



# The Advanced Manufacturing Technology Consortia (AMTech) Program and 2014 Federal Funding Opportunity

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## AMTech Informational Webinars August 7 & 14, 2014

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# Overview

## Both Dates

- An Overview of AMTech and the 2014 Funding Opportunity

## August 7<sup>th</sup>

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

## August 14<sup>th</sup>

- Responding to the FY 2014 Solicitation
- Preparing a Complete Application (Proposal)
- Budget and Administrative Documentation
- Grants.gov

## Both Dates

- Competition Resources and Next Steps

# What is AMTech?

## The Advanced Manufacturing Technology Consortia (AMTech) Program

Launched by NIST in FY 2013

- To incentivize the formation of and provide resources to industry-driven consortia
  - To support basic and applied research
  - On long-term, pre-competitive and enabling technology development
- For the U.S. manufacturing industry
- \$15M annual program



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

# How Will AMTech Work?

- FY 2014 AMTech Planning Awards will fund eligible applicants to create new or strengthen existing driven 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.
- When fully implemented, NIST envisions AMTech to offer funding in two broad areas: *Planning Awards* and *Project Awards*

# 2013 AMTech Competition Results

[www.nist.gov/amo/fundedawards.cfm](http://www.nist.gov/amo/fundedawards.cfm)

- **Nineteen (19) Planning Awards, totaling \$9 million**
  - 82 unique applications received
  - Applicants: 37 Academia / 42 Not-for-Profit / 1 State Gov't / 2 For-Profit
- **Consortia Characteristics**
  - 11 New
  - 8 Existing
  - 10 Academia
  - 9 Not-for-Profit
- **Crosscutting Technologies\* (# of efforts):**

Additive Manufacturing (1)	Advanced Forming & Joining Technologies (2)
Advanced Manufacturing & Testing Equipment (7)	Advanced Materials Design, Synthesis & Processing (2)
Advancing Sensing, Measurement & Process Control (1)	Biomanufacturing & Bioinformatics (1)
Flexible Electronics Manufacturing (1)	Sustainable Manufacturing (2)
Visualization, Informatics & Digital Manufacturing Technologies (2)	



# The 2014 AMTech Funding Opportunity

Grants.gov Funding Opportunity No. [2014-NIST-AMTECH-01](#)

## For FY 2014

- Applications (proposals) for Planning Awards only

## Funding Level & Instrument

- Total funding available: approx. \$5.6 M
- Award size: approx. \$250 k - \$500 k
- Grant or Cooperative Agreement

## Key Dates

- Solicitation released: July 30, 2014
- Complementary webinars: August 7 & 14, 2014
- Required Pre-Application due: September 5, 2014
- Pre-Applicants notified: September 24, 2014 (on or about)
- Full Application due: October 31, 2014
- Award Announcement: Q2, CY2015



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## Partnerships and Eligibility

- Collaborative partnerships that include broad participation by companies of all sizes, universities and government agencies to form an industry-driven 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 be applicants plus commercial organizations
- Commercial organizations may participate in teams as subrecipients, contractors or unfunded roles

## Competition Resources

- Visit the AMTech Website at <http://www.nist.gov/amo/>
- Direct Questions to [amtech@nist.gov](mailto:amtech@nist.gov)



# Overview for Today

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# Required Pre-Application

- Required Pre-Application due September 5, 2014 via [grants.gov](http://grants.gov)
- Contents:
  - SF-424
  - Abbreviated Proposal/Technical Narrative (4 pp.)
  - Considerations
    - Review of abbreviated technical narrative against Evaluation Criteria
    - Reflective of broad-based industry need
    - Complementary to NIST's advanced manufacturing programs
    - Complements, not duplicates current AMTech award portfolio and other Federal projects
- Response back to applicants by September 24, 2014
- Only those Pre-Applicants invited to propose will proceed with Full Applications

# Full Application Content

- *SF-424, 424A, 424B, CD-511, SF-LLL*
- Technical Proposal
- *Budget Narrative*
- *Indirect Cost Rate Agreement*
- *Resumes of Key Personnel*
- *Table of Funded Participants and Unfunded Collaborators*
- *Required Letters of Commitment*
- *Letters of Interest*

20 page limit, items in italics excluded from page limitation

# The 2014 AMTech Funding Opportunity Evaluation Criteria

*A. Identifying and Addressing  
Significant Technical Challenges  
with Substantive National Impacts*

**0-40 points**

*B. Consortium and/or Road-  
mapping Development Plan*

**0-40 points**

*C. Resource Availability and  
Qualifications*

**0-20 points**

# Technical Proposal Contents

- Executive Summary
- Table of Contents
- Discussion Against Criteria
  - Identifying and Addressing Significant Challenges with Substantive National Impact
    - 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'd)*

- 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'd)*

- 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

# Budget Narrative

- Required for applicant
- 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 Requirements**
  - Institutions of Higher learning, Non-profits, and Commercial Organizations: 15 CFR Part 14
  - State and Local Governments: 15 CFR Part 24
- **Cost Principles**
  - Commercial entities: 48 CFR Part 31
  - Institutions of Higher learning: 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)
- **Audit Requirements**
  - A-133 Compliance Supplement, as applicable

# The “OMNI” Circular

## What is it?

A circular that combines the Uniform Administrative Requirements, Cost Principles, and Audit requirements for Non-Profits, Institutions of Higher Learning, and State and Local Governments into one document rather than 8 different circulars.

## Why was it done?

To streamline the requirements, and to improve consistency in implementation for both recipients and government administrators of financial assistance awards.

## Where to go to learn more?

2 CFR Part 200

[http://www.whitehouse.gov/omb/grants\\_docs](http://www.whitehouse.gov/omb/grants_docs)

# Letters

- Required: Letters of Commitment
  - From each known proposed subrecipient and/or contractor organization (all funded 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
    - May indicate an interest in participating as an unfunded collaborator



# Team Composition

Team can consist of:

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

Eligibility for subrecipients, contractors and collaborators is broader than for applicant.

# Participant Types

- **Subrecipients - Receive funds to perform significant project-related tasks**
  - Can be any eligible U.S. organization, including commercial organizations, 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

## Subrecipient

- 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.

# Application 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
  - Table of Participants and Collaborators
  - Bibliographies and Tables of Abbreviations
  - Human and Animal Subject Documentation (if applicable)

- Electronic submission using Grants.gov is **required** for AMTech Pre-Applications and Full Applications
  - Announcement 2014-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!
- Be mindful of electronic file naming conventions
- Successful submission notification takes several hours. Initial receipt notification is **NOT** notification of acceptance.



# Contact During Proposal Evaluation

- Applicants may be contacted during the application review process
- Additional information requests during 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/contractors
  - 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
- Does not differentiate current proposal from existing AMTech awards
- Incomplete proposal/Missing documents
- Failure to submit by the proposal deadline via [grants.gov](https://www.grants.gov)
- Ineligible applicant

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# Questions



# Wrap up and Thank you

- **Visit the AMTech website at: [www.nist.gov/amo](http://www.nist.gov/amo)**
  - ✓ *View FAQs and webinar recordings and slides*
  - ✓ *Join AMTech's LinkedIn Group*
- **Email questions to: [amtech@nist.gov](mailto:amtech@nist.gov)**
- **Key dates to remember:**
  - ✓ *September 5, 2014 – Required Pre-Application through grants.gov (only)*
  - ✓ *September 24, 2014 (on or about) – Pre-Applicants selection notification*
  - ✓ **October 31, 2014 - Full Application due through Grants.gov (only)**
- **Complete a brief AMTech webinar survey at the conclusion of today's event. Thank you!**