2016 NIST NNMI Institute Competition

NNMI: The Power To America

Administrative and Award Requirements

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Administrative and Award Requirements

- **Grants Office and the NIST Advanced Manufacturing Office (AMO) are two distinct organizations at NIST with differing regulations governing operations**

- **Transparency regarding NNMI pre-application and application process to assist applicants navigating the Federal granting system**

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Administrative and Award Requirements

- **The Available Federal Award**
  - Funding Availability and Period
  - Startup Phase and Multiyear Funding with Renewal Option
  - NNMI Network Meetings
  - Indirect Costs
- **Eligibility Considerations - as Required by the FFO**
  - Applicants, Subrecipients, Contractors and Unfunded Collaborators
  - Cost-sharing or Matching
  - Decreasing Federal Funds
- **Submissions and Requirements**
  - Pre-Application Package
  - Full Application Submissions
- **Awards**
  - Reporting Requirements
  - Audit Requirements
  - Award Rules and Regulations
- **Summary and Contact Information**

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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

- **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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- **Kick-Off Conference**
  - Each awardee will be required to attend a 1-2 day kick-off conference held at the beginning of the award period (location to be determined)
  - Year 1 budget should reflect costs associated with all key personnel attending the meeting

- **Networking Meetings**
  - Semi-annual basis to share best practices, new and emerging trends and additional topics of interest
  - Budget should reflect associated relevant costs

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Administrative and Award Requirements

- **NIST will reimburse applicants for proposed indirect (F&A) costs in accordance with 2 C.F.R. § 200.414**

- **Applicants requesting indirect costs who have an approved indirect rate agreement from a cognizant Federal audit agency are to provide a copy with the application**

- **If no established indirect cost rate, the applicant will be required to obtain one in accordance with the Department of Commerce Financial Assistance Standard Terms and Conditions, available at: http://go.usa.gov/hKbj**

- **Alternatively, applicants that have never received a negotiated indirect cost rate may choose to use a de minimis rate of 10 percent of modified total direct costs (MTDC), in which case a negotiated indirect cost rate agreement is not required**

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Eligibility for the NNMI Program

- **Eligible applicants and subrecipients are:**
  - 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 applicants and subrecipients at the application phase are:**
  - Federal Agencies
  - Federally Funded Research and Development Centers (FFRDCs)
  - Majority foreign-owned or foreign-controlled organizations

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Additional Eligibility Considerations

- **Majority foreign-owned or foreign-controlled organizations that are organized and operated in the U.S.:**
  - May be initially included in a team or consortium application as an unfunded collaborator
  - Or at post-award, may be included on a case-by-case basis with NIST approval as a subawardee or contractor

- **FFRDCs and Federal Agencies:**
  - Allowed as subrecipients or contractors for post-award, but may not be included at the time of application
  - Institutes are encouraged to utilize federal entities to support program goals

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Additional Eligibility Information

- **Work Location**
  - Work is expected to be performed within the U.S.; however, specific work outside the U.S. may be permitted on a case-by-case basis

- **Applicants must have a SAM.gov registration, a DUNS number and be registered in Grants.gov (register early)**
  - Below are the websites to register for:
    - DUNS number:
      - http://fedgov.dnb.com/webform/displayHomePage.do
    - SAM.gov registration:
      - https://www.sam.gov/portal/SAM/#1
    - Grants.gov Registration:
      - http://www.grants.gov/web/grants/register.html
      - Pre-Applications due April 20, 2016 at 11:59 pm (ET)

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Cost-Sharing or Matching (Eligibility Only)

- **An Institute's budget and plan to achieve sustainability will:**
  - maintain at least a 50% cost-share on a per year basis from non-federal sources over the lifetime of the award
  - include realistic strategies to increase revenue in the later years of the award period to ensure financial self-sufficiency
  - All cost-sharing must comply with the requirements in 2 C.F.R. §200.306 and DOC Financial Assistance Standard Terms and Conditions

- **Acceptable sources of cost-share include:**
  - Cash contributions from non-federal source
  - Third party-in-kind contributions from non-federal sources

