2016 NIST NNMI Institute Competition

NNMI: The Power To Compete

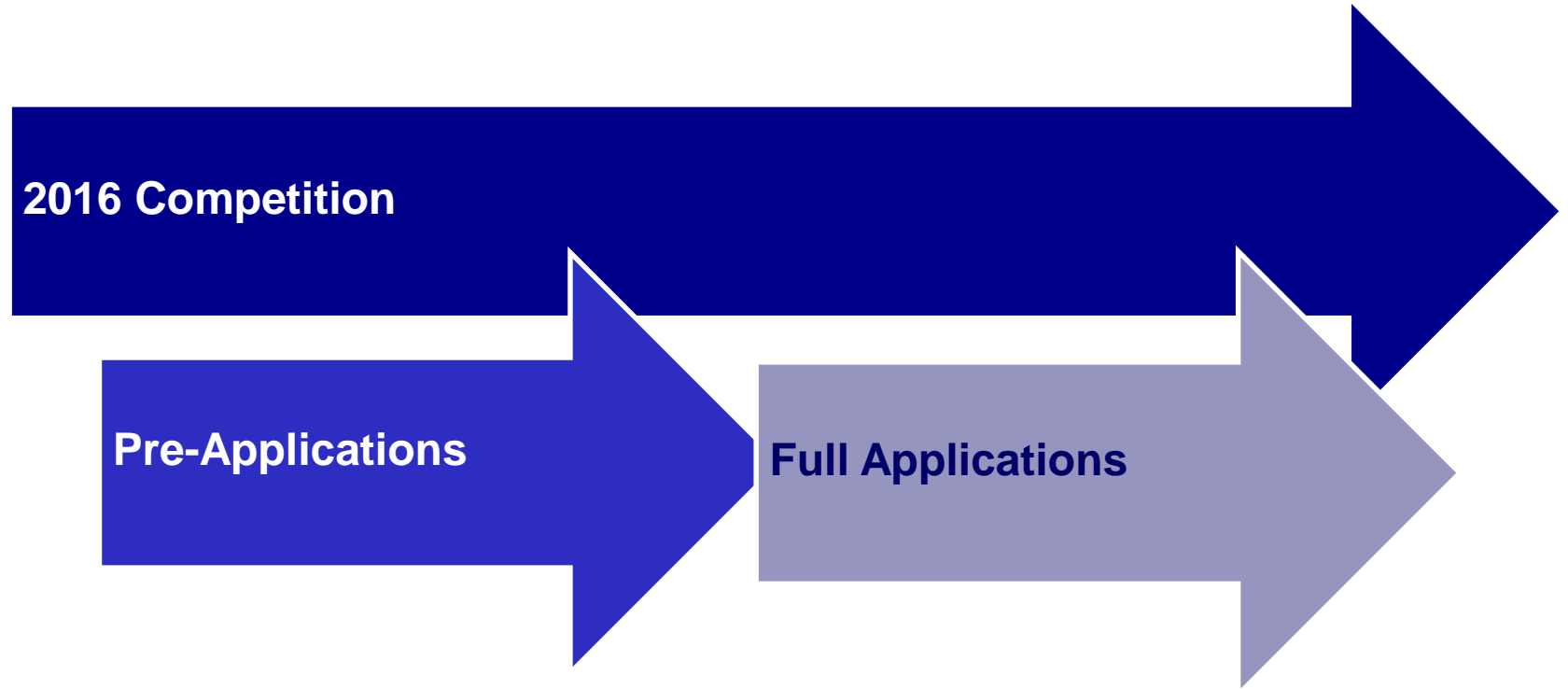*Elements of a Complete and Competitive Application*

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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

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<u>Pre-Application</u> – Complete Submission (cont'd)

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

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- **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

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Full Application – Complete Submission

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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)

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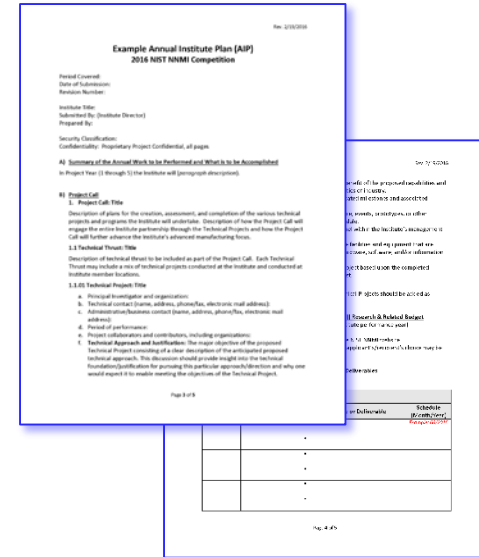
2. **Technical Volume**

    – <u>Executive Summary</u> (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

    – <u>Table of Contents</u>

    – <u>Application Narrative</u>

      • Description of the proposed NNMI Institute

      • Address evaluation criteria in Section V.1.b for FFO (pages 41 – 55)

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2. Technical Volume (cont'd)

– <u>Annual Institute Plan</u> – 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

– <u>Gantt chart or Timeline</u>

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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

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Full Application – Complete Submission (cont'd)

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

Full Application – Complete Submission (cont'd)

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

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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

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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

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Application Page Limits – What Counts? (cont'd)

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- **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

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- **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

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- **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!

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- **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

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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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