

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

**PROGRAM ANNOUNCEMENT
FEDERAL AND STATE TECHNOLOGY PARTNERSHIP PROGRAM
TO PROVIDE TECHNICAL ASSISTANCE AND OTHER SERVICES TO
SMALL HIGH TECHNOLOGY BUSINESSES**

FISCAL YEAR 2004

OPENING DATE: March 11, 2004

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U.S. SMALL BUSINESS ADMINISTRATION

**PROGRAM ANNOUNCEMENT FOR
FEDERAL AND STATE TECHNOLOGY (FAST)
PARTNERSHIP PROGRAM**

I. Introduction

The U.S. Small Business Administration (SBA) invites eligible organizations to submit applications for participation in the 3rd **Federal and State Technology (FAST) Partnership Program**. Both new and prior year applicants are encouraged to apply.

The Consolidated Appropriations Act of 2001, now codified at 15 U.S.C. §657d(c), established the FAST program. The purpose is to strengthen the technological competitiveness of small business concerns in every state. The Congress has found that there is much variance within state technology programs that foster economic development among small high-technology firms. Therefore, this program intends to improve the participation of small technology firms in the innovation and commercialization of new technology; thereby ensuring that the United States remains on the cutting edge of research and development in the highly competitive arena of science and technology. The FAST Program shall be administered by the SBA's Office of Technology.

II. Mission Statement

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 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 of technology. OT has broad government-wide policy and oversight responsibilities for two major Federal research and development acquisition programs, the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (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 purpose of the FAST program is to enhance or develop within a state the following by awarding cooperative agreements to eligible applicants:

- A. Technology research and development by small business concerns;
- B. Technology transfer from university research to technology-based small business concerns;
- C. **Technology deployment and diffusion benefiting small business concerns;**
- D. The technological capabilities of small business concerns through the establishment or operation of consortia comprised of entities, organizations, or individuals including:
 - (i) State and local development agencies and entities;
 - (ii) Representatives of technology-based small business concerns;
 - (iii) Industries and emerging companies;
 - (iv) Universities; and
 - (v) Small business development centers.
- E. Outreach, financial support and technical assistance to technology-based small business concerns participating in or interested in participating in an SBIR program, including initiatives:
 - (i) To make grants or loans to companies to pay a portion or all of the cost of developing SBIR proposals;
 - (ii) To establish or operate a mentoring network within the FAST Program to provide business advice and counseling that will assist small business concerns that have been identified by FAST Program participants, program managers of participating SBIR agencies, the Administration, other entities that are knowledgeable about the SBIR and STTR programs as good candidates for the SBIR and STTR Programs, and that would benefit from mentoring, in accordance with section 35 of the Small Business Act (15 USC § 657c);
 - (iii) To create or participate in a training program for individuals providing SBIR outreach and assistance at the state and local levels; and
 - (iv) To encourage the commercialization of technology developed through SBIR program funding.

The implementation of the FAST Program requires the SBA Administrator to collaborate and cooperate with Federal agencies required by section 9(e) of the Small Business Act to have an SBIR Program; and entities, organizations, and individuals actively engaged in enhancing or developing the technological capabilities of small business concerns, including:

- 1) State and local development agencies and entities;
- 2) State committees established under the Experimental Program to Stimulate Competitive Research (EPSCoR) of the National Science Foundation (NSF) (as established under §113 of the NSF Authorization Act of 1988 (42 U.S.C. 1862g);
- 3) State science and technology councils; and,
- 4) Representatives of technology-based small business concerns.

IV. Eligibility

Under the FAST Program, organizations and individuals in every state (including state economic development agencies, Small Business Development Centers, or any other entity involved in the development of small technology firms) are eligible to apply for a cooperative agreement award. Proposals may be submitted on behalf of an individual state or on behalf of multiple states.

Not more than one proposal may be submitted for inclusion in the FAST program to provide services in any one state in any one fiscal year. Application must be accompanied by a Letter of Endorsement signed by the appropriate state governor or his/her authorized designee.

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 FAST representative are also ineligible (for further explanation see Section VII "Letter of Endorsement").

All applicants must have an adequate financial management system that meets the standards prescribed in OMB Circular A-110, Subpart C. Section .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, Section .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). Current FAST award recipients who are not in compliance with reporting requirements are not eligible to submit an application in response to the this announcement.

V. Glossary of Terms

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

- **Applicant or Eligible Applicant** - means an entity, organization, or individual that submits a proposal for an award or a cooperative agreement under this Program Announcement.
- **Award** - means financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the Federal government to an eligible recipient.
- **Business Advice and Counseling**. means providing advice and assistance on matters described in section 35(c)(2)(B) [15 USC § 657c] to small business concerns to guide them through the SBIR and STTR program process, from application to award and successful completion of each phase of the program.
- **One-to-One/Individualized Counseling** - technical assistance provided either by a staff member, an independent contractor, or a volunteer. It may be provided at the program site, at the client's business, or at an appropriate site for business where the contractor or volunteer chooses to meet the client.
- **Grants Management Officer** - shall mean an employee of SBA's Office of Procurement and Grants Management who has been delegated authority, in addition to other grant responsibilities, 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, schedules, and cost performance against the proposed objectives, and work closely with the Office of Procurement and Grants Management (OPGM) Grants Management Officer in the overall administration of the grant. This individual is responsible for overseeing all programmatic aspects of awards made under this Program Announcement.
- **Mentor** - is a person or persons associated with a small business concern that has successfully completed one or more SBIR or STTR funding agreements, and have agreed to guide small business concerns through all stages of the SBIR or STTR Program process. (Mentor is also defined in section 35(c)(2) [15 USC § 657c].
- **Mentoring Network** - is defined as an association, organization, coalition, or other entity (including an individual) that meets the requirements of section 35(c) [15 USC § 657c]. A Mentoring Network that is established under this Announcement must provide business advice and counseling to high-technology small business concerns located in the state or region served by the Mentoring Network and identified under Section 34(c)(1)(E)(ii) as potential candidates for the SBIR or STTR Programs. For more explicit details concerning the minimal requirements for establishing a Mentoring Network, refer to 15 USC § 657c.
- **Non-Federal Funds** - shall mean a recipient's cash, in-kind and/or program income contribution in fulfillment of matching funds requirements under this Announcement.
- **Outcomes** – The assessment of the results of the FAST program compared to its intended purpose utilizing short, intermediate and long-term performance measurements to assess how businesses benefited from the services provided in addition to how the state's overall SBIR performance has improved including but not limited to an increase in the number and dollar amount of SBIR Phase I, II and III awards won by small technology firms.
- **Outputs** – Services produced by a program or organization such as a workshop, seminar or individualized counseling and provided to the public or to other organizations.
- **Phase 0 Awards**–Phase 0 is a general term indicating preliminary grant assistance designed to support a successful Phase 1 SBIR or STTR proposal. Such funding can be for initial R&D efforts to support a planned Phase 1 proposal, or as support funds for the planning, preparation and evaluation of a Phase 1 proposal.
- **Planning Activity**–an activity that a recipient performs in planning for the provision of services to the small business or its clients.
- **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(b) for details. All program income as defined in Office of Management and Budget or Chapter 13 of the Code of Federal Regulations Circulars 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 employed by the recipient and approved by the Office of Technology to direct the effort under the cooperative agreement. This individual is responsible to officials of the recipient for the proper management and conduct of the project.

- **Recipient**—the term recipient is defined as a person or organization that receives an award or becomes party to a cooperative agreement under this program announcement. The recipient is responsible and accountable to SBA for the performance and financial management aspects of the agreement award.
- **Small Business or Small Business Concern**—shall mean a business concern that is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and does not have more than 500 employees, including its affiliates. The size standards and size determination provision of 13 CFR Part 121, particularly 13 CFR Section 121.901-907, shall apply.
- **State** - means the fifty (50) states including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, and American Samoa.
- **Women-owned Business**—is a small business concern owned and controlled by women, either start-up or existing, which is not less than 51 percent owned by one or more women and the management and daily business operations are controlled by one or more women.
- **Minority-owned Business**—is defined as a small business which is unconditionally owned and controlled by one or more socially and economically disadvantaged individuals (minority-owned) who are of good character and citizens of the United States, and which demonstrates potential for success.
- **Hispanic Serving Institution**—as defined by Title V (20 U.S.C. 11011 et seq.) “an eligible institution means—

(A) an institution of higher education—

- (i) That has enrollment of needy students as required by subsection (b);
- (ii) except as provided in section 512 (b), the average educational and general expenditures of which are low, per full-time equivalent undergraduate student in comparison with the average educational and general expenditures per full-time equivalent undergraduate student of institutions that offer similar instruction;
- (iii) that is –
 - (I) legally authorized to provide, and provides within the State, an educational program for which the institution awards a bachelor’s degree; or
 - (II) a junior or community college;
- (iv) that is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered or that is according to such an agency or association making reasonable progress toward accreditation.
- (v) that meets such other requirements as the Secretary may prescribe; and
- (vi) that is located in a State; and

(B) any branch of any institution of higher education described under subparagraph (A) that by itself satisfies the requirements contained in clauses (i) and (ii) of such subparagraph.

- **Tribal College or University** – as cited in Section 532 of the Equity in Educational Land-Grants Status Act of 1994 (7 U.S.C. 301 note), any other institution that qualified for funding under the Tribally Controlled Community College Assistance Act of 1978, (25 U.S.C. 1801 et. seq.), and Navajo Community College authorized in the Navajo Community College Assistance Act of 1978 (P.L. 95-471, Title II (25 U.S.C. 640a note).
- **Historically Black College or University** – is defined as a black college or university that was established prior to 1964, whose principle mission was, and is, the education of Black Americans, and that is accredited by a nationally recognized agency or association determined by the Secretary of Education to be a reliable authority as to the quality of training offered...is making reasonable progress toward accreditation. (P.L. 96-374 amended 12/20/93 in P.L. 103-208).

VI. Program Overview

A. Program Name

Federal and State Technology Partnership Program (“FAST Program”).

B. Target Geographical Areas

Fifty (50) states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, and American Samoa.

C. Applicant Pool

Eligible applicants may be comprised of both new applicants and existing 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 any other entity involved in the development of high technology firms.

D. Clients to be Served

Small science and technology-based businesses.

E. Purpose

To strengthen the technological competitiveness of science and technology based small business concerns in the states.

F. Federal Catalog Number

59.000.

G. Authority

Federal and State Technology Partnership Program, P. L. 106-554, sections 111 and 112 codified at 15 U.S.C. 652d & e.

H. Funding Instrument

Cooperative Agreement.

I. Funding

(1) Overview:

Subject to Availability of Funds for Fiscal Year 2004.

(2) General Matching Requirements (See Appendix C for your state ranking.)

A non-Federal match is required from eligible applicants submitting proposals under this program announcement. The non-Federal share of the cost of an

activity (other than a planning activity) carried out using an award or cooperative agreement under the FAST program is provided below. Applicants may use up to five (5) percent of their grants for planning activities which are excluded from the non-Federal matching requirements (Refer to Section V. for definition of planning activity.)

- (a) 50 cents of non-Federal match for each Federal dollar (a 1:2 match) for recipients in the eighteen (18) states receiving the fewest number of SBIR first phase awards (as described in section 9(e)(4)(A));
- (b) except as noted in part 3 (below), one dollar of non-Federal match for each Federal dollar (1:1 match), in the case of a recipient that will serve small business concerns located in one of the sixteen (16) states receiving the greatest number of SBIR first phase awards; and,
- (c) except as noted in part 3 (below), 75 cents of non-Federal match for (a 3:4 match) for each Federal dollar for all other states not described previously.

(3) Low-Income Areas

The non-Federal share of the cost of the activity carried out using an award or Under a cooperative agreement under this section shall be 50 cents for each Federal dollar that will be directly allocated by a recipient described in sections b and c (above) to serve small business concerns located in a qualified census tract, as that term is defined in section 42(d)(5)(C)(ii) of the Internal Revenue Code of 1986. Federal dollars not so allocated by that recipient shall be subject to the matching requirements of section b (above).

(4) 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 50 percent cash and not more than 50 percent of indirect costs 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.

(5) 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 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.

The request must be made no later than 60 days before the end of the budget/project period or the de-obligation process will begin. Approved requests will require the issuance of a revised Notice of Award. Expenditures for funds carried over to the next

budget period must be tracked and reported separately.

(6) 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.

J. Funding Range

Subject to the availability of funds, the Federal award per state will not exceed \$95,000. Each state represented in a multi-state application will not be eligible to receive an award amount exceeding \$95,000.

K. Number of Awards

(1) General

The SBA anticipates issuing multiple awards under this Announcement. The number may vary, based on the needs of the pool of qualified applicants received, the evaluations and the amount of available funds. The SBA estimates that it will issue up to 20 awards under the Announcement if funds are available.

(2) Regional/Multiple State Applications

The SBA will accept multiple state applications from those states desiring to pool their resources to provide services to eligible firms under this program announcement on a regional basis (e.g., MD, DC & VA). Individual letters of endorsement from the state governor, as specified within this program announcement, will be required for each state applying under a multiple state application.

L. Closing Time and Date for the Submission of Application

Proposals are due no later than May 5, 2004 (4:00 p.m., Eastern Daylight Time).

M. Project Start Date

No later than 07/01/04.

N. Project Duration

The project period is limited to one base year. The FAST Program is authorized for five (5) years beginning in FY 2001. The funding and project period for each cooperative agreement is one (1) year. Subject to the availability of funds, SBA will conduct a new competition for each fiscal year that the program is authorized (2005 expiration date) and appropriated.

Re-competition not only permits each state an opportunity to reevaluate its FAST Program and realign state-based initiatives based upon changing needs, circumstances, and results; it also permits the Government to annually fund the best documented plans based upon the legislative intent of the FAST Program and availability of appropriated funds. This circumstance also highlights the importance of securing non-Federal funds to support each applicant's program.

O. Application Eligibility Screening Requirements

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 section must contain the items described below. *Those proposals not satisfying these requirements will be returned to the applicant without review.*

(1) Part I- Technical Proposal:

- ◆ One (1) original and one (1) paper copy of the Technical Proposal including supplements. A compact disc (CD) must also be submitted and include the technical proposal with coversheet, Governors endorsement letter, curriculum vitae/resumes and supplemental information into a single pdf file. Additional information concerning the packaging the Technical Proposal can be found in Section (X) – “SUBMISSION OF APPLICATIONS” and the Helpful Hints. E-mails, E-mails with attachments and floppy disks **are not** acceptable.

(2) Part II – Cost Proposal

- ◆ One (1) signed original and one (1) copy of the cost proposal (SF 424/Application for Federal Assistance”). The cost proposal must be on the same CD as the technical proposal. The Cost Proposal must be combined into a single pdf file and include the Assurances and Certifications, Table of Major Activities and Costs, and Certification of Matching Funds. More details concerning the packaging of the Cost Proposal may be found in Section (X) -- “SUBMISSION OF APPLICATIONS.”

Note: All required budgetary forms may be downloaded from our website at <http://www.sba.gov/sbir/inexfast.html>. The writable version of the SF 424, 424a may be found at http://www.whitehouse.gov/omb/grants/grants_forms.html.

Applicants must submit complete and properly assembled applications with the appropriate number of hard copies as indicated above including the electronic version on compact disc. Incomplete and improperly assembled applications will be returned without review. The original, copies and electronic versions of applications not accepted for evaluation will be returned with a letter of notification.

P. FAST Proposal Review

Applications will undergo a two tier review process. The initial review will be conducted by the FAST Review Committee (FRC). The FRC will be established to evaluate and score eligible proposals based upon the criteria stated in this evaluation. The FRC may include small business owners, state-level representatives, Federal SBIR Program managers, and representatives of the business and academic communities. The FRC will be divided into two teams. Team I will evaluate and score new applicant proposals and Team II will do the same for the Incumbent Applicants. At the conclusion of the evaluations for each class of applicants, scores will be tallied and ranked separately for Teams I and II. Scores for both new and incumbent applicants will then be compiled and ranked.

Proposals that meet the baseline score of 90 will be forwarded to the second tier evaluation panel for review and funding recommendation. Applications for new and incumbent +applicants with a score of 90 or above will undergo a second level “joint” review by program officials representing the SBA, Department of Defense and National Science Foundation. For the purpose of this Announcement, the committee will be referred to as the Fast Final Review and Selection Committee (FFRSC). In addition to conducting a joint review of the applications, the FFRSC will also review the recommendations, summaries and rankings presented by the FRC.

Note: Incumbent applicants will not receive preferential treatment. Funding recommendations will be based solely on the merits of the application. If incumbents are not in compliance with reporting requirements for existing awards, they are not eligible for a new FY 2004 award.

Q. Agency Contacts

Questions about the **technical section** of this Program Announcement, but not pertaining to the cost component, can be submitted to:

Ms. Cherina Hughes
FAST Program Manager
Office of Technology
U.S. Small Business Administration
409 Third Street, SW - Mail Code 6540
Washington, D.C. 20416
(202) 205-7344

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

Ms. Patricia Branch
Grant Officer
Office of Procurement Grants Management
U.S. Small Business Administration
409 Third Street, SW - 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.

R. Awards Determination

The SBA is the funding agency for the FAST Program. Funding recommendations will be a collaborative effort between the SBA, National Science Foundation (NSF) and the Department of Defense (DOD). The SBA may ask applicants for clarification on the technical and cost aspects of the proposals. Such requests do not constitute a commitment to fund the proposed effort.

S. Internal Resources, Project Management and Oversight

The recipient should 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. To facilitate more effective geographic coverage for the proposed project, the applicant may need to subcontract more than 49% of the work required for this effort. If the applicant finds that more than 49% of the project needs to be subcontracted, excluding project oversight and administration, to better provide services to the target community, the applicant must provide a narrative justification substantiating the need to subcontract more than 49% of the project in both the technical and cost portion of the FAST proposal. In any case, no more than 70% of the project may be subcontracted, and the applicant must document that adequate and qualified staff and systems in-residence are in place at the time of award to perform the proposed work effort.

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 full-time employee of the recipient.

T. 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 <http://www.sba.gov>. The SBA will provide written debriefing sessions for **unsuccessful proposals only**, no sooner than 45 days after the awards have been issued. Requests must be made in writing to the Office of Technology, SBA, 409 Third Street, SW- Mail Code: 6540, Washington DC 20416, Attention: FAST Program.

U. Cancellation

The 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;
- ▶ contains 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 for Individual State Applications

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.

Governor's Letter(s) of Endorsement for Regional/Multiple State Applications

Separate Letters of Endorsement must be submitted for Regional applications. Letters of Endorsement must be signed by each state Governor or his/her/their designee(s) (i.e., Lt. Governor or Department Level Secretary) for joint proposals submitted under this Program Announcement. In a case 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 **no 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;
 - ◆ Vitae or resumes of key personnel identified in the proposal; and
 - ◆ Signed Collaborative Agreement between partnering states
(Not required for individual applications).

In the interest of equity to all applicants, **all information must be in 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.

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 containing the following:
 - ◆ Signed "Assurances and Certifications"
 - ◆ Table of major activities with cost breakdown (See examples under Appendix C)
- 4) Cost Supplement II containing the following Certification(s) of Matching Funds

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

B. Application Instructions

Previous FAST award winners must include information regarding actual program accomplishments from the FY 2001 and/or 2002 funding period in the narrative portion of the technical proposal.

Regional/Multi-State Applications

If you participate in a Regional/Multi-State Application, all entities that are party to the joint application must separately meet the statutory requirement and eligibility requirements in order to submit a Regional proposal.

Joint applications must name the lead state and organization with whom the Federal Government will enter into a binding agreement. It must also include a copy of a signed collaborative agreement outlining the responsibilities of each partner organization.

An authorized signature from each state's organization must appear on the agreement. The lead organization will be responsible for coordinating reports and requests for funding.

Regional proposals must clearly spell out what and by whom specific FAST activities will be conducted within each state. Joint applications must also describe in detail how the two states will work and compliment one another.

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, Federal and State Technology (FAST) Partnership Program, and the Program Announcement Number** from the cover page of this Announcement.
- 2) The state(s) 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 New FAST Applicants**

- 1) **Overview.** In two pages or less, the applicant must explain why the proposal merits funding under this Program Announcement. The overview must state how the recipient intends to target and incorporate tech-based women-owned, socially and economically disadvantaged businesses and small firms located in areas that have historically not participated in the SBIR and STTR programs.
- 2) **Addressing Unmet Needs and Program Objectives.** A concise narrative description of the needs of the small innovative technology business community within the eligible state(s), and how the effort proposed under this Program Announcement would address the unmet needs of small business concerns in the community. The narrative should include a strategy for addressing the needs of women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR and why it is important to use Federal funding for the proposed activities along with clearly stated objectives for the proposed effort.
- 3) **Measured Demonstration of Need.** A concise narrative description to demonstrate that a need exists to increase the number or success of small innovative technology businesses in general and more specifically for women, socially and economically disadvantaged and other small businesses that have not historically participated in SBIR/STTR in the state(s), as measured by the number of first phase and second phase SBIR awards that have historically been received by small business concerns in the state(s).
- 4) **FAST Plan.** Include a detailed description of the FAST Plan. The narrative plan must include a detailed description of proposed services and assistance.

Applicants under this program announcement must intend to use a portion of the Federal assistance provided under this program for outreach, financial support, or technical assistance to technology-based small business concerns participating in or interested in participating in the SBIR program. The plan must provide information concerning the applicant's long-range plans for this initiative and how the applicant proposes to sustain the project after the grant.

THE FAST PLAN SHOULD BE AT LEAST ONE-HALF OF THE TECHNICAL PROPOSAL.

The plan may enhance or develop: (1) technology research and development by small business concerns (2) technology transfer from university research to technology-based small business concerns (3) technology deployment and diffusion benefiting small business concerns and, (4) the technological capabilities of small business concerns through the establishment of consortia comprised of state and local development agencies, small business concerns, industries and universities.

Applicants may also consider using a portion of the grant funds to conduct SBIR outreach, operate a Mentoring Network for the provision of technical assistance to small businesses and, encourage the commercialization of technology. A portion of grant funds may also be used to provide financial support to eligible small technology based companies, including: providing grants or loans to companies to pay a portion or all of the cost of developing SBIR proposals.

Although financial support to eligible small technology based firms may be provided via a sub-grant or loan, certain limitations will apply. Financial support for eligible small firms may be used for the purpose of activities or programs including but not limited to Phase 0 programs (ref. Section V for definition), provision of technical assistance, grants to pay a portion or all costs of developing SBIR proposals and other SBIR related initiatives.

Applicants proposing to use a loan vehicle to provide assistance to eligible firms must stipulate in their proposal that the loan(s) must be short term and re-payment must be made prior to the project period expiration date on the cooperative agreement. In addition, loan re-payments are considered to be program income and are subject to the guidelines and administrative requirements outlined in OMB Circular A 110 section 24. Clear detail concerning the loan application, loan servicing and administrative processes must be included in the technical proposal.

Applicants proposing the use of sub-grants as means of providing assistance to eligible small technology firms, must provide a detailed description of the application and administrative processes to be used to deliver this portion of the program. The terms and conditions for administering sub-grants are subject to OMB Circulars depending on the type of institution receiving the cooperative agreement. Sub-grants awarded to small high technology businesses must be issued prior to the project period expiration date on the cooperative agreement.

Broad guidelines have purposefully been presented in these instructions to permit the applicant to develop the most appropriate and relevant plan for the technology business community in the area represented by the applicant, provided that such activities are consistent with the legislative purpose presented in Section III of this

program announcement.

Although broad guidelines have been presented, the applicant must include a detailed description of the plan. This section should address the objectives cited in 2(A)(ii)(b) above. The plan should indicate not only what will be done, but also how it will be carried out. The methods planned to achieve each objective or task should be discussed in detail (with milestones). This should include how this proposal integrates and coordinates the proposed activities with other state and local programs assisting small innovative technology firms in the state(s).

- 5) **Performance Indicators.** Describe in detail the manner in which the applicant will measure the results of the activities to be conducted. Applicants must present clear, quantifiable and verifiable performance indicators in their proposals. The data from these indicators shall be used to provide outcome and output data in the quarterly reports throughout the performance period. In addition, program results will be used in the development of future program announcements and the assessment of subsequent proposals. In order for SBA to properly assess the FAST Program and provide accurate information to our constituents, the indicators must be linked to the applicant's proposed FAST performance plan and must include both output and outcome data. A minimum of five output and four outcome indicators must be used to demonstrate that the proposed effort is progressing as described in the application and as a result of these activities the desired effect(s) is being achieved.

A few examples of program outputs would be the number of workshops/seminars held or the number of mentoring relationships formed. The outcome of one of these activities could be the submission of an SBIR proposal or a joint venture on an upcoming SBIR/STTR requirement that results in a SBIR Phase I or II award or the commercialization of an SBIR project which increases the state's number of small technology businesses participating in SBIR or increases the dollar value of Phase I or II awards for the state from the previous year. Another program outcome could be a change in the State's overall Phase I or II ranking as a result of the FAST program. Outcomes may be a blend of short and/or long-term program impact, but they must relate directly to the activities funded under the proposed award.

Describe what you will measure, how you will measure it and what action will be taken if the desired result is not being reached. Explain who will benefit from the services provided and how will they be helped by these efforts.

- 6) **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 FAST program services.

If a multiple state proposal is submitted, a lead state and lead servicing organization must be designated in the proposal. Additionally details regarding the responsibilities and grant/award administration of the lead organization must be clearly spelled out in the narrative portion of the proposal. SBA will only enter into a legal funding agreement

with the legal entity designated as the lead organization under a joint or multi-state proposal. Also, if multiple states are submitting a regional application and plan to utilize separate entities, each state under the joint application must include a written agreement(s) between the participating parties (include in Technical Supplement I), as well as an organizational chart reflecting the number of full time and part-time staff, and proposed use of volunteers for each organization proposing to provide services under this announcement.

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 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. -- Vitae of key personnel identified in the proposal should be included in "Technical Supplement I" of your Application.]**

Each FAST recipient must appoint a Project Director to manage and coordinate the FAST 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 FAST award. This function cannot be subcontracted to a third party.

c) **Technical Content for Incumbent FAST Applicants**

- 1) **Overview.** In two pages or less, the Applicant must explain why its proposal merits second or third year funding under this Program Announcement. Based upon prior year experience, the applicant must state how they intend to target and incorporate tech-based women-owned, socially and economically disadvantaged and small businesses traditionally not involved in the SBIR/STTR programs in the implementation of the 2nd or 3rd year FAST project.
- 2) **Addressing Unmet Needs and Program Objectives.** A concise narrative description of the needs of the small innovative technology business community within the eligible state(s), describing how the 2nd or 3rd year effort will address the unmet needs of small business concerns in the community including the unmet needs of women-owned, socially and economically disadvantaged and small business owners not typically involved in SBIR/STTR programs. Include reasons why it is important to continue to use Federal funding for these proposed activities along with clearly stated objectives for the proposed effort. Describe what remains to be accomplished based upon the first and second year's efforts.
- 3) **Measured Demonstration of Need.** A concise narrative description to demonstrate that a need still exists to increase the number or success of small innovative technology

businesses in general and more specifically for small high-tech firms owned by women, socially and economically disadvantaged and firms not traditionally involved in SBIR/STTR in the state(s), as measured by the number of first phase and second phase SBIR awards that have historically been received by small business concerns in the state(s). Provide information detailing prior year and current year needs including data related to small businesses not traditionally involved in SBIR/STTR, socially and economically disadvantaged, and women-owned businesses.

- 4) **FAST Plan.** Include a detailed description of the FAST Plan. The narrative plan must include a detailed description of proposed services and assistance based upon last year's efforts. Applicants under this program announcement must intend to use a portion of the Federal assistance provided under this program for outreach, financial support, or technical assistance to technology-based small business concerns participating in or interested in participating in the SBIR program. State how use of the FY 2004 Federal Assistance contrasts with prior year funding strategy. The plan must provide information concerning the applicant's long-range plans for this initiative and how the applicant proposes to sustain the project after the grant.

THE FAST PLAN SHOULD BE AT LEAST ONE-HALF OF THE TECHNICAL PROPOSAL.

How did last year's plan enhance or develop: (1) technology research and development by small business concerns (2) technology transfer from university research to technology-based small business concerns (3) technology deployment and diffusion benefiting small business concerns, and (4) the technological capabilities of small business concerns through the establishment of consortia comprised of state and local development agencies, small business concerns, industries and universities? How will you accomplish this task under this year's plan? What steps will be taken to improve program impact and overall service delivery to the target audience?

If you used a portion of the grant funds to conduct SBIR outreach, operate a Mentoring Network for the provision of technical assistance to small businesses or encourage the commercialization of technology, will you continue implementing one or all of these activities with FY 2004 funding? Describe the former strategy and any successes in detail and explain current year plans and any enhancements or revisions to last year's process, if applicable.

If the prior year application included a portion of grant funds being used to provide financial support to eligible small technology based companies, by providing grants or loans to companies to pay a portion or all of the cost of developing SBIR proposals, describe the impact this activity has had on FAST Program beneficiaries. Describe the current year plan and any changes from the previous year as appropriate.

Financial support to eligible small technology based firms may be provided via a sub-grant or loan, however, certain limitations still apply. Financial support for eligible small firms may be used for the purpose of activities or programs including but not limited to Phase 0 programs, provision of technical assistance, grants to pay a portion or all costs of developing SBIR proposals and other SBIR related initiatives.

Applicants proposing to use a loan vehicle to provide assistance to eligible firms must stipulate in their proposal that the loan(s) must be short term and re-payment must be made prior to the project period expiration date on the cooperative agreement. In

addition, loan re-payments are considered to be program income and are subject to the guidelines and administrative requirements outlined in OMB Circular A-110 section 24. Clear detail concerning the loan application, loan servicing and administrative processes must be included in the technical proposal.

Applicants proposing the use of sub-grants as means of providing assistance to eligible small technology firms, must provide a detailed description of the application and administrative processes to be used to deliver this portion of the program. The terms and conditions for administering sub-grants are subject to OMB Circulars depending on the type of institution receiving the cooperative agreement. Sub-grants awarded to small high technology businesses must be issued prior to the project period expiration date on the cooperative agreement.

Broad guidelines have purposefully been presented in these instructions to permit the applicant to develop the most appropriate and relevant plan for the technology business community in the area represented by the applicant, provided that such activities are consistent with the legislative purpose presented in Section III of this program announcement.

Although broad guidelines have been presented, the applicant must include a detailed description of the plan. This section should address the objectives cited in 2(A)(ii)(b) above. The plan should indicate not only what has been done, but also how the revised plan will be carried out based upon last year's effort. The methods used to achieve each prior year objective or task should be discussed and compared to the current year methodology. Detailed milestones must also be provided. This should include how the previous proposal integrated and coