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Development
Services Agency

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Edison Advanced Manufacturing Program (AMP)

2016 Request for Proposals (RFP)

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RFP Administered by:

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Edison Advanced Manufacturing Program (AMP)

2016

Request for Proposals (RFP)

1 Statement of Solicitation

1.1 Overview

AMP is a competitive grant program to support the adoption and extension of, or assistance with, existing advanced manufacturing technologies to Ohio manufacturers, particularly small and medium-sized firms aligned and collaborating with an Edison Center or other eligible nonprofit entities, such as Ohio universities, that are in the business of providing collaboration around, access to, use of or adoption assistance with such advanced manufacturing technologies.

1.2 Background

The Thomas Edison Program is one of the longest active tech-based economic development initiatives in the country. It was developed in 1983 to combat the decline of the manufacturing sector by promoting the development and implementation of new technologies for products and production. In recent years, funding from the State of Ohio has focused on the support of Edison Technology Centers, Edison Technology Incubators and the Ohio Manufacturing Extension Partnership (MEP), which is a funded partner of the federal National Institute of Standards and Technology Manufacturing Extension Partnership Program. In FY 2013, a decision was made to align the Edison Technology Incubators, an activity that has supported entrepreneurial start-ups, with the strategy and funding of Ohio Third Frontier, and to focus the funding of the Thomas Edison Program more on specialized assistance to Ohio's established base of manufacturing companies. To that end, the Edison Advanced Manufacturing Program (AMP or Program) is again being offered as a competitive grant program to encourage new advanced manufacturing project and service activity in support of this important sector of the state's economy. The funding being provided is to support proposals from existing Edison Technology Centers and other qualified Ohio nonprofit organizations with demonstrated capabilities to deliver value-added advanced manufacturing assistance.

1.3 Request for Proposals Issuance

This Request for Proposals (RFP) is being issued for funds to be awarded under purview of the Ohio Development Services Agency (DSA). DSA reserves the right to fund any proposal in full or in part, to request additional information to assist in the review process, to reject any or all proposals responding to this RFP and to re-issue the RFP and accept new proposals if the Director of the Ohio Development Services Agency (Director) determines that doing so is in the best interests of the state of Ohio. Issuing this RFP does not bind DSA to make an award of Program funds. Any award of Program funds in respect to this RFP will be subject to availability of funds as provided in Ohio Revised Code Section 126.07. This RFP is not a contract or commitment of any kind on behalf of DSA.

DSA administers this RFP and reserves the right to adjust the dates for this RFP for whatever reason it deems appropriate. DSA's Office of Small Business & Entrepreneurship will administer all funds awarded under this RFP.

1.4 The RFP Process and Awards Process

The RFP Process will consist of the following steps:

- Release of the RFP
- Questions and Answers (Q&A). DSA will provide public responses to any questions that are submitted to AMP@development.ohio.gov
- Preliminary Proposal – The Preliminary Proposal must name the Lead Applicant (as defined in Section 2.2 of this RFP) and all intended collaborators, estimate the project's total cash costs over a period not to exceed 24 months, identify what will be accomplished with Program funds, and provide an overview of those items covered in section 3.3 of this RFP within a maximum of two pages.
- Preliminary Proposal feedback will be sent to the Lead Applicants stating DSA's level of interest in receiving a full proposal and noting any recommendations or concerns. The Lead Applicant will also have the opportunity for a brief phone call to discuss the written feedback.
- Full Proposals will provide further information on all of the Preliminary Proposal elements and additional information on collaborators, cost share by organization, Lead Applicant's legal history and financial condition as shown in [Appendix B – Financial Liability and Legal History](#) of this RFP.

Each of these steps is discussed in [Appendix A – RFP Process, Awards Process and Mandatory Compliance](#).

The Awards Process will consist of the following steps:

- Preliminary Proposal review and evaluation

- Preliminary Proposal feedback and recommendations
- Full Proposal submission
- Review of Full Proposal, including Appendix B information
- Award and agreement preparation and execution

Each of these steps is discussed in **Appendix A – RFP Process, Awards Process and Mandatory Compliance**.

