

**U.S. SMALL BUSINESS ADMINISTRATION  
OFFICE OF GOVERNMENT CONTRACTING AND BUSINESS DEVELOPMENT**

**PROGRAM ANNOUNCEMENT  
SMALL BUSINESS INNOVATION RESEARCH RURAL OUTREACH PROGRAM TO  
SMALL TECHNOLOGY BUSINESSES**

**FISCAL YEAR 2004**

**OPENING DATE: March 31, 2004**

**CLOSING DATE: May 12, 2004**

**PROGRAM ANNOUNCEMENT NO:    SBIRROP-04-R-0003**

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## **I. Introduction**

The U. S. Small Business Administration (SBA) invites you to submit an application for participation in the Small Business Innovation Research Rural Outreach Program (SBIR-ROP). SBIR-ROP is a financial assistance program that provides funding to eligible states for the establishment or continued funding of projects that market the Small Business Innovation and Small Business Technology Transfer Research Programs (SBIR & STTR) to small technology firms. The overall goal of SBIR-ROP is to increase small technology business participation in the SBIR and STTR programs.

## **II. Mission**

The U.S. Small Business Administration, established in 1953, provides financial, technical and management assistance to help Americans start, run, and grow their businesses. SBA has a portfolio of business loans, loan guarantees, disaster loans and equity investments worth more than \$50 billion. Last year, SBA offered management and technical assistance to more than one million small business owners. The SBA also plays a major role in the Federal government's disaster relief efforts by making low-interest recovery loans to both homeowners and businesses. America's 25 million small businesses employ more than 50 percent of the private work force, generate more than half of the Nation's gross domestic product, and are the principal source of new jobs in the U.S. economy.

In support of SBA's overall mission, the Office of Technology (OT) supports the Administrator by devising policy and oversight of activities related to small business participation in Federal research and development. The principal goal is to increase the competitiveness and success of small American firms engaged in technological innovation, with emphasis on participation by women-owned and socially and economically disadvantaged small business concerns. OT accomplishes this goal by encouraging the participation of small innovative technology firms in Federal, state, and local markets for research and development; facilitating commercialization of the products of research and development requirements; conducting research on small firm innovative activity; and promoting transfer technology. OT has broad government-wide policy and oversight responsibilities for two major Federal research and development acquisition programs, SBIR and STTR Programs (15 U.S.C. § 638).

The Agency's responsibilities under these programs include: (1) issuing policy guidance (2) assisting small businesses in securing Federal contracts (3) obtaining benefits of research and development performed under such efforts (4) maintaining a small innovative technology business data base (5) promoting technology transfer (6) coordinating, scheduling and releasing program announcements and monitoring, evaluating, and reporting on program impact and accomplishment. For more detailed information about these programs, please visit—  
<http://www.sba.gov/sbir>.

## **III. Legislative Purpose**

The authorizing legislation for this initiative is the Small Business Act, § 9(s)(2), 15 U.S.C. § 638(s)(2). The legislation was created in response to the extreme disparity in SBIR awards in 25 states and territories throughout the United States. Historically, firms located in a relatively small number of states have been highly successful in securing awards under the SBIR Program.

To expand competition under the SBIR and STTR Programs, and stimulate greater participation in the number of firms submitting proposals and succeeding in winning awards, SBA plans to provide Federal Assistance, in the form of Cooperative Agreements, to eligible states. This assistance will support state-wide outreach to small technology businesses located in states that are underrepresented in awards under the SBIR/STTR programs. Proposed awards require matching funds in a ratio of Federal dollars to non-Federal dollars of 2:1, to a maximum Federal contribution of the available annual Federal funding.

Assistance provided to an eligible state or its official technology marketing and outreach designee under this program announcement shall be used in consultation with State and local departments and agencies, for programs and activities to increase the participation of small business concerns located in the State in the SBIR and STTR Programs, including –

- (A) The establishment of quantifiable performance goals, including goals relating to –
  - (i) The number of SBIR and STTR Program awards made to small business concerns in the State; and
  - (ii) The total amount of Federal research and development contracts awarded to small business concerns in the State,
- (B) The provision of competition outreach support to small business concerns in the State that are involved in research and development; and
- (C) The development and dissemination of educational and promotional information relating to the SBIR and STTR Programs to small business concerns in the State.

#### **IV. Eligibility**

Only eligible states may submit applications under this Announcement and not more than one proposal may be submitted by any eligible state. Eligible states include 1) Alaska 2) Arkansas 3) Delaware 4) the District of Columbia 5) Hawaii 6) Idaho 7) Indiana 8) Iowa 9) Kentucky 10) Louisiana 11) Maine 12) Mississippi 13) Missouri 14) Montana, 15) Nebraska 16) Nevada 17) North Dakota, 18) Oklahoma 19) Puerto Rico 20) Rhode Island 21) South Carolina 22) South Dakota 23) Vermont 24) West Virginia and 25) Wyoming. Each proposal must provide for statewide assistance to small technology businesses, and must bear the endorsement of the Governor of the state for which the effort is proposed. Please see the Glossary of Terms for a more explicit definition of eligible state.

Small businesses are not eligible to participate in this program unless designated by the state's governor as the sole technology marketing and outreach designee for the state. Any applicant having an unresolved audit by any Federal agency is ineligible to receive an award pursuant to this Program Announcement. Entities not having the endorsement by the Governor of the state as the state's ROP representative are also ineligible.

All applicants must have an adequate financial management system that meets the standards prescribed in OMB Circular A-110, Subpart C. Sections. 21 through. 28, "Uniform Administrative Requirements for Grants and Agreements to Institutions of Higher Education,

Hospitals, and Other Non-Profit Organizations” or 13 CFR Part 143, Subpart C, Sections 20 through 26, “Uniform Administrative Requirements for Grants and Agreements to State and local Government.” The application must include certification to verify that this requirement has been met (e.g., a written statement from a certified public accountant).

## V. Glossary of Terms

For purposes of this Program Announcement (“Announcement”), the following definitions shall apply.

- **“Applicant”** or **“Eligible Applicant”** shall mean an “Eligible State,” or authorized subdivision or instrumentality thereof, that proposes to provide services contemplated under this Announcement. *Small businesses are not eligible* to participate in this grant program, unless designated by the state’s governor as the sole technology marketing and outreach designee for the state. *Applicants must include a letter from the Governor of the state specifically designating them as the sub-grantee for this program.*
- **“Client”** shall mean an SBIR/STTR eligible business to which assistance is rendered pursuant to this Announcement.
- **“Eligible State”** shall have the meaning given it under § 9(s)(1) of the Small Business Act (15 U.S.C § 638(s)(1)): “Eligible State” means a State- (A) if the total value of SBIR/STTR awards made to recipient businesses in the State during fiscal year 1995 under this section [i.e., under SBIR and STTR Programs], was less than \$5,000,000 (as reflected in SBA’s database of fiscal year 1995 awards); and (B) that certifies to the SBA that the State will, upon receipt of assistance under this subsection, provide matching funds from non-Federal sources in an amount that is not less than 50 percent of the amount provided under this subsection.
- **“Grants Management Officer”** shall mean an employee of SBA’s Office of Procurement and Grants Management who has been delegated authority to obligate Federal funds by signing a Notice of Award.
- **“Grant Officer’s Technical Representative (GOTR)”** shall mean an employee of SBA’s Office of Technology who is authorized to monitor the technical, schedule, and cost performance against the proposed objectives. This individual is responsible for overseeing all programmatic aspects of awards made under this Announcement.
- **“Non-Federal funds”**- shall mean a recipient’s cash and/or in-kind contribution in fulfillment of matching funds requirements under this Announcement.
- **“Program Income”** – means gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. See OMB Circular A-110.2(x), 13 CFR Part 143.25 for details. All program income as defined in Office of Management and Budget Circulars or Chapter 13 of the Code of Federal Regulations must be reported on financial reports submitted to SBA and added to funds committed to the project by SBA and the recipient. Program income may only be used to further eligible program objectives.

- **“Project Director”** shall mean a qualified individual designated by the Recipient and approved by the Office of Technology to direct the effort undertaken pursuant to this Announcement. This individual is responsible to officials of the Recipient for the proper management and conduct of the project.
- **“Recipient”** shall mean an Eligible State or its designee to which an award is made pursuant to this Announcement.
- **“State”** shall have the meaning given it under 5 U.S.C. § 500(a)(2) and 13 C.F.R § 143.3: ‘State’ means a State, a territory, or possession of the United States including a Commonwealth, or the District of Columbia.
- **“Servicing District Office”** shall mean the SBA’s district office located in the Eligible State, except for Missouri. For Missouri, the Servicing District Office shall mean the St. Louis District Office.
- **“Small Business”** or **“Small Business Concern”** shall have the meaning set forth in 13 C.F.R. § 121.702.

## **VI. Program Overview**

### **A. Program Name**

Small Business Innovation Research Rural Outreach Program

### **B. Project I.D. Number**

SBIRROP-04-R-0003

### **C. Target Geographical Areas**

Alaska, Arkansas, Delaware, the District of Columbia, Hawaii, Idaho, Indiana, Iowa, Kentucky, Louisiana, Maine, Mississippi, Missouri, Montana, Nebraska, Nevada, North Dakota, Oklahoma, Puerto Rico, Rhode Island, South Carolina, South Dakota, Vermont, West Virginia, and Wyoming

### **D. Applicant Pool**

Eligible applicants may be comprised of both new applicants and prior year winners. An applicant may be an entity, organization or individual including but not limited to the following types of organizations: state economic development agencies, small business development centers, or entity, organization or individual involved in the development of technology firms.

### **E. Subcontract/Subgrants**

Applicants may propose to subcontract/subgrant certain activities under the proposed effort. These subcontracts/subgrants shall not exceed 49% of the total Federal portion of the award. The position of the project director and related program oversight and administrative activities shall not be subcontracted/subgranted.

### **F. Clients to be Served**

Small science and technology-based businesses and entrepreneurs in related fields

**G. Purpose**

To increase the number of small technology business participating in the SBIR/STTR programs by marketing these programs through Federal and state sponsored initiatives.

**H. Federal Catalog Number**

59.000

**I. Authority**

§ 9(s)(1) of the Small Business Act (15 U.S.C § 638(s)(2))

**J. Funding Instrument**

Cooperative Agreement

**K. Funding**

**(1) Overview**

Subject to the Availability of Funds for Fiscal Year 2004.

**(2) General Matching Requirement**

Fifty cents of non-Federal match for each Federal dollar per eligible applicant.

**(3) Non-Federal Share**

The non-Federal share of the cost of an activity carried out by a recipient shall be comprised of not less than fifty percent cash and not more than fifty percent of indirect cost and in-kind contributions, except that no such costs or contributions may be derived from funds from any other Federal program unless it is allowed under the terms of a Community Development Block Grant (CDBG) program.

**(4) Carryover Policy**

The grantee may request approval to use unexpended funds in the next budget period. This is

permissible if funds are to be used for a project or activity within the scope of the FAST program. The request for using unexpended funds in the next budget period must include the following:

**(a)** SF 424, budget pages, and justification;

**(b)** Explanation of why the funds were not expended during the period in which they were awarded; and

**(c)** Evidence of appropriate match. The match requirement for funds carried over to the next budget period can be met by using any excess of matching funds from the current budget period, new matching funds or a combination of both.

**(5) Time Extensions**

In the final year of a project, grantees may apply to extend the expiration date of a grant if additional time beyond the established expiration date is required to assure adequate completion of the original scope of work within the funds already made available. For this

purpose, the grantee may make an extension request for a one-time, no-cost extension, not to exceed 12 months, prior to the established expiration date. Written notification of such an extension, with the supporting reasons, must be received by the SBA Grant Officer at least 60 days prior to the expiration of the award. SBA reserves the right to disapprove the extension.

**L. Funding Range**

SBA anticipates that funding per project will range up to \$49,470. The number of awards may vary, based upon number and the quality of eligible applications received; the evaluations; and the amount of available funds. Awards will be made on a matching funds basis. Awards will be made in a ratio of Federal dollars to non-Federal dollars of 2:1, to a maximum Federal contribution of \$24,735.

**M. Number of Awards**

SBA estimates that it may issue up to 5 awards under this Announcement.

**N. Closing Time and Date for the Submission of Applications**

May 12, 2004, 4:00 P.M. Eastern Daylight Time.

**O. Project Starting Date**

July 1, 2004 (estimated)

**P. Project Duration**

The project duration is for one 12 month period. If any recipient of federal assistance under this section fails to obtain the required annual non-Federal contribution during this project, it shall not be eligible thereafter for advance disbursements during the remainder of the project.

The SBIR-ROP is authorized for six (6) years beginning in FY 1999. The authorization for this program expires in Fiscal Year 2005.

**Q. Option Year Provisions**

There are no provisions for option year funding under this Announcement. If the Program is funded in FY 2005, a new competition will be conducted.

**R. Application Eligibility Screening**

All applications will be screened by the SBA to confirm that the proposal requirements are satisfied. Applications must be divided into two separate components, Technical and Cost, and each sections must contain the items described below. Those proposals not satisfying these requirements will be returned without review.

**S. SBIR Proposal Review**

Applications will be scored against the evaluation criteria on pages 18-20 by a panel comprised of representatives from SBA and other Federal agencies. Applications must receive a baseline score of 95 in order to be eligible for funding. Panel members will have extensive knowledge and experience related to the SBIR and STTR programs. SBA staff may ask Applicants for clarification on the technical and cost aspects of proposals. This must not be construed as a commitment to fund the proposed effort. SBA staff will select awardees



based upon the quality of the applications most closely matching the evaluation factors in this Program Announcement.

Note: Prior year winners will not receive preferential treatment. Funding recommendations will be based solely on the merits of the application. If prior year winners are not in compliance with reporting requirements for previous awards, they are not eligible for a new FY 2004 award.

**T. Agency Contacts**

Questions about the technical requirements for this Program Announcement, but not pertaining to the cost component, should be addressed to:

Ms. Cherina D. Hughes  
SBIR-ROP Program Manager  
Office of Technology  
U.S. Small Business Administration  
409 3<sup>rd</sup> Street, S.W.  
Washington, DC 20416  
(202) 205-7344

Questions pertaining to the cost proposal section of the Announcement shall be directed to:

Ms. Patricia Branch  
Grant Officer  
Office of Procurement and Grants Management  
U.S. Small Business Administration  
409 3<sup>rd</sup> Street, S.W. (Mail Code: 5331)  
Washington, DC 20416  
(202) 205-7081

*Due to the competitive process, SBA will be unable to assist with answers to specific questions regarding individual proposals.*

**U. Awards Determination**

The SBA is the funding Agency for the SBIR-ROP program. Funding recommendations will be a collaborative effort between the SBA and other agencies.

**V. Internal Resources, Project Management and Oversight**

The recipient shall do 51% of the work required for this effort. A minimum of 51% of the proposed time and effort in terms of project cost should be conducted through use of the applicant's internal resources.

Project management and oversight shall be the exclusive responsibility of the recipient organization. This function shall be performed by the Project Director and shall not be subcontracted. The Project Director shall be a permanent full/part-time employee of the recipient.

## **W. Award Notification**

Awardees will be notified by the SBA's Office of Procurement and Grants Management. Those applicants not receiving an award can obtain a list of award recipients by visiting our web site at <http://www.sba.gov/sbir>. The SBA will not be providing debriefings to unsuccessful applicants.

## **X. Cancellation**

SBA reserves the right to cancel this announcement in whole or in part at the Agency's discretion.

## **VII. Application Requirements and Preparation Instructions**

### **A. Application Requirements and Limitations**

This program announcement is designed to reduce the investment of time and money required by applicants in preparing a formal application.

- ▶ pages should be the standard size (8 ½" x 11" 21.6 cm x 27.9 cm) and should conform to the stated formatting instructions in this program announcement;
- ▶ 2.5 cm margins and type no smaller than 12-point Arial font size;
- ▶ type size restriction applies to figures and illustrations as well as to the text, not including charts, tables, diagrams and graphs,
- ▶ standard black type should be used to permit photocopying;
- ▶ photo reduction of larger pages is not permitted;
- ▶ each page with any writing will be counted as a page;
- ▶ draw all graphs, diagrams, tables, and charts in black ink;
- ▶ do not include glossy photographs, or materials that cannot be photocopied in the body of the proposal;
- ▶ must contain two (2) major components: technical proposal [including letter(s) of endorsement from the state governor(s) and resumes] and a cost proposal [including assurances and certifications and written certification(s) of match].

### **Governor's Letter of Endorsement**

Only those proposals bearing the written endorsement of the state Governor(s) or his/her/their designee(s) (i.e., Lt. Governor or Department Level Secretary, etc.) for which the effort is proposed may be submitted for evaluation and funding consideration. Only one proposal will be considered per state. In a situation where the Governor or equivalent of the Governor (e.g., Mayor of the District of Columbia), assigns the signatory responsibility of the endorsement letter to a designee, the letter must include an acknowledgement that the Governor/equivalent has authorized him/her to sign the letter on his behalf. **NOTE:** The equivalent of the Governor in the U.S. territories is an appropriate signatory.

The Governor's correspondence should be addressed to Mr. Edsel M. Brown, Jr., Assistant Administrator for Technology, U.S. Small Business Administration, 409 3rd Street, SW, 8th Floor, Washington, DC 20416.

**Part I - Technical Proposal.** Applicants must submit a technical proposal of not more than twenty-five (25) pages; excluding:

- 1) Technical Proposal Cover Sheet, and
- 2) Technical Supplement I which contains the following items:
  - ◆ Governor’s letter(s) of endorsement; and
  - ◆ Curriculum vitae or resumes of key personnel identified in the proposal.

In the interest of equity to all applicants, all information must be incorporated into the twenty-five (25) pages. No supplements, other than the exclusions cited above, may be submitted and, if submitted, they will not be considered in the review of the proposal for technical merit.

**Proposals that contain more than twenty-five (25) pages in the technical section will be rejected without consideration.**

**Part II - Cost Proposal.** Applicants must also submit a Cost Proposal and Cost Supplements I & II that include the following: SF 424 “Application for Federal Assistance” inclusive of a narrative justification for each cost associated with the proposed effort. Applicants must also submit Cost Supplements I & II which include the following documentation:

- 1) Cost Proposal Cover Sheet;
- 2) SF 424 “Application for Federal Assistance” inclusive of a narrative justification for each cost associated with the proposed effort;
- 3) Cost Supplement I including the Signed” Assurances and Certifications”; and
- 4) Cost Supplement II containing the following Certification(s) of Matching Funds

**B. Application Instructions**

Previous SBIR-ROP award winners must include information regarding actual program accomplishments from the FY 1999, 2000, 2001 and/or 2002 funding period in the narrative portion of the technical proposal.

- 1) Technical Proposal
  - a) Technical Proposal Cover Sheet. Every proposal is required to have a cover sheet. It should be the topmost page of the proposal. The cover sheet must contain the following information:
    - 1) The words U.S. Small Business Administration, Small Business Innovation Research Rural Outreach Program (SBIR-ROP), and the Program Announcement Number from the cover page of this Announcement.
    - 2) The state represented by this application.
    - 3) The name of entity/individual submitting the proposal.
    - 4) The printed name, title, telephone number, FAX number, mailing address, e-mail address, and signature of the project director designated by the applicant.
    - 5) The printed name, title, telephone number, FAX number, mailing address, e-mail address and signature of individual authorized to

enter in to a legal agreement with the SBA, if different from the project director.

**b) Technical Content for All Applicants**

**Statutory Requirements**

“Assistance provided to an eligible State”...”shall be used by the State, in consultation with State and local departments and agencies, for programs and activities to increase the participation of small business concerns located in the State in the programs,...including:

**1) Overview.** In two pages or less, the applicant must explain why the proposal merits funding under this Announcement. The overview must state how the recipient intends to target and incorporate realistic and obtainable participation from tech-based women- and minority-owned firms.

**2) Addressing Program Objectives and Needs of the Target Audience.** Applicants must provide a narrative description including supporting statistical data about the needs of the community targeted for service under this Announcement. The applicant shall explain how the proposed services will meet those needs.

**3) ROP Plan.** The applicant shall explain in narrative detail how it will address the needs of the target community. The proposed ROP Plan must provide a strategy for meeting program goals which must be realistic and quantifiable. The applicant must also explain how the ROP Plan will accomplish these goals.

**Applicant goals must include, but not be limited to the following:**

As required by the statute, the applicant must use federal funds under this award “in consultation with State and local departments and agencies, for programs and activities to increase the participation of small business concerns located in the State in the programs including—the establishment of quantifiable performance goals, including goals relating to the number of program awards under this section made to small business concerns in the State; the total amount of Federal research and development contracts awarded to small business concerns in the State that are involved in research and development; the provision of competition outreach support to small business concerns in the State that are involved in research and development; and the development and dissemination of educational and promotional information relating to the to the programs under this section to small business concerns in the State.

Program activities shall focus on encouraging more qualified small, technology firms to submit proposals under the SBIR and STTR programs; improving the quality of proposals submitted; and increasing the SBIR and STTR award success rate of these businesses.

Applicants have some latitude in terms of what methodology will be used in achieving program goals. However, applicants must utilize program funds to establish and/or expand programs to assist small high technology businesses increase their participation in the SBIR and STTR Programs. An Applicant’s ROP Plan must include, but need not be limited to provision of training, counseling, and outreach services..

More explicit examples of proposed services under this Announcement include the following:

- (a) Provision of information on the SBIR and STTR Programs and their operation, in training activities or in one-on-one counseling.
- (b) Through training activities and one-on-one counseling, identification and explanation of the roles of SBA, participating agencies, and program managers in SBIR and

STTR

Programs.

- (c) Development and preparation of SBIR and STTR proposals in one-on-one counseling, development and maintenance of a publicly accessible databases of:
  - 1) Sources of technical assistance for small technology business concerns;
  - 2) Small technology firms within the State; and
  - 3) Federal, State, local and commercial entities having research and development requirement for small technology firms.
  - 4) Compilation, publication, and dissemination of newsletters in electronic and/or hard copy form.
  - 5) Expansion of the base of technology/economic development service providers, consistent with the intent of this Announcement.
  - 6) Establishment of performance goals with respect to SBIR and STTR Programs.

#### **4) Performance Measurements.**

Applicants must establish obtainable, quantifiable and verifiable performance measurements. Performance measurements must enable SBA to assess each state's program in terms of the economic or potential economic impact of the activities outlined the SBIR-ROP plan. Performance measures must also provide SBA with clear insight as to how the applicant will measure the success of their program. This information may be crucial in determining the future of the program.

#### **5) Organization and Staff Qualifications.**

Identify key personnel involved in the applicant's proposal. Other organizations assisting the recipient in its application must be identified, including qualifications of the organization and its personnel. Applicants submitting a proposal under the announcement must provide an organizational chart reflecting the number of full-time and part-time staff, and proposed use of volunteers as well as the placement within the organization. Applicants must provide a point of contact for the project's outreach representative. This person will be the resource person for clients interested in receiving ROP-SBIR program services.

Applicants must include the percentage of time each staff person will devote to the project. Applicants must identify key management, staff, consultants, and sub-contractors, including individual(s) responsible for financial record keeping and reporting. Applicants must describe the function, including expertise and experience that each employee brings to the organization—of particular relevance would be high-technology entrepreneurial experience. Applicants must include resumes of the Project Director and other key staff and sub-contractors. Resumes should provide sufficient documentation to evidence the background, relevance, and proposed contributions of relevant individuals and organizational entities. Where curriculum vitae are extensive, summaries that focus on the most relevant experience

or publications are desired. Also list all other commitments that senior personnel may have during the proposed period of performance. **[NOTE. – Curriculum vitae of key personnel identified in the proposal should be included in “Technical Supplement I” of your Application.]**

Each SBIR-ROP recipient must appoint a Project Director to manage and coordinate the SBIR-ROP Program within the state. This position must be created/assigned to a qualified individual within or to be hired by the recipient organization and the applicant must specify the amount of time this individual will commit to the oversight and administration of the award. The applicant must justify the adequacy of such time commitment to the proper administration of the SBIR-ROP award. This function cannot be subcontracted to a third party.

- c) **Technical Content for Prior SBIR-ROP Winners Only**
- I In addition to the information above, prior winners of SBIR-ROP awards must provide a narrative explanation of how funding from previous awards was used to increase participation or expand interest in SBIR and STTR; improve the quality of proposals submitted; and increase the number of proposals submitted. Prior year winners must also explain what lessons were learned and what, if anything, they plan to do differently utilizing FY 2004 funds. In addition, information concerning what remains to be accomplished must be provided.

## 2) Cost Proposal for New and Incumbent Applicants

a) **Proposal Cover Sheet.** Every proposal is required to have a cover sheet. It should be the top most page of the proposal. The cover sheet must contain the following information:

- 1) The words **“U.S. Small Business Administration,” “Small Business Innovation Research Rural Outreach Program (SBIR-ROP)” and the program announcement number** from the cover page of this program announcement.
- 2) The state(s) represented by this application.
- 3) The entity submitting the proposal.
- 4) The printed name, title, telephone number, FAX number, mailing address, e-mail address, and signature of the **project director** of the proposing entity.

b) **Cost Proposal Content.**

- 1) **General Instructions.** The Applicant must submit a budget per the requirements in Section XII entitled “Budget Preparation Guidance.”
- 2) **Special Note.** Expenditures for fundraising activities are not allowable. The Applicant must certify in writing the existence of matching funds, or have letters of intent at the time of submission.

## VIII. Method of Selection and Evaluation Criteria for Applicants

## A. Introduction

### Proposals Will be Judged on a Competitive Basis.

- 1) All proposals will be screened to confirm that the proposal requirements set in this program announcement were met. Those proposals not in compliance will be considered non-responsive and returned to the applicant without review. Responsive applications are those proposals that comply with the proposal requirements and instructions stated in this announcement. These applications will be evaluated by a panel of experts familiar with SBIR and STTR programs. Reviewers may include individuals outside the Federal government.

Subject to the availability of funds, awards will be made by the Small Business , with input from SBIR Program Managers from other agencies. The content of the applications and evaluations will be kept strictly confidential to the extent permitted by law.

## B. **Evaluation Criteria for Applicants.**

The following five (5) criteria will be used in the proposal review and evaluation process:

- 1) **Addressing Program Objectives and Needs of the Target Audience.** Whether the applicant has demonstrated that the assistance to be provided would address needs of small business concerns in the community including small firms owned and controlled by women, minorities and those small firms located in areas that have historically not participated in the SBIR and STTR. Whether it is important to use Federal funding for the proposed activities to be delivered to the targeted small business community, including small minority and women-owned business and other historically under-served small firms under the proposed award. Have clear objectives for the proposed effort been presented? The Applicant must demonstrate the need for programs and services within the state(s) to increase the number and success of small innovative technology businesses participating in the SBIR and STTR programs. Applicant must describe all other services currently being provided to such firms, and why it is important to use Federal funding for the proposed effort.

(15 points)

- 2) **SBIR-ROP Plan.** Whether the applicant has demonstrated a plan most appropriate and relevant for the technology business community in the area represented by the applicant, in keeping with the legislative intent of the Rural Outreach program. Whether the applicant has demonstrated relevance to the objectives defined in its program proposal. Does the narrative plan include a detailed description of proposed services and assistance, incorporating outreach, or technical assistance to technology-based small business concerns participating in or interested in participating in the SBIR program? Does the plan articulate not only what will be done, but also how it will be carried out with the methods planned to achieve each objective or task discussed in detail? Does the SBIR-ROP Plan include how this proposal integrates and coordinates the proposed activities with other state and local programs assisting small technology firms in the state(s)? Does the applicant clearly describe how small minority, women-owned and historically non-participatory small business owners will be targeted to receive services under the proposed award?

**(35 points)**

- 4) **Performance Indicators.** Whether the applicant has described in detail the manner in which the applicant will measure the results of the activities to be conducted. Do the proposed measures allow SBA to properly assess the success of the state's Program? Do performance measurements provide insight into actual or anticipated economic impact of the activities described in the SBIR-ROP Plan? Are the performance measurements appropriate for the SBIR-ROP Plan? Are the measurements realistic, verifiable and obtainable? Are these indicators properly linked to planned activities?

**(25 points)**

- 5) **Organization and Staff Qualifications.** Whether the applicant has identified key personnel and organizational entities involved in the program. For any organizational entity proposed to accomplish the program, has the applicant provided an organizational chart reflecting the number of full-time and part-time staff, and proposed use of volunteers? Is there sufficient documentation to evidence the background, and proposed contributions of key individuals and organizational entities? Does the Project Director have the expertise required to properly carry-out this initiative? Is the proposed Project Director a permanent full-time employee of the applicant organization?

