

Advanced Manufacturing Technology Transfer Centers (AM-TTC)

## Guideline for the Application Process for Funding

### 1 General information

It is planned to establish a network of Advanced Manufacturing Technology Transfer Centers (AM-TTC) in Switzerland. The network of technology transfer centers will be coordinated by an association, the AM-TTC Alliance, as governing body of the network of centers (hereinafter called "*Alliance*"). The board of directors of the *Alliance* will consist of science representatives as well as industry representatives.

In spring 2018, the ETH Board granted CHF 10 million to support the AM-TTC initiative and to enable the establishment of first centers already in the **first pilot phase** in 2019 and 2020. For the following **second phase** from 2021 to 2024, such technology transfer centers (hereinafter called "*Centers*") can apply for federal funding under Art. 15 RIPA (Federal Act on the Promotion of Research and Innovation).

In this document, you will find important information and deadlines for the preparation and submission of applications of *Centers* to become a member of the AM-TTC network and to apply for funds of the ETH Board for the period 2019/2020 (first pilot phase) as well as for federal funding under Art. 15 RIPA for the period 2021 to 2024 (second phase).

### 2 Decision processes and role of the *Alliance*

The *Centers* must prepare and submit proposal documents. These documents will be a key information for the evaluation of *Centers* according to the evaluation criteria for *Centers* that has been defined by the *Alliance* in a separate document and for the decisions about the financial support of the *Centers*. In the first pilot phase, the *Alliance* will decide about the funding of first *Centers*. For the second phase, the *Alliance* will be mandated by the State Secretariat for Education, Research and Innovation (SERI) to evaluate the proposal documents of the *Centers* that apply for federal funding under Art. 15 RIPA and to prepare funding recommendations for the SERI.

The *Centers* must submit their applications for federal funding for the second phase from 2021 to 2024 individually and directly to the SERI. According to the rules of Art. 15 RIPA, the application of each *Center* will be evaluated. This evaluation consists of a formal check by SERI and a (simplified) evaluation of the "package" of all *Center* applications together with the funding recommendations of the *Alliance* by the Swiss Science Council (SSC) on mandate of SERI (in the context of the evaluation of all submitted requests). The Federal Councilor of the Federal Department of Economic Affairs, Education and Research (EAER) will finally decide – upon proposal of SERI – about the financial support of a *Center* under Art. 15 RIPA individually and according to the general rules and the process that are defined in the RIPA.

### 3 Schedule

The application process and the deadlines follow the necessity to submit the formal funding proposals of the *Centers* as well as the funding recommendations of the *Alliance* to the SERI in time, in order to consider them in the Education, Research and Innovation (ERI) message for the second phase and planning period 2021-2024.

Dates	Activity	Who
23 Nov. 2018	Publish the guideline for the application process for funding	<i>Alliance</i>
4 weeks	<i>Preparation of a sketch of the Center and a letter of intent (Sketch and LOI)</i>	<i>Centers</i>

Dates	Activity	Who
<b>21 Dec. 2018</b>	<b>Submit the <i>Sketch and LOI</i> to the <i>Alliance</i></b>	<b>Centers</b>
7 Jan. 2019	Give the <i>Centers</i> a first feedback regarding their <i>Sketch and LOI</i>	<i>Alliance</i>
12 weeks	<i>Preparation of a Full Proposal</i>	<i>Centers</i>
<b>31 Mar. 2019</b>	<b>Submit the <i>Full Proposal</i> to the <i>Alliance</i></b>	<b>Centers</b>
6 weeks	<i>Evaluation of the Full Proposals of the Centers</i>	<i>Alliance</i>
15 May 2019	Discuss the evaluation reports and decide about the ETH Board funds	<i>Alliance</i>
31 May 2019	Inform the <i>Centers</i> about the evaluation of their <i>Full Proposals</i> and about the decision of the <i>Alliance</i> regarding the ETH Board funds	<i>Alliance</i>
4 weeks	<i>Preparation of the report with funding recommendations for SERI</i>	<i>Alliance</i>
	<i>Preparation of the Application for Federal Funding under Art. 15 RIPA</i>	<i>Centers</i>
<b>30 Jun. 2019</b>	<b>Submit of the report with funding recommendations to SERI</b>	<b><i>Alliance</i></b>
	<b>Submit of the <i>Application for Federal Funding</i> to SERI</b>	<b><i>Centers</i></b>

## 4 Documents

The schedule above mentions a number of documents that must be prepared and submitted in the application process. These documents are needed to evaluate the applications and plans of the *Centers*, to decide about the granting of the ETH Board funds or to prepare funding recommendations for the SERI. Below you will find general descriptions of the required documents and information how the documents need to be prepared.

### 4.1 Sketch and Letter of Intent (Sketch and LOI)

#### 4.1.1 Objective of the document

The main objective of the *Sketch and LOI* is to inform the *Alliance* that a consortium of partners intends to establish a *Center* and to apply for funding. In addition, the document should provide general information about the planned *Center*. The *Sketch and LOI* will be the basis for further discussions between the *Alliance* and the *Center*. The aim of these discussions are to guide and consult the *Center* in taking further steps to meet the criteria that will be used to evaluate the *Center's* application and to support the *Center* in preparing the *Full Proposal* and the *Application for Federal Funding*.

#### 4.1.2 Content of the document

The *Sketch and LOI* should provide information about the following topics:

- Focus areas of the *Center* in advanced manufacturing
- Competences and infrastructure that will be established in the *Center*
- Potential partners of the *Center* and their role and commitment

#### 4.1.3 Form, language and size of the document

- There will be no specific template for the *Sketch and LOI*.
- The *Sketch and LOI* can be written in English (preferred language), German or French.
- The *Sketch and LOI* should be short and not exceed **five pages**.