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- **The amount of financial assistance provided will decrease after the 2nd year of funding**

- **It will continue to decrease thereafter in each year in which financial assistance is provided to the Institute**

- **The goal is for the NNMI Institute to be independent and to function without NIST NNMI Federal assistance within 5 to 7 years of when financial assistance to the Institute is first awarded**

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Notional Funding – Example (in millions)

Performance Period	Period 1*	Period 2#	Period 3	Period 4	Period 5	Total
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

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Administrative and Award Requirements

- **Application for the NNMI institute award can only be submitted through Grants.gov**

  - NIST will not accept applications submitted via email or regular mail
  - Application forms are available at: http://www.grants.gov/web/grants/forms.html

- **Applicants should ensure their registration with Grants.gov* is current. See page 33 of the FFO for more detailed information**

  http://www.grants.gov/web/grants/applicants/organization-registration.html

- **Additional guidance at the links below:**

  - http://www.grants.gov/web/grants/applicants/apply-for-grants.html
  - http://www.grants.gov/web/grants/applicants/applicant-tools-and-tips.html

  *Best to establish as soon as possible

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Pre-Application Package

- **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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Full Application Submissions

- **Applicants who are permitted to submit a full application are those whose:**
  - Pre-Application selected by NIST, and
  - Have been invited by NIST to submit a Full Application
- **NIST will return Full Applications without review submitted by:**
  - Applicants whose Pre-Applications were not selected during the Pre-application Phase
  - Applicants who did not submit a Pre-Application
- **See Section IV.3.a for list of required documents for Full Application phase on the Federal Funding Opportunity (FFO)**

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Reporting Requirements

- **Required reports:**
  - Financial Reports (SF425)
  - Performance Reports
  - Annual Report to Secretary of Commerce (see RAMI)

- **Submitted on a quarterly basis to NIST Federal Program Officer, Grants Officer and Grants Specialist**

Reporting Period End Dates	Submission Deadlines (within 30 days)
March 31th	April 30th
June 30th	July 30th
September 30th	October 30th
December 31th	January 30th

- **Closeout Reporting Requirements**
  - Final Performance Report
  - Final Financial Report
  - Patent Report

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- **Any non-Federal entity (i.e. non-profit institutions of higher education and other non-profit organizations) that expends Federal awards of $750,000 or more in the recipient's fiscal year must conduct a single or program-specific audit**

  – Outlined in 2 C.F.R. Part 200, Subpart F

- **For-profit entities must comply the audit requirements specified in the Department of Commerce Financial Assistance Standard Terms and Conditions, dated December 26, 2014**

  – These terms and conditions are accessible at http://go.usa.gov/hKbj

- **Recipients should budget for audit costs as necessary**

- **Recipients are responsible for all subrecipient regulatory compliance**

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Award Rules and Regulations

- **2 C.F.R. 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards**

- **DOC Financial Assistance Standard Terms and Conditions dated December 26, 2014**

- **DOC Pre-Award Notification Requirements**

- **DOC Grants and Cooperative Agreements Manual, March 2013**

- **Special Award Conditions Listed in Award Package**

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Administrative and Award Requirements

- **Applicants should:**
  - Check eligibility requirements
  - Have a DUNS Number
  - Be registered on SAM.gov
  - Be registered on grants.gov
- **For any grants-related questions, please contact:**
  - Husai Rahman, Grants Officer
  - E-mail: Husai.Rahman@nist.gov
  - Phone #: 301-975-0404
- **For any questions related to grants.gov, please contact:**
  - Christopher Hunton, Management and Program Analyst
  - E-mail: Christopher.Hunton@nist.gov
  - Phone #: 301-975-5718

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Developing a Complete Budget Webinar

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 <u>nnmifund@nist.gov</u>**

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Thank you

For questions or comments please contact

Husai Rahman at Husai.rahman@nist.gov

or

nnmifund@nist.gov

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Proposers' Day, March 8, 2016

Important Highlights

- **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**

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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