All questions regarding this RFP must be submitted via email to AMP@development.ohio.gov with a subject line of “AMP Programs Q&A”.

2 Program Description

2.1 Goals and Objectives

The projects must:

1. Provide an advanced manufacturing technology-based competitive advantage for for-profit, Ohio manufacturers and their Ohio operations;
2. Lead to lower cost or product differentiation in the Ohio operations of the for-profit Ohio manufacturers;
3. Have an impact on multiple Ohio firms, as opposed to a one-off, company-specific impact in Ohio; and
4. Have the resources and capabilities to be a self-sustaining function after grant funding and cost share has been expended.

Advanced manufacturing projects supported through this Program must assist Ohio firms to achieve earlier entrance to market, faster responses to changing customer needs, consistently higher quality products and/or improved efficiencies, quantities, consistency and reliability. The primary objective of the program is to support small to medium manufacturers with a successful operating history, clear market focus and strong prospects for sales growth and job creation. However, projects that have the ability to provide an at-risk segment of Ohio’s manufacturing industry with technology and services that are demonstrably transformational will also be considered.

Advanced manufacturing, for the purposes of this solicitation, includes the following:

- Functions

- Processing, fabrication and assembly
- Automated material handling
- Design and engineering
- Inspection and communications
- Manufacturing information systems
- Integration and control

- Methods and Technology
 - Advanced sensing, measuring and process control
 - Advanced material design and synthesis, including nanomaterials, metamaterials, metals, coatings or ceramics
 - Information technologies to include visualization, virtual and digital design, prototyping and manufacturing
 - Sustainable manufacturing
 - Nano-manufacturing
 - Additive manufacturing
 - Robotics
 - Advanced forming and joining/bonding technologies
 - Traditional hardware technology consisting of systems and devices
 - Software regarded as: Design and / or Management Systems

The fundable activities under this program can include:

1. Implementation of a new (but market tested) service activity with the purpose of providing access to or deploying an advanced manufacturing technology capability to a defined client base made up of multiple for-profit Ohio manufacturing companies. Such an activity would have the goal of becoming a sustainable business function of the organization beyond the project period.
2. Discrete projects involving two or more manufacturers that will lead to new product manufacturing or improvements in manufacturing operations. Ideally, some aspect of the project would have transferability to companies beyond those initially involved in the project.

Activities not eligible under this Program include basic or applied research and development activities; development of new, heretofore unproven advanced

manufacturing technology; planning, development or pilot service activities; and the acquisition of real-estate, basic renovations or construction of a basic facility shell. The support of established core business functions or expansion of existing projects are also not eligible.

2.2 Lead Applicant

A Lead Applicant is the entity that submits a proposal and will be legally and financially responsible for the administration of any resulting award of funds. The Lead Applicant will be responsible for the administration of the project should it be awarded.

A project may involve a single eligible nonprofit or collaboration among multiple organizations. In all cases, a project must have the participation of two or more for-profit Ohio manufacturers.

The two or more Ohio for-profit companies must: (i) be licensed to do business in Ohio; (ii) have a principal place of business in Ohio; and (iii) be actively engaged in post-revenue design, development, production, service or manufacturing operations in Ohio, based in advanced technology and with established product or service lines in the market. This Program is not intended to support asset acquisition for start-up companies.

A principal place of business is a facility located in the state of Ohio where an entity, who is registered with the Secretary of State to conduct business in Ohio, maintains physical operations managed by a senior representative who is authorized to make decisions and to obligate the entity and its resources. This facility must be owned by the entity or be subject to a long-term lease.

Lead Applicants that receive awards and become grantees must maintain eligibility while the grant is open including the Post-Reporting Period (as defined in Section 2.4 of this RFP). A grantee that loses eligibility forfeits its award and may be required to repay the state of Ohio the full amount of the monies it has received, plus interest.

2.3 Funding

The Program is offering single awards, typically in the amount of \$250,000-\$500,000. In addition, multiple awards may be made to a single Lead Applicant. Cost share, both cash and in-kind, is required in a ratio of 1:1 (state: non-state) with at least half of the cost share commitment provided by for-

profit collaborators or clients in the project. Indirect costs are limited to no more than twenty percent (20%) of total operational costs.

2.4 Terms of Project

Project(s) must be completed within 24 months of funding.

The Post Reporting Period duration is 6 months after the end of the term of the grant.

3 General Proposal Requirements

3.1 General Instructions

Preliminary Proposal and full Proposals must be submitted in the following manner:

- Documents are to be submitted electronically in PDF format to AMP@development.ohio.gov with subject line “AMP Preliminary Proposal / Proposal Submission”.
- It is the Lead Applicant’s responsibility to ensure submission of a complete proposal based on all requirements of this RFP.
- Preliminary Proposal and Proposals are to be submitted on 8.5 x 11-inch page size.
- Margins must not be less than $\frac{3}{4}$ of an inch on all sides, with the exception of forms found in Appendix B – Application Forms and Budget Forms of this RFP.
- Font must be 12 point or larger with no more than six lines per inch.
- All pages must be numbered consecutively using the format “Page [#] of [total number of pages]” (e.g., Page 2 of 8).
- The proposal title and Lead Applicant name must appear at the bottom of each page.
- Preliminary Proposal and Proposals should not include color figures that cannot be understood when photocopied in black and white.
- The first page of the full Proposal must be the Application Information Page found in Appendix B – Application Forms to this RFP.

- Do not include a cover or cover letter other than the Application Information Page.

3.2 Trade Secret Information

In any proposal, Lead Applicants are strongly discouraged from including any information that the Lead Applicant considers a “trade secret,” as that term is defined in Section 1333.61(D) of the Ohio Revised Code. All information submitted in response to this RFP is public information unless a statutory exception exists that exempts it from public release under the Ohio Public Records Act in Section 149.43 of the Ohio Revised Code. If any information in the proposal is to be treated as a trade secret, the proposal must:

- Identify each and every occurrence of the information within the proposal with an asterisk before and after each line containing trade secret information and underline the trade secret information itself.
- Check the “This application does include information considered a ‘trade secret’” box on the Applicant Information Page.
- Include a page immediately after the Application Information Page that lists each page in the proposal that includes trade secret information and the number of occurrences of trade secret information on that page.

To determine what qualifies as trade secret information, refer to the definition of “trade secret” in the Ohio Revised Code at 1333.61(D), which is reproduced below for reference:

- (D) “Trade Secret” means information, including the whole or any portion or phase of any scientific or technical information, design, process, procedure, formula, pattern, compilation, program, device, method, technique or improvement, or any business information or plans, financial information, or listing of names, addresses or telephone numbers, that satisfies both of the following:
- (1) It derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
 - (2) It is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

DSA requires non-disclosure agreements from all non-DSA persons who may have access to proposals containing trade secret information, including evaluators.

3.3 Order and Content of the Preliminary Proposal

The Preliminary Proposal shall be up to 2 pages long. The following items should be summarized in the Preliminary Proposal:

- Application Information Page found in Appendix B – Application Forms to this RFP.
- Project summary, specific outcomes and budget
 - What is the specific problem solved / opportunity captured?
 - Describe the maturity of the proposed technology or service
 - Will Intellectual property be created?
- Need for this investment
 - What is the uniqueness / value / ability to positively impact multiple Ohio entities?
 - Who is your anticipated competition - from local to global? How mature is the competition?
 - What is the alignment with state and local initiatives?
- Team & background / accomplishments, including anticipated partners
- Projected economic impacts
 - What industry sector will be impacted? What is that sector's current size and state wide distribution?
 - What are the resulting sales and jobs created or retained?
 - How will economic impacts be measured?
- Plan for long term financial sustainability / viability, including how could / will the project outcome be transferred to multiple Ohio entities.
- Major assumptions / uncertainties

3.4 Order and Content of Full Proposal

3.4.1 Application Information Page

The first page of the full Proposal must be the completed Applicant Information Page found in Appendix B – Application Forms to this RFP.

3.4.2 Table of Contents

Prepare a table of contents with detail for two levels of headings in the proposal. This section should also include a list of charts, figures and tables that appear in the proposal with a page number for each.

3.4.3 Trade Secret Information

This section of the proposal must disclose any trade secret information included in the proposal and is only required to be included if there is any information to be treated as a trade secret in the proposal. Follow the instructions in Section 3.2 of this RFP.

3.4.4 Lead Applicant and Collaborator Information

Complete and include the Lead Applicant Contact Information Page found in Appendix B – Lead Applicant Contact Information to this RFP. One individual may serve in more than one capacity.

Complete and include the Collaborator Information Form for each collaborator. Include the lead individual for each collaborator on this form.

3.4.5 Abstract

Prepare an abstract summarizing the proposed project and its expected commercial and economic development outcomes. This section will be used in public documents, including press releases, and must be understandable by the general public. It should minimize use of jargon and technical language and be written so that a non-technical person can understand it. The abstract may not contain any trade secret information.

3.4.6 Proposal Narrative

The Proposal Narrative should address all of the following items in the order presented:

Problem Statement. Identify the specific for-profit manufacturers or defined manufacturing segment to be involved in the project. Describe the technical or operational challenges to be addressed in the proposed project and why

the solution will increase the likelihood of successfully achieving product manufacturing or improved manufacturing operations. Provide evidence that the Lead Applicant accurately understands the eventual customer needs and performance requirements as well as the market demand for the solution provided by the project. Clearly describe the need for this investment. How will the outcome provide a new opportunity for Ohio companies?

Project Goals and Objectives. Clearly state the goals and objectives of the proposed project. The goals must include expectations for near-term product manufacturing or improved manufacturing operations.

Technical Approach, Work Plan and Team. Discuss the overall activities that are proposed in order to meet the project's goals and objectives. Specify in detail how and by what methodologies the technical or operational barriers will be overcome. Provide a Gantt chart that clearly depicts the schedule for and interaction of major tasks and milestones.

Discuss the composition and specific relevant experience of the team that has been organized, the roles of team members and the management structure that will be used to conduct the project.

Maturity of the Technology/Market Acceptance/Competition. Provide evidence that the technology or methodology being advanced by the project is sound, relevant and mature enough to generate near-term product manufacturing or improved manufacturing operations and will support not only near-term for-profit jobs and economic impacts, but also has the potential to sustain them and continuously achieve additional such activity and impacts going forward. Describe the anticipated competition from local to global and address the maturity of that competition.

Projected Economic Impacts. The projected impacts section should describe the importance and relevancy of the project and who, especially among Ohio companies, is collaborating on the project and what this collaboration will mean to the companies in the way of new product manufacturing or improved manufacturing operations and added employment. Information should be provided describing the specific industry segment, size and distribution in Ohio, companies to be served, and the importance to the Ohio economy in terms of jobs and potential for future growth. This section should also project what the specific success metrics and leverage of the proposed project will be beyond just the initial award. Finally, describe the approach for measuring actual economic impact.

Financial Sustainability. For discrete projects, sustainability should be described in terms of the ability of participating companies to acquire the

resources necessary to accomplish and sustain the successful implementation of the technological or operational solution and, where applicable, what plans are in place for further transfer of the technological or operational solution to other Ohio firms not initially involved in the project.

For service activities, sustainability should be described in terms of the ability to transform the initial work done during the project period into an active and growing business function, with projections on the number of Ohio users and revenues that are expected to be generated from the ongoing service activity.

For all proposals, include a marketing and / or sales plan for the product or service.

Intellectual Property. The state wishes to begin tracking Intellectual Property that results from AMP investments. State if this project is expected to generate Intellectual property. If so, provide a brief plan for tracking inventions, patents and the associated expenses and revenues. Future AMP awards may consider net IP returns to offset or augment state funding.

Major Assumptions and Uncertainties. List major assumptions that must be validated and uncertainties / risks that must be addressed for the project to be successful.

3.4.7 Budget & Financial Disclosure

The budget must clearly describe all sources and uses of funds for the proposed project.

Cost Share Requirements: Cost share, both cash and in-kind, is required in a ratio of 1:1 with at least half of the required cost share from Ohio industry.

Indirect Costs: Indirect costs are capped at 20 percent of total operational costs.

Budget Forms and Narrative: A Lead Applicant must use the following Budget Forms, which are also contained in Appendix B – Budget Forms of this RFP.

Budget Form 1 is to be used by the Lead Applicant. The total Program funds requested in the proposal must be represented on this form as the grant amounts that will be used by the Lead Applicant and any collaborators. The subcontract/sub-grant line, if needed, on this form refers to any AMP Program funds provided to collaborators under the Lead Applicant's proposal.

Budget Form 2 describes information that will be discussed in person or by phone with the Lead Applicant. This discussion will be used by the evaluators to assess the financial strength of the Lead Applicant.

Budget Form 3 is to be completed for each collaborator and reflects only that collaborator's use of Program funds or contribution of cost share.

A detailed budget narrative must also be included covering an explanation of the costs for both the Program Funds requested and cost share committed.

3.4.8 Letters of Commitment

A letter of commitment must be provided for each collaborator identified on a Budget Form 3. Letters of commitment may not be more than two pages and may not include appendices or attachments.

The letters must:

- Be submitted on the letterhead of the collaborator;
- Include the name of the Lead Applicant and the title of the proposal;
- Briefly state the nature and duration of the collaboration;
- State the specific amount of the cost share commitment that matches the cost share amount on the corresponding Budget Form 3;
- State the source of the cost share;
- If applicable, state any other resources, other than cost share, the collaborator is committing; and
- Be dated and signed by a representative of the collaborator with the authority to make the cost share commitment.

General support letters from any person or organization other than a collaborator are not allowed. Any such letters submitted will be removed from the proposal and not transmitted to the external evaluation team.

3.4.9 Page Limitations

Any pages beyond the page limits listed below will be eliminated from the proposal before it is sent for review and evaluation. Except as otherwise noted, appendices or other methods to augment the information presented in the proposal are not allowed. Reference to web-based information to supplement the proposal is not permitted, and such references will not be considered in the evaluation.

- Preliminary Proposal – two pages

- Proposal Narrative – 12 pages
- Budget– Use specified forms
- Budget Narrative – Minimum of one and maximum of four pages total
- Letters of Commitment – No more than two pages per letter

4 Evaluation Criteria

Only the most meritorious proposals are sought for funding. Proposals will be evaluated based on responsiveness to all the requirements of this RFP and on the Lead Applicant’s response to any additional information that may be requested. Implicit in those requirements and evaluation criteria is the quality of the proposal and budget. If a proposal receives a negative review from the third-party evaluator, any opportunity to revise and resubmit the proposal will be at DSA’s discretion. The following criteria have been designated with the highest relevance to and weighting:

- Alignment of the proposal with the purpose, goals, objectives, eligibility and funding requirements as described in this RFP.
- Quality of the responses to the requirements of this RFP as outlined in the proposal narrative. The following specific elements of the work plan will be examined:
 - Degree to which the proposed project will have an impact on multiple Ohio manufacturers as opposed to company-specific impacts;
 - Degree to which the proposed project represents a competitive advantage for Ohio companies;
 - Degree to which the experience and organization of the project team and project work plan reflect the ability to achieve project success;
 - Degree to which applicant demonstrates the soundness, relevance and maturity of the technology or methodology supported by the proposed project to drive near-term product manufacturing or improved manufacturing operations; and
 - Degree to which the applicant defines realistic and justified metrics for jobs and sales growth to be generated by the project and, in the case of service activities, projections of future clients and revenues.

This includes a realistic plan to measure the resulting economic outcomes.

- Degree to which proposal meets the specific cost share requirements.
- Financial strength of the Lead Applicant.
- The budget forms and narrative accurately present the use of funds and other cost share by budget category for the Lead Applicant and the collaborators and the use of the state funds aligns with the program objectives.
- The Lead Applicant is capable of managing the grant funds, as well as providing the supporting environment to carry out the project.
- Compliance with this RFP's administrative requirements.

5 APPENDICES

A. RFP Process, Awards Process and Mandatory Compliance

B. Application Forms and Budget Forms