms**

4. **Bibliographic List of References**

5. **Compliance Matrix**

6. **Table of Funded Participants and Unfunded Collaborators**

7. **Table of Cost Share Components and Contributors**

8. **Resumes of Key Personnel**

9. **Letters of Commitment**

10. **Letters of Interest (optional)**

11. **Estimated Funding by Work Breakdown Structure (WBS)**

12. **Detailed Budget Table and Budget Narrative**

13. **Indirect Cost Rate Agreement (if established)**

14. **Data Management Plan (NOT to exceed 2 pages)**

Available Resources

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Next Steps

▪ **Website and Resources**

– Visit www.nist.gov/amo/nnmi/2016competition.cfm

– 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 or (301) 975-0404

▪ **Competition Timeline**

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Webinar II: Developing a Complete Budget

Next Steps

An information webinar on developing a complete budget will be held solely for applicants who have been invited to submit a Full Application

- **To be held in early June, 2016, tentatively week of June 6-10**
  - Details to be communicated to invited applicants at the time of Pre-Application selection notifications
- **Participation is not required and is not considered as part of the application review process**
- **Questions may be submitted to the competition address at nnmifund@nist.gov**

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Questions

Questions?

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Thank you

Thank you

The latest NIST NNMI updates can be found at:
www.nist.gov/amo and manufacturing.gov

Stay Connected via Twitter, NIST AMO Alerts, and LinkedIn

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Submit

Competition questions? Send an email to
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