#### 4.1.4 *Submission of the documents*

The *Sketch and LOI* must be submitted and signed by the responsible body of the *Center* or – in case the *Center* is not yet officially established as legal entity – a key partner in the consortium of the *Center*.

The *Sketch and LOI* must be submitted as PDF file to the *Alliance* by **21 December 2018**.

## 4.2 Full Proposal

### 4.2.1 *Objective of the document*

The objective of the *Full Proposal* is to provide detailed information about the planned *Center* that enable the *Alliance* and the reviewers of submitted proposals to evaluate the *Center's* application according to the defined evaluation criteria. The *Full Proposal* will be a key input for the *Alliance* to decide about the granting of the ETH Board funds and to prepare subsequently the funding recommendations for the SERI. It will also be a key input for the evaluation of the SERI according to the rules of Art. 15 RIPA.

### 4.2.2 *Content of the document*

The *Full Proposal* consists of a main document and several annexes. The main document of the *Full Proposal* must provide detailed information about the following topics:

- Focus areas of the *Center* in advanced manufacturing
- Gap in currently available technology transfer infrastructures that should be closed by the *Center*
- Main goals to be achieved by establishing the *Center*
- Competences and capabilities that will be established in the *Center*, including its workforce
- Knowledge and technology transfer strategy of the *Center*
- Specific infrastructure that will be operated by the *Center*, e.g. pilot plants, machines and equipment
- Organization structure and management of the *Center*, including legal form, bodies and key personnel of the legally independent entity
- Sites and facilities of the *Center*, including already existing buildings and infrastructures
- Business environment of the *Center* that supports and facilitates the activities of the *Center*
- Collaboration models with higher education institutions and services offered to science and industry partners
- Partners of the *Center*, their competences, roles and commitments to fund the *Center*
- Mid- and long-term business plan of the *Center*, including the key steps to establish and develop the *Center* and a financial plan for the period 2019 to 2020 as well as for the period 2021 to 2024

In addition to the main document of the *Full Proposal*, the following documents must be provided as annexes of the *Full Proposal*.

- Bylaws and internal regulations of the *Center*
- List of the members of the executive and advisory bodies of the *Center*, e.g. Board of Directors, Executive Board or Advisory Council, as well as the name of the Statutory Auditor
- CVs of key personnel of the *Center*
- Personnel plan with information about functions and number of employees
- *Financial Plan* for the years 2019 to 2020 and for the years 2021 to 2024.

### 4.2.3 *Form, language and size of the documents*

- The *Full Proposal* as well as the *Financial Plan* must be prepared using the corresponding templates which will be prepared by the SERI and the *Alliance* and which will be provided in January 2019.
- The main document of the *Full Proposal* must be written in English.
- The annexes of the *Full Proposal* can be prepared in English (preferred language), German or French.
- The main document of the *Full Proposal* should not exceed **20 pages**.

#### 4.2.4 Submission of the documents

The *Full Proposal* **must be submitted by the independent non-profit-oriented legal entity** of the *Center*. The document must be signed by representatives of this legal entity who are authorized to sign for the *Center*. In case that the legal entity has not yet been established, but it is planned to establish it until end of June 2019, one or several partners and future shareholders of the entity need to submit and sign the *Full Proposal*.

The *Full Proposal*, meaning the main document and its annexes, must be submitted as PDF files to the *Alliance* by **31 March 2019**. In case that the documents which are mentioned in section 4.2.2 as annexes of the *Full Proposal* will not have been agreed and approved by the *Center* and its partners by 31 March 2019, the preliminary versions of these documents must be provided in order to enable the evaluation of the submitted *Full Proposal*. However, these preliminary versions must be replaced by fully approved documents by 30 June 2019. These fully approved documents must be provided to the *Alliance* as well as to the *SERI* to apply for federal funding.

### 4.3 Application for Federal Funding

#### 4.3.1 Objective of the document

The *Application for Federal Funding* is the official document to apply for federal funding under Art. 15 RIPA. The document respectively the annexes of the document must contain the information that is needed by *SERI* to consider the application in the Education, Research and Innovation (ERI) message for the planning period 2021-2024.

#### 4.3.2 Content of the document

The *Application for Federal Funding* must provide the following information:

- Name of the *Center*
- Contact information of the *Center*, including address, phone and email
- Address for payment of the *Center*
- Statutory Auditor of the *Center*
- Director of the *Center*, including name, address, phone and email
- Requested federal funding under Art. 15 RIPA per year and in total for the period 2021 to 2024
- Name and size of the provided annexes (*Full Proposal* including its annexes)

The *Full Proposal*, meaning the main document and its annexes, needs to be provided as an annex of the *Application for Federal Funding*.

#### 4.3.3 Form, language and size of the document

- The *Application for Federal Funding* should be prepared using the corresponding template which will be prepared by the *SERI* and the *Alliance* and which will be provided in January 2019.
- The *Application for Federal Funding* can be prepared in English, German or French
- The *Application for Federal Funding* (without its annexes) is a **one-page** document.

#### 4.3.4 Submission of the documents

The *Application for Federal Funding* must be submitted by the independent non-profit-oriented legal entity of the *Center*. The document must be signed by representatives of this legal entity who are authorized to sign for the *Center*.

The *Application for Federal Funding* including its annexes must be submitted as unbound and not tacked printout as well as PDF files to the *SERI* by **30 June 2019**.

## 5 Contact persons and information

### 5.1 AM-TTC Alliance / Empa

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### 5.2 State Secretariat for Education, Research and Innovation SERI

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