**(25 points)**

- 6) **Cost Proposal.** Are the projected costs of the proposed activities reasonable? Do the matching funds comply with the guidelines and requirements?

**(20 points)**

**Maximum Achievable Points 120**

## **IX. Pre- and Post- Award Requirements**

### **Match Requirements**

- A. SBA must have verifiable documentation from each award recipient indicating that the non-Federal share match requirement has been obtained by the recipient. The recipient must provide written documentation to the designated Grants Management Officer (GMO) certifying that the non-Federal match requirement has been obtained no later than 90-days from the issue date on the Notice of Award. A copy of this letter must also be sent to the designated Grants Management Officer's Technical Representative.

The non-Federal share contribution shall be comprised of not less than 50% cash and not more than 50% indirect costs and in-kind contributions. No portion of the non-Federal contribution may be derived from any other Federal program.

### **1. Cash Contributions**

Provide the SBA Office of Procurement and Grants Management with a copy of the documentation provided by each non-Federal source indicating the amount to be used for the SBIR/STTR Outreach project (promissory notes are not acceptable). If non-Federal



resources come in check form the recipient may send a copy of the check to the GOTR assigned to the award. The check must indicate the source (contributor), the amount being paid to the recipient organization for the purpose of carrying out activities directly related to the project described in this Notice of Award.

If cash is donated, a copy of the accompanying letter from the donor (on official letterhead if applicable) or a copy of the recipient's thank you letter to the donor must be sent to the GOTR and the GMO also on official letterhead. Please address the letter to Mr. Edsel Brown, Jr., Assistant Administrator, U.S. Small Business Administration, 409 3<sup>rd</sup> Street, S.W., Suite 8000, Washington, DC 20416.

## **2. In-kind Contributions**

The recipient must submit a copy of the letter, on official letterhead if applicable, from the person or organization that donated the supplies or equipment. If in-kind contributions are provided by a state or local government, small business, non-profit organization or other type of entity, the letter must be signed by an official who is legally authorized to enter into an agreement to provide equipment or supplies to this project. If there is no letter from the donor, the recipient must submit a copy of the thank you letter (on official letterhead) to the donor. In either case, the recipient must state the name and value of the contribution(s).

## **3. In-kind Service**

The recipient must submit a list of persons who have donated their time and effort to the project, including name, address, telephone number, FAX number and e-mail address. The recipient will state the type of service each has provided and the monetary value of the volunteer's time and effort.

## **B. Payment Under the Cooperative Agreement Award**

The Federal payment under the Cooperative Agreement award must be matched as described in Section VI (K). Letters of commitment from non-Federal sources must be submitted with the cost portion of the application to establish the intent to make such contributions. The recipient must report usage of such contributions with each reimbursement request and quarterly financial report.

SBA may disburse up to 25 percent of each year's Federal share awarded to a recipient after notice of the award has been issued and before the non-Federal matching funds are obtained. Matching funds may come from all non-Federal sources such as state and local public funds, private individuals, corporations, and foundations.

The recipient will maintain records of all cash and in-kind donations. Records will be reviewed during the GOTR's annual programmatic and financial examination. The Notice of Award requires the recipient to submit certifications of match as soon as possible after receipt of the award. Certifications of match must be submitted no later than 90 days from the issue date on the Notice of Award. The recipient must keep in mind that final payment will not be

allowed unless the recipient has adequately certified that the required match has been applied to the project.

Disbursements in excess of 25% of the total Federal share of this award will not be considered or paid until satisfactory certification of matching funds has been submitted to the GOTR.

### **C. General Information**

1. All program income as defined by OMB Circulars or the Code of Federal Regulations, shall be reported on financial reports submitted to SBA and is to be added to funds committed to the project by SBA and the recipient and may only be used to further eligible program objectives. Such funds shall be applied in accordance with the following priority: (1) to subsidize increased participation of small innovative technology businesses in the program by absorbing or reducing costs of participation; (2) to liquidate reasonable, allowable and allocable costs not included in the initial budget subject to the written approval of the Grants Officer; and, (3) to fund continuation of project activities following exhaustion of the funds committed by SBA and the recipient and/or expiration of the current budget period.

The recipient must submit the total sum of program income and details regarding how the income was obtained (i.e., type of activity and amount of funds generated from each activity) to the designated GOTR. Program income generated from participating small business must be reasonable and must not inhibit a businesses opportunity for participation.

All program income must be reported on financial reports submitted to SBA. Program income must be added to funds committed to the project by SBA and recipient organizations and may only be used to further eligible program objectives. Program Income may be used as cash match. If not used as match, it must be used in the following order of priority: (1) to subsidize increased participation of small innovative technology based businesses in the program by absorbing or reducing costs of participation; (2) for reasonable costs related to the project but not included in the initial budget subject to the written approval of the Grants Management Officer; and (3) for continuation of the project activities following exhaustion of the Federal and matching funds and expiration of the current budget period.

2. All costs approved for a successful Applicant must meet the tests of necessity, reasonableness, allowability, and allocability in accordance with the cost principles applicable to this award. All proposed costs are subject to pre-award audit. Recipients are responsible for proper management and financial accountability of Federal funds to preclude future cost disallowance. Payment will be made by reimbursement. However, SBA may allow a one-time advance request not to exceed 25% of total project cost. (Refer to Section IX, B for more information on advance payment.)
3. The recipient will be required to acknowledge its relationship with the SBA in all marketing products, letterhead, newsletters, publications, articles, media events, news releases, public appearances, interviews, public service announcements, websites, etc.,

that are in any way related to this project by using the following statement in legible, easily readable print:

**Acknowledgment Clause**

***“This U.S. Small Business Administration (SBA) Cooperative Agreement is partially funded by the SBA. SBA’s funding is not an endorsement of any products, opinions, or services. All SBA funded programs are extended to the public on a nondiscriminatory basis.”***

4. SBA will have an unlimited license to use data and written materials generated under this award, whether or not the materials are copyrighted. Any publication resulting from this project must include the following acknowledgment of support whether copyrighted or not, in legible, easily readable print:

***“This U.S. Small Business Administration (SBA) Cooperative Agreement is partially funded by the SBA. SBA’s funding is not an endorsement of any products, opinions, or services. All SBA funded programs are extended to the public on a nondiscriminatory basis.”***

5. Non-compliance with the provisions set forth in the Notice of Award may result in termination of funds under this Cooperative Agreement.
6. Commitment/Letters of Endorsement or other Agreements which provide financial support from state and local economic development/technology development entities must be submitted with the application. These letters/agreements must state the manner in which the signatory and the recipient will cooperate to leverage resources. Letters are required for all applicants that are submitting proposals on behalf of the state(s). Letters of Commitment must be included as part of the cost proposal under Cost Supplement II.

The Applicant must demonstrate ability to fulfill programmatic data collection and reporting requirements, and financial record keeping requirements.

The recipient under this Program Announcement must initiate and maintain a close working relationship with the SBA District Director and/or his/her designee in the Servicing District Office, who will be identified in the recipient’s Notice of Award.

**The recipient must:**

- ◆ Maintain close communication with the SBA District Office.
- ◆ Forward copies of all reports and relevant correspondence to the GOTR.
- ◆ Assist SBA with conferences and special programs for small innovative technology businesses.
- ◆ Inform clients of the availability of SBA’s program when appropriate, and to the extent possible.
- ◆ Refer clients to local SBA lending partners for loans, as appropriate.
- ◆ Solicit SBA's participation at outreach events, including inviting SBA personnel for prominent speaking roles as appropriate.
- ◆ Use SBA brochures and materials, as appropriate.

- ◆ Compliment, not duplicate, services provided by SBA resource partners and other providers of assistance (e.g., economic development entities, venture capital forums, etc.) to the small innovative technology business community.
7. A Recipient selected under this Announcement will be responsible for working with the SBA's Office of Technology, Federal agencies participating in the SBIR and STTR Programs. The following agencies participate in the SBIR Program: the U.S. Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, and Transportation, U.S. Environmental Protection Agency, National Aeronautics and Space Administration, and National Science Foundation. The following agencies participate in the STTR Program: the U.S. Departments of Defense, Energy, and Health and Human Services, National Aeronautics and Space Administration, and National Science Foundation.), SBA's Servicing District Offices, Small Business Development Centers (SBDC's), and other SBA resource partners (e.g., trade and professional associations, Service Corps of Retired Executives (SCORE), etc.); and State and local economic development and technology development entities to ensure integration and non-duplication of services to the small high-technology business sector.

#### **D. SBA Involvement**

1. The SBA's Office of Technology, in cooperation with the appropriate SBA District Office will monitor and oversee the ongoing operations to promote effective and efficient use of Federal funds.
2. SBA has the discretion to take one or more of the following actions if a recipient materially fails to comply with the terms and conditions set forth in the grant award, whether stated in a Federal statute, regulation, assurance, application or notice of award:
  - ◆ temporarily withhold cash payments pending correction of the deficiency by the recipient;
  - ◆ disallow all or part of the cost of the activity or action not in compliance;
  - ◆ wholly or partly suspend or terminate the current award;
  - ◆ withhold further awards for the project or program;
  - ◆ and/or take other remedies that may be legally available.
3. All subcontracts other than those submitted as part of the proposal, will require the prior written approval of SBA.
4. SBA will review semi-annual reports for completeness and adequacy. Incomplete, late, or missing reports may lead to suspension or termination of cooperative agreement, or other consequences provided in the Notice of Award and OMB Circulars.
5. SBA's Office of Technology shall be notified prior to any change in senior management such as Project Director or Program Manager.
6. SBA's District Offices will refer clients to the recipient.

7. SBA's District Offices will include the recipient in conferences, workshops, speaking engagements, and other activities for small innovative technology businesses.
8. SBA's District Offices will display and distribute the recipient's materials.
9. SBA will conduct an annual programmatic and financial review of the recipient.

**E. Office of Management and Budget (OMB) and SBA Uniform Administrative Requirements and Cost Principles**

- OMB Circular A-87 is applicable to state, local & Indian Tribal governments;
- OMB Circular A-110 is applicable to institutions of higher education hospitals & other non-profit organizations;
- OMB Circular A-102 is applicable to grants and cooperative agreements with state and local governments (Codified by the SBA. See 13 CFR Part 143);
- OMB Circular A-122 is applicable to non-profit organizations;
- OMB Circular A-21 is applicable to educational institutions;
- OMB Circular A-133, Audits of States, Local Governments and Non-profit Organizations;
- Federal Acquisition Regulations (FAR) Parts 30 and 31 is applicable to for profit Organizations; and,
- 13 C.F.R Part 143 is applicable to State and Local Governments.

**F. Reporting Requirements**

1. **General.** The recipient must submit **quarterly performance and financial reports.** Both financial and performance reports are due at pre-determined intervals. Detailed information concerning the due dates for these reports is described below. **The SBA will withhold payments if performance and/or financial reports are not received timely or are deemed inadequate. Violation of this requirement could also lead to termination of the grant.**

- One (1) original and one (1) copy of the performance and financial report shall be submitted to the Grant Officer's Technical Representative (GOTR). The performance report **only** must also be submitted to the GOTR electronically. Fax or e-mail transmission of the performance report is acceptable.
- Each report (Financial and Performance) shall include a cover sheet with the following information:
  - a. The words "U.S. Small Business Administration," and, Federal and State Technology (FAST) Partnership Program."
  - b. The name of the state(s) represented.
  - c. **The recipient name and Agreement Number.**
  - d. The printed name, title, telephone number, FAX number, mailing address, e-mail address, and signature of the recipient's **Project Director.**

- 2. Performance Reports.** The recipient must submit a quarterly performance report summarizing all SBIR-ROP related activities undertaken during this time frame, using the objectives and performance measurements proposed by the Applicant and incorporated into the cooperative agreement. The recipient should present comprehensive information on the initiatives and activities undertaken during the respective time period and describe how these efforts correlate to the objectives and performance indicators incorporated into the cooperative agreement.

A comparison of actual accomplishments to the estimated milestones established for the report period should be included. Where milestones are not met, there should be an explanation of, or reasons for slippage, with a plan of action to overcome those slippages; or a detailed statement of how the program will better serve small innovative technology businesses if the milestones are revised. The recipient should also highlight any direct linkages between planned activities and result of the activity whether actual or anticipated. Actual or anticipated results of planned activities such as a client receiving an SBIR/STTR award or some other Federal technology award; a proposal being submitted in response to a Federal agency SBIR/STTR solicitation; collaborative relationship between a business owner and Federal Lab; a quantitative increase in the number of businesses interested in pursuing SBIR and STTR awards, et. al.

The first performance report is due no later than 45 days after the completion of the 1<sup>st</sup> quarter. The 2<sup>nd</sup> and 3<sup>rd</sup> performance quarter reports are due no later than 30 days after the end of each quarter. The final performance report is due no later than 45 days after the completion date of this cooperative agreement.

In addition recipients must present the following information in the quarterly reports:

- (a) Training Activities (conferences, courses, seminars)
  - title of activity, date, location, duration, number of participants; and
  - a paragraph describing the objectives of the training and evaluating its effectiveness in meeting these objectives.
- (b) Counseling/Technical Assistance Activities (generally one-on-one)
  - business/firm name, client, address, e-mail address, phone number; dates of assistance (from – to); and
  - paragraph describing the type of assistance provided.
- (c) Other Activities, including significant accomplishments
  - mentoring programs; (?) description of the program and services; and
  - outcomes and outputs that were a direct result of the recipient's planned activities.

### **3. Financial Reports.**

- (a) The recipient must submit financial Status Reports on Standard Form 269 and Report of Federal Cash Transactions will be submitted on Standard Form 272. The Financial Status Report (SF-269) is due no later than 30-days after the end of each quarter. The Federal

Cash Transaction Report (SF-272) is due no later than 15 days after the end of each quarter when funds are advanced to recipients. The fourth quarter report will service as the final report.

- (b) The recipient must provide detailed information relating to actual financial expenditures of budget object cost category versus the estimated budget award. The recipient must include an explanation of any cost overrun by budget object cost category. Financial data furnished in this report is from a manager's standpoint and is attached to the final Financial Reports described below.
- (c) The year-end report must include a cost breakdown, line item of actual financial expenditures of cost incurred. Refer to Standard Form 269, block 12, Remarks.

## **X. Submission of Applications**

### **A. Notations on Mailing Envelope**

1. Place the following notation in the lower left-hand corner of the sealed envelope/package on plain white label:

- THIS IS A SEALED OFFER, DO NOT OPEN
- PLEASE STAMP DATE AND TIME RECEIVED ON THE ENVELOPE
- THIS PROPOSAL IS IN RESPONSE TO PROGRAM ANNOUNCEMENT NUMBER – **SBIROP-04-R-0003**
- DUE May 12, 2004 AT 4:00 P.M., EASTERN DAYLIGHT TIME AT THE U.S. SMALL BUSINESS ADMINISTRATION, OFFICE OF PROCUREMENT AND GRANTS MANAGEMENT.

### **B. Mailing Address and Copies**

**A. Please submit the following for consideration:**

#### **1. Part I. - Technical Proposal:**

One (1) original bound copy and one (1) copy in addition to a CD containing the Technical Proposal and all the documentation from Technical Supplement I in a single pdf file.

#### **Technical Supplement I contains the following:**

##### **a) Governor's Letter(s) of Endorsement**

One (1) signed original and one (1) copy of the Governor's letter(s) of endorsement accompanying the technical proposal.

##### **b) Resumes and Curriculum Vitae**

One (1) original and 1 copy of resumes.

##### **c) Collaborative Agreement, if applicable**

One (1) original and 1 copy.

#### **2. Part II. - Cost Proposal:**

One (1) original and one (1) signed copy of the cost proposal. SF 424 "Application for Federal Assistance" including Cost Supplements I & II. Cost

Proposal (narrative justification, signed Assurances and Certifications, and matching funds certifications) must be provided on a CD in a single pdf file. The SF 424 and should be placed directly under the Cost Proposal Coversheet.

**Cost Supplements I & II contains the following documentation:**

**a) Cost Supplement I**

Signed “Assurances and Certifications”

One (1) original and one (1) copy.

**b) Cost Supplement II**

Signed Certification(s) of Matching Funds

One (1) original and one (1) copy.

**3. Mailing Address:**

U.S. Small Business Administration  
Office of Procurement and Grants Management  
409 Third Street, S.W., 5th Floor (Mail Code: 5331)  
Washington, DC 20416  
Attn: Patricia Branch

**1. Packaging and General Mailing Instructions:**

Secure packaging is mandatory. The SBA will not be responsible for processing proposals damaged in transit. Do not send separate “information” copies or several packages containing parts of a single proposal. All originals and copies of a proposal **must** be sent in the same package. All copies must be clearly legible. Do not use bindings other than on the originals. (The term binding does not include staples and binder and paper clips.) Staple the pages firmly in the upper left-hand corner of each copy.

**2. Hand-Carried - proposals should be addressed as indicated above and **delivered** to the address listed above.**

**Telegraphed and/or Facsimile Proposals** - are not permitted; if submitted, such proposals shall not be accepted for review and evaluation.

**C. Late Submission, Revision, and Withdrawal:**

Any application received at the Office of Procurement and Grants Management after the exact time specified for receipt will not be considered unless it is received before award is made, AND:

1. It was sent by registered or certified U. S. mail not later than the fifth calendar day before the date specified for receipt of offers (e.g. an offer submitted in response to a program announcement requiring receipt of offers by the 20th of the month must have been mailed by the 15<sup>th</sup>);

2. It was sent by U. S. mail or hand-carried (including delivery by a commercial



carrier) if it is determined by the Government that the late receipt was due primarily to Government mishandling after receipt at the Government installation;

3. It was sent by the U. S. Postal Service Express Mail Next Day Service-Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term “working days” excludes weekends and U.S. Federal holidays;
4. There is acceptable evidence to establish that it was received by OPGM and was under the Government’s control prior to the time set for receipt of offers, and the contracting/Grants Management Officer determines that accepting the late offer would not unduly delay the procurement; or
5. It is the only proposal received.

## **XI. Cancellation**

SBA reserves the right to cancel this announcement in whole or in part at the Agency's discretion.

## **XII. Budget Preparation**

### **Instructions for Standard Form 424 (Application for Federal Assistance)**

Standard Form 424, Application for Federal Assistance, will be found beginning at page A-1 (Appendix – A) of this announcement. This guidance supplements that contained on the reverse side of the form.

- Item 1. Self-explanatory
- Item 2. Refer to instructions on reverse of form
- Item 3. Refer to instructions on reverse of form
- Item 4. Leave Blank
- Item 5. Refer to instructions on reverse of form
- Item 6. Refer to instructions on reverse of form
- Item 7. Refer to instructions on reverse of form
- Item 8. Enter: "new"
- Item 9. Enter: U.S. Small Business Administration"
- Item 10. Enter: "Office of Technology"
- Item 11. Refer to instructions on reverse of form
- Item 12. Refer to instructions on reverse of form
- Item 13. Refer to instructions on reverse of form
- Item 14. Refer to instructions on reverse of form
- Item 15. Refer to instructions on reverse of form
- Item 16. Enter: Check "b. No Program is not covered by E.O. 12372."
- Item 17. Refer to instructions on reverse of form
- Item 18. Refer to instructions on reverse of form

## **Instructions for Standard Form 424a (Budget Information)**

Budget information is found on pages A-1 through A-10 (Appendix – A)

### **General Budgetary Information**

The "budget" is the Applicant's estimate of the total cost of performing the project or activity for which grant support is requested. The budget is to be based upon the cost of performing the project, including Federal and private sources.

All proposed costs reflected in the budget must be necessary to the project, reasonable, and otherwise allowable under applicable cost principles and Agency policies. All costs must be justified and itemized by unit cost on The Budget Worksheets (pages A-9 and A-10).

### **Section A - Budget Summary**

Column (A): Enter "Office of Technology"

Column (B): Enter the Catalog of Federal Domestic Assistance Number 59.000

### **Section B - Budget Categories**

Amounts entered by budget category in this section are for summary purposes only. Column (1) SBA share, Column (2) non-Federal cash, Column (3) non-Federal in-kind, Column (4) non-Federal Program Income. Itemization and justification of specific needs by budget category are to be shown on the Budget Worksheets.

Line 6.a. - 6.h. - The budget amounts must reflect the total requirements for funds regardless of the source of funds. All amounts entered in this section are to be expressed in terms of whole dollars-only after completing the requirements of Section F.

Line 6.j. - Indirect costs are those costs related to the project that are shared by other projects and are not included as direct costs in a. through h.

Line 7. Leave Blank

### **Section C - Non-Federal Resources**

Refer to instructions on reverse of form.

### **Section D - Forecasted Cash Needs**

Refer to instructions on reverse of form.

### **Section E - Budget Estimates of Federal Funds Needed for Balance of the Project**

Refer to instructions on reverse of form.

### **Section F - Other Budget--Information**

Line 21 Direct Charges: Identify and explain all items or categories under Section B in accordance with the instructions set forth below. The itemization must reflect the total requirements for funding from Federal and non-Federal sources. In most instances, Line 21 does not provide sufficient space to reflect all of the necessary information. Please show a complete

breakdown of all cost elements summarized in Section B on the Budget Worksheet or attach a separate sheet, if additional space is needed.

**Personnel:** Go to the Application page A- 8, Supplement to Section F, Personal Services. List the name, title, salary, and estimated amount of time for each employee who will be assigned to this project. Note those fees, expenses, and estimated amount of time for outside consultants should be included in f., Contractual. The estimated performance time for outside consultants is not to exceed 49% of project services. Resumes of all personnel assigned to this effort must be included in the application.

**Fringe Benefits:** Leave blank if fringe benefits applicable to direct salaries and wages are treated as part of indirect costs in the indirect cost rate negotiation agreement. If your organization does not have a federally negotiated fringe benefit package, list each component included as a fringe benefit. Please include the employees time-off with pay as a fringe benefit.

**Travel:** Reimbursement will be made based on incurred cost. Estimates should be based on knowledge of the geographical area of small business locations. Reimbursement will not be made for time in travel to and from the client's location. Supporting data should include numbers of trips anticipated, costs per trip per person, destinations proposed, modes of transportation, and related subsistence expenses.

#### **Section F - Line 22 Indirect Charges**

See the Budget Worksheet bottom of page A-10. If you answer “yes” to the question, please enter the indirect cost rate, date, and agency which issued the rate. Please attach a copy of the document from the agency responsible for negotiating and approving the indirect cost rates. If you answer “no” to the question, please list those costs that are shared by other projects and are not included as direct costs. You may classify the items as overhead cost and G&A (General and Administrative) expenses. Refer to the applicable OMB Circulars for guidance.

**APPENDIX A**  
**SF 424 APPLICATION FOR FEDERAL ASSISTANCE**

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		<b>Organizational Unit:</b>	
Organizational DUNS:		Department:	
<b>Address:</b> Street:		Division:	
City:		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>	
County:		Prefix:	First Name:
State: Zip Code		Middle Name	
Country:		Last Name	
		Suffix:	
		Email:	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□-□□□□□□□□		Phone Number (give area code)	Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) <input type="checkbox"/> <input type="checkbox"/> Other (specify)		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types) Other (specify)	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program): □□-□□□□		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b> Start Date: Ending Date:		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant b. Project	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$ .00	DATE:	
c. State	\$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
f. Program Income	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$ .00		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
<b>a. Authorized Representative</b>			
Prefix	First Name	Middle Name	
Last Name		Suffix	
b. Title		c. Telephone Number (give area code)	
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>B. County</td> <td>J. Private University</td> </tr> <tr> <td>C. Municipal</td> <td>K. Indian Tribe</td> </tr> <tr> <td>D. Township</td> <td>L. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>M. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>N. Other (Specify)</td> </tr> <tr> <td>G. Special District</td> <td>O. Not for Profit Organization</td> </tr> <tr> <td>H. Independent School District</td> <td></td> </tr> </table>	A. State	I. State Controlled Institution of Higher Learning	B. County	J. Private University	C. Municipal	K. Indian Tribe	D. Township	L. Individual	E. Interstate	M. Profit Organization	F. Intermunicipal	N. Other (Specify)	G. Special District	O. Not for Profit Organization	H. Independent School District		17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled Institution of Higher Learning																		
B. County	J. Private University																		
C. Municipal	K. Indian Tribe																		
D. Township	L. Individual																		
E. Interstate	M. Profit Organization																		
F. Intermunicipal	N. Other (Specify)																		
G. Special District	O. Not for Profit Organization																		
H. Independent School District																			
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. Increase Award</td> <td style="width: 50%;">B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)												
A. Increase Award	B. Decrease Award																		
C. Increase Duration	D. Decrease Duration																		
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 0348-0044

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$

7. Program Income	\$	\$	\$	\$	\$
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**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTAL <i>(sum of lines 8-11)</i>	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL <i>(sum of lines 13 and 14)</i>	\$	\$	\$	\$	\$

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL <i>(sum of lines 16-19)</i>	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:	22. Indirect Charges:
23. Remarks:	



## INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

*For new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Line 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

## INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

**Lines 8-11** Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**DETAILED EXPENDITURES**

ACTUAL ( )  
 ESTIMATED ( )  
 (Select one block only)

	<b><u>DIRECT COST</u></b>				
	<i>Federal</i>	<i>Non-Fed</i>	<i>In-Kind</i>	<i>Prog. Inc.</i>	<i>Total</i>
Personal Services <i>(refer to Supplement to Personal Services, pg. 3)</i>					
Fringe Benefits <i>(list fringe benefits)</i>					
Travel <i>(give detailed information: no. of travelers, No. of trips, mileage, mode of transportation)</i>					
Equipment <i>(give detailed information: serial no., Model no.; indicate if equipment is purchased or rental)</i>					
Supplies <i>(give detailed information)</i>					
Contractual <i>(to include consultants - give detailed information)</i>					
Other <i>(give detailed information)</i>					
<b>TOTAL DIRECT COST</b>					

**INDIRECT COST (Rate % )**

Overhead <i>(give detailed information)</i>					
General and Administrative <i>(give detailed information)</i>					
<b>TOTAL INDIRECT COST</b>					

**OTHER**

OTHER APPL. COSTS <i>(if applicable, profit)</i>					
<b>TOTAL EXPENDITURES</b>					

**NOTE: ALL CATEGORIES MUST BE SUPPORTED BY NARRATIVE JUSTIFICATION. IF ADDITIONAL SPACE IS REQUIRED, ATTACH SEPARATE SHEET. THIS FORM MUST ALSO BE SUBMITTED WITH THE FINAL FINANCIAL STATUS REPORT (SF-269) AT THE END OF EACH BUDGET YEAR INDICATING THE CUMULATIVE ACTUAL EXPENDITURES.**

SUPPLEMENTARY INSTRUCTIONS

1. Personnel

Enter in Column 1 the annual (12 months) salary rate for each key position referred to in the narrative, which will be filled for all or any part of the year by an incumbent working on the project. This rate may not be more than that paid by the grantee to other employees in comparable positions or, if the grantee has no comparable positions, the rate may not be more than that paid for such services elsewhere in the community.

Enter in column the number of months the position will be filled by an incumbent working on the project.

Enter in Column 3 the percent of time or effort the incumbent will devote to the project during the number of months shown in Column 2. Enter in Column 4 the total amount required, as computed from the information shown in Columns 1 through 3. Use the following formats:

$$\text{Annual Salary } \times (\text{Col. 1}) \frac{\text{No. of Months (Col. 2)}}{12} \times \text{Percent of Effort (Col. 3)} = \text{Total Amount Required (Col. 4)}$$

EXAMPLES:

PERSONNEL				
NAME	ANNUAL SALARY RATE	NO. MOS. BUDG.	% TIME	TOTAL AMOUNT REQUIRED
	(1)	(2)	(3)	(4)
Full-Time Employee of Institution working 60% time on project. ----- ----- John Doe	\$24,000	12	60%	\$14,400
<u>Calculation</u>	\$24,000 x	$\frac{12}{12}$ x	60%	= \$14,400
Summer Employee (3 months) to be paid \$1,000 a month. will work on project 25% of time. ----- ----- Richard Doe	\$12,000	3	25%	\$ 750
<u>Calculation</u>	\$12,000	3	25%	= \$ 750

2. Fringe Benefits

Enter in the parenthesis the fringe benefit rate applicable to employees of the institutions. In Column 4, enter the amount determined by applying the rate to the total of the salaries in Column 4 to which the rate applies.

3. Option for Salary Detail Submission

Institutions may require that the salary rates and amounts requested for individuals not be made available to SBA reviewing consultants. To do so, an additional copy of this page must also be submitted, complete in all respects, except that Columns 1 and 4 may be left blank.

Supplement to Detailed Actual Expenditure for Reporting Period  
Personal Services

NAME AND POSITION TITLE	ANNUAL SALARY RATE	NUM. OF MONTHS BUDGETED	% TIME	TOTAL FEDERAL & NON-FEDERAL AMOUNT REQUIRED
	(1)	(2)	(3)	(4)
FRINGE BENEFITS (Rate _____)				
	CATEGORY TITLE			

**APPENDIX B**  
**ASSURANCE AND CERTIFICATIONS**



## ASSURANCES AND CERTIFICATIONS

The Applicant hereby assures and certifies that he/she will comply with the regulations, policies, guidelines, and requirements including 13 C.F.R. Part 143; OMB Circulars A-73, A-87, A-88, A-89, A-102, A-110, A-122 (or any regulations which are later promulgated to supplement or replace it), and A-130, as appropriate and as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the applicant assures and certifies with respect to the grant/cooperative agreement that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provision of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. If it is a state or local governmental entity, that those of its employees whose principal employment is in connection with an activity which is financed in whole or in part by loans or grants made by the United States or a Federal agency will comply with the relevant provisions of the Hatch Act. See U.S.C. Sections 1501-1503.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standard Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for a private gain for themselves, or others, particularly those with whom they have family, business, or other ties.

8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circulars A-102, A-110, and A-122 (and any regulations which are later promulgated to supplement or replace it), 13 C.F.R. Part 143 as appropriate.
10. This application does not propose any activities that would involve human beings who might be considered subjects, human material, or personal data from primary or secondary sources.
11. This is to hereby certify that this project does not have an effect on the environment such as on the following areas: natural resources, pollution, populations, and any adverse effect through the delivery of services.
12. This is to hereby acknowledge that the U.S. Small Business Administration has a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use any copyrighted materials and reports which shall have been developed under this grant. The recipient also, hereby agrees to notify and provide three copies of any copyrighted materials developed under this grant to the Small Business Administration.
13. This hereby certifies that applicant possesses adequate grant management capabilities as required by OMB circulars and SBA Federal Assistance Administration Regulations and Guidelines in all of the following areas: fiscal administration, facilities management, management information, personnel, planning and budget, procurement and property management.
14. This hereby certifies that applicant meets the standards for fund control and accountability as prescribed in 13 C.F.R. part 143 or OMB Circulars A-102, A-110, and A-122 (or any regulations which are later promulgated to supplement or replace it) as appropriate in accordance with the legal status of the applicant's organizational status and has established or can demonstrate the willingness and ability to establish procedures that will minimize the time elapsing between the transfer of funds from the Treasury and their disbursement by the grantee if advance payment procedures are used.
15. It will ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration from listing by the EPA.
16. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Insurance Act of 1973, Public Law 93-234, 87 Stat. 975, approved

December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having flood hazard.

17. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
18. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S. C. 4 70), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S. C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notify the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
19. It will comply with the requirements which provide that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to the discrimination under any activity receiving Federal financial assistance.
20. It will comply with P.L. 93-112 and P.L. 93-516 which provide that no otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any activity receiving Federal financial assistance.
21. It will comply with P.L. 94-135 which provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any activity receiving Federal financial assistance.
22. Certification regarding debarment, suspension, and other responsibility matters: primary covered transactions.

Certification Regarding Debarment, Suspension and Other  
Responsibility Matters - Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in the denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transactions," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations (13 CFR Part 145).
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings
10. Except for transactions authorized under paragraph, 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification  
Regarding Debarment, Suspension, and Other Responsibility Matters  
Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) are not presently debarred, suspended, proposed or for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) have not within a three-year period preceding this application had one or more public transactions (Federal, State or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in his certification, such prospective primary participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and voluntarily excluded," as used in this clause, have the meanings set out in the definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations (13 CFR Part 145).
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause title "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification  
Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed of debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Compliance with Section 5153 of the Drug-Free  
Workplace Act of 1988, Public Law 100-690, Title V, Subtitle D

By signing and submitting this proposal, the participant is providing the certification set out below.

1. The participant hereby certifies that it will provide a drug-free workplace by.
  - a. publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employee for violations of such prohibition;
  - b. establishing a drug-free awareness program to inform employees about:
    - (i) the dangers of drug abuse in the workplace;
    - (ii) the grantee's policy of maintaining a drug-free workplace;
    - (iii) any available drug counseling, rehabilitation, and employee assistance program; and
    - (iv) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - c. making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by subparagraph (A);
  - d. notifying the employee in the statement required by subparagraph (A), that as a condition of employment in such grant, the employee will.
    - (i) abide by the terms of the statement; and
    - (ii) notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than 5 days after such conviction;
  - e. notifying the granting agency within 10 days after receiving notice of a conviction under subparagraph (D)(ii) from an employee or otherwise receiving actual notice of such conviction;
  - f. taking one of the following actions, within 30 days of receiving notice under subparagraph (D)(ii), with respect to any employee who is so convicted:
    - (i) taking appropriate personnel action against such an employee, up to and including termination; or
    - (ii) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - g. making a good faith effort to continue to maintain a drug-free workplace through implementation of subparagraphs (A), (B), (C), (E), (F), and (G).



The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (Street Address, City, County, State and Zip Code)

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2. The participant hereby certify that, as a condition of this grant, he/she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of controlled substance in conducting any activity with such grant.

Certification Regarding Lobbying Certification for Contracts, Grants, Loans,  
and Cooperative Agreements

The undersigned certifies, to the best of his/her knowledge and belief, that.

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal, contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. (Standard Form LLL-A is "Continuation Sheet" of Standard Form LLL).
3. The undersigned shall require that the language of this certification be included in the award documents for all subaward of all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The participant also certifies that the information in these assurances and certifications in support of this proposal is correct to the best of his/her knowledge and belief and the filing of this application has been duly authorized.

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Legal Name of Participant

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Address

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Print Name and Title of Authorized Representative

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Signature of Authorized Representative

Date signed

## APPLICABLE FEDERAL REQUIREMENTS, POLICIES STANDARDS AND CIRCULARS

Listed below are the most relevant Federal statutes, regulations, policies, and other directives affecting ROP Grant and Cooperative Agreement administration.

### Title VI of the Civil Rights Act of 1964

"No person in the United States shall on the grounds of race, color, or national origin, be excluded from participation, be denied the benefits of, or be subjected discrimination under any program or activity receiving Federal financial assistance."

### Utilization of Small Business Concerns

It is the policy of the Government, as declared by the Congress, that a fair proportion of the purchases and contracts for supplies and services for the Government be placed with small business concerns. ROP recipients are encouraged to contract with the small business concerns when the recipient finds it to be consistent with the efficient performance of his/her award.

### Utilization of Minority Business Enterprises

It is the policy of the Government that minority business enterprises, as defined in Executive Order 11625, shall have the maximum practicable opportunity to participate in the performance of Government awards and contracts. ROP grant and cooperative agreement recipients must make their best efforts to award their contracts in accordance with this policy. Self certification of their contractors is sufficient with respect to their status as minority business enterprises instead of an independent investigation.

### Utilization of Labor Surplus Area Concerns

It is the policy of the Government to make awards to Labor Surplus Area concerns. These are concerns which:

- (1) can perform efficiently, at a price no higher than can be obtained elsewhere;
- (2) employ a proportionate number of disadvantaged individuals; and
- (3) will, together with their first-tier contractors, perform substantially in areas designated by the Secretary of Labor as areas of concentrated unemployment or underemployment or persistent or substantial labor surplus. ROP grant and cooperative agreement assistance recipients must make a best effort to place their contracts in accordance with this policy.

ROP grant and cooperative agreement recipients must make a best effort to place their contracts in accordance with this policy.

### Non-Discrimination on the Basis of Sex

No person in the United States shall, on the grounds of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any ROP award.

### Non-Discrimination Toward the Handicapped

No otherwise qualified handicapped individual in the United States shall, solely by reason of his or her handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under activity supported by any ROP award.

A "handicapped individual" is any person who (a) has a physical or mental impairment which substantially limits one or more of such person's major life activities, (b) has a record of such an impairment, or (c) is regarded as having such an impairment.

### Age Discrimination Act of 1975

Age discrimination is prohibited in all ROP programs.

### Rehabilitation Act of 1973

This Act prohibits discrimination on the basis of physical or mental handicap in every Federally assisted program or activity.

### Architectural Barriers Act of 1968

Federally occupied and funded buildings, facilities, and public conveyances must be designed, constructed, or altered so as to be accessible to the physically handicapped.

### Executive Order 11246

No government contractor or subcontractor (or recipient of Federal financial assistance which may involve a construction contract, or a recipient contractor) may discriminate against any employee or applicant for employment on the basis of race, color, religion, sex, or national origin.

### Executive Order 11518

Provides for the increased representation of the interests of small business concerns before departments and agencies of the United States Government.

### Executive Order 11625

Prescribes additional arrangements for developing and coordinating a national program for minority business enterprise.

## Executive Order 12138

This order created a National Women's Business Enterprise Policy. It prescribed arrangements for developing, coordinating, and implementing a national program for women's business enterprise.

## Hatch Act

This Act prohibits certain public employees from engaging in specified political activities. The prohibition applies to State and local government employees involved in activities that are financed in whole or part by Federal loans or grants.

## Federal Grant and Cooperative Agreement Act 31 U.S.C. Subsections 6301-6308

This Act establishes Government-wide criteria for the use of procurement contracts, grants, and cooperative agreements. The criteria are based upon the Government's purposes for entering into various transactions.

## Freedom of Information Act

This Act ensures the right of any person, organization, governmental unit or entity to obtain access to a wide range of records related to the performance of the official functions of Federal agencies.

## Contract Work Hours and Safety Standards Act

This Act ensures that laborers and mechanics (including sentries and guards) employed by contractors or subcontractors in the performance of Federal contracts above specific dollar thresholds be paid overtime compensation at a rate of not less than one and one-half times their basic rates of pay for all hours worked in excess of 8 in a calendar day, or 40 in a work week, whichever is greater. This Act also includes safety and health provisions.

## OMB Circular A-21, Cost Principles for Educational Institutions

This Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational organizations. The principles deal with the subject of cost determination, and make no attempt to identify the circumstances which dictate the extent of agency and organizational participation in the financing of a particular project. The principles are designed to provide that the Federal Government bear its fair share of total costs, determined in accordance with generally accepted accounting principles, except where restricted or prohibited by law. Agencies are not expected to place additional restrictions on individual items of cost. Provisions of profit or other increments above cost are outside the scope of this Circular.

## OMB Circular A-73,

## Audit of Federal Operations and Programs

This Circular sets forth policies to be followed in the audit of Federal operations and programs.

### OMB Circular A-87, Principles For Determining Costs, Applicable To Grants and Contracts with State, Local and Federally Recognized Indian Tribe Governments

This Circular establishes principles and standards for determining costs applicable to grants and contracts with State and local governments and Federally recognized Indian Tribal governments.

### OMB Circular A-88, Indirect Cost Rates, Audit, and Audit Follow Up at Educational Institutions

This Circular provides policies for: establishing indirect cost rates; auditing; correcting systems deficiencies; and resolving questioned costs. It applies to Federal grants, contracts, and other agreements with educational institutions. The objectives are to promote a coordinated Federal approach, and to achieve a more effective use of staff resources.

### OMB Circular A-89, Catalog of Federal Domestic Assistance

This Circular establishes policies for the development and issuance of the "Catalog of Federal Domestic Assistance." This revision delegates certain statutory authorities for Catalog matters vested in the Director of the Office of Economic Opportunity to the Director of the Office of Management and Budget, effective July 1, 1970. It also modifies the contents of the Catalog, based upon operational experience under the previous Circular. This is intended to make the document more useful to potential applicants for Federal domestic assistance and to program managers at all levels of Government.

## 13 C.F.R. Part 143

This regulation establishes requirements for performance of grants and cooperative agreements by state and local governments.

### OMB Circular A-110, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations

This Circular promulgates standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to, and other agreements with, public and private organizations of higher education, public and private hospitals, and other quasi-public and private organizations.

### OMB Circular A-122, Cost Principles for Nonprofit Organizations

This circular establishes principles for determining costs of grants, contracts and other agreements with nonprofit organizations.

48 C.F.R. (FAR) Part 31.2

This provision establishes cost principles for commercial organizations.

OMB Circular A-130, Management of Federal Information Resources

This Circular establishes policy for the management of Federal information resources. Procedural and analytical guidelines for implementing specific aspects of these policies are included as appendices.

Treasury Circular 1075

This Circular sets forth regulations governing payments to recipient organizations for financing operations under Federal grant and other programs.

Treasury Circular 1082, Notification to States of Grant-In-Aid Information

This Circular provides revised procedures and prescribes a standard reporting form for the notification to States of Grants-In-Aid information in conformance with the provisions of Section 210 of the Inter-governmental Cooperation Act of 1968.

**U.S. SMALL BUSINESS ADMINISTRATION**

**PROGRAM ANNOUNCEMENT FOR  
SBIR RURAL OUTREACH PROGRAM (ROP)**

**PARTNERSHIP PROGRAM**

**SBIRROP-04-R-0003**

**REMINDER CHECKLIST**

**Did You Remember To?**

**You must provide an original and one copy of both the technical and cost proposals including the required supplements (e.g., Governor’s Letter of Endorsement, Certification of Matching Funds, Collaborative Agreement, Table of Major Activities including the projected cost for each.**

**TECHNICAL PROPOSAL**

1. Attach a coversheet to the technical proposal with the following information.
  - ◆ The words “U.S. Small Business Administration”, “SBIR Rural Outreach Program”, and the Program Announcement Number SBIRROP-04-R-0003.
  - ◆ State(s) represented by the application
  - ◆ Name of entity(s)/individual submitting the proposal
  - ◆ The printed name, title, telephone number, mailing address, e-mail address, and signature of the project director designated by the applicant or lead organization in cases of multi-state or regional applications.
  - ◆ The printed name, title, telephone number, mailing address, e-mail address, and signature of individual legally authorized to enter into an agreement with the SBA, if different from the project director.
2. Enclose the original Governor’s Letter of Endorsement with your technical proposal under **Technical Supplement I** of your Technical Proposal (original and one (1) copy).
3. Enclose the original and one (1) copy of the Technical proposal including all documentation **for Technical Supplement I**.
4. Enclose CD containing Technical Proposal including vitas and resumes (original and one (1) copy).
5. Enclose signed Collaborative Agreement, if applicable. (original and one (1) copy).



## Reminder Checklist continued

### COST PROPOSAL

1. Attach a coversheet labeled Cost Proposal with the following information
  - ◆ The printed words “**U.S. Small Business Administration**”, “**SBIR Rural Outreach Program**” and the **Program Announcement Number SBIRROP-04-R--0003**.
  - ◆ The State(s) represented by this application
  - ◆ The entity(s) submitting the application
  - ◆ The printed name, title, telephone number, mailing address, e-mail address, and signature of the project director of the proposing entity or lead organizations in cases of multi-state or regional applications.
2. Sign and date Blocks 18 d and e of the SF 424 “Application for Federal Assistance”.
3. Sign and Enclose all Assurances and Certifications under Cost Supplement I (one original and one (1) copy).
4. Enclose a Table detailing major activities along with a projected cost for each (original and one (1) copy).
5. Enclose original and one (1) copy of certification(s) of match under the Cost Supplement II of the Cost Proposal.
6. Enclose CD containing SF 424 and 2069 data in addition to budget narrative and chart containing cost data for each activity such as a workshop, individualized counseling or Mentoring.

**REMEMBER TO SEPARATELY BIND THE ORIGINAL TECHNICAL AND COST PROPOSAL (including the copy for each)**

**REMEMBER TO SCAN TECHNICAL PROPOSAL INCLUDING ALL SUPPLEMENTS (Cover Sheet, Resumes, Governor’s Letter, Collaborative Agreement) INTO A SINGLE PDF FILE.**

**REMEMBER TO SCAN COST PROPOSAL INCLUDING ALL SUPPLEMENTS (Cover Sheet, Matching Funds Certification(s), Assurances and Certifications, SF 424, Detailed Expenditure and Key Personnel Worksheets, Table of Activities with projected cost) INTO A SINGLE PDF FILE.**

**REMEMBER TO USE CDs ONLY---NO FLOPPY DISKETTES.**



U.S. SMALL BUSINESS ADMINISTRATION  
WASHINGTON, DC 20416

DATE: March 31, 2004

TO: Prospective Applicants

FROM: Office of Procurement and Grant Management (OPGM)

SUBJECT: Program Announcement No. SBIRROP-04-R-0003, Small Business Innovation Research Rural Outreach Program (SBIR-ROP)

You are invited to submit a proposal, an original and one copy, in response to Program Announcement No. SBIRROP-04-R-0003. Applicants must bind the cost proposal separately from the technical proposal in accordance with the enclosed instructions. Your technical proposal must be typed in single-space format and must not exceed 25 pages. Please review the section of the Program Announcement entitled "Proposal Requirements and Preparation Instructions" for further details.

The U.S. Small Business Administration (SBA) plans to provide Federal Assistance in the form of up to five (5) cooperative agreements under this Announcement to enable states to establish or enhance current operations of Small Business Innovation and Small Business Technology Transfer Research (SBIR/STTR) marketing and outreach programs. This program is for the benefit of small, technology businesses and entrepreneurs in related fields. Twenty-five states including the District of Columbia and Puerto Rico are eligible to submit an application under this Announcement. Awards require non-federal matching funds. Matching funds will be based upon a proportion of Federal dollars to non-Federal dollars. The desired impact of proposed services to be provided under this Announcement will further promote awareness of the SBIR/STTR programs amongst small technology firms.

**Applicants should be aware that applications that do not comply with all of the directions set forth in the Announcement will be returned to the applicant without review.** All non-compliant applications including copies will be returned with a letter of notification.

The closing date for this Announcement is May 12, 2004, 4:00 p.m., Eastern Daylight Time. Applications should be sent or hand carried to the U.S. Small Business Administration, Office of Procurement and Grants Management, 409 3<sup>rd</sup> Street, 5<sup>th</sup> Floor, Washington, DC 20416, Attention Patricia Branch, Grant Officer. An application delivered to any other location will be deemed late and will be returned to the applicant without review.

Please place the following notation in the lower left hand corner of the sealed envelope or package:

***THIS IS A SEALED OFFER. DO NOT OPEN.  
STAMP DATE AND TIME RECEIVED ON THE***

SBA IS AN EQUAL OPPORTUNITY EMPLOYER AND PROVIDER

**ENVELOPE. APPLICATION IS IN RESPONSE TO  
PROGRAM ANNOUNCEMENT SBIRROP-04-R-0003,  
DUE MAY 12, 2004, AT 4:00 P.M., Eastern Daylight  
Time, at SBA's OFFICE OF PROCUREMENT & GRANTS  
MANAGEMENT.**

All applicants must be determined to be responsible under the criteria of the Federal Acquisition Regulations (FAR) §9.104-1. The decision of OPGM concerning a prospective applicant's responsibility will be final.

Any questions relating to the technical aspects of this Announcement should be directed to Cherina Hughes or Robert Connolly in the Office of Technology, at (202) 205-7344 or (202) 619-0359, respectively. Questions concerning budget or funding matters should be directed to Patricia Branch at (202) 205-7081.

Sincerely,



Sharon Gurley

Director

Office of Procurement and Grants Management

U.S. Small Business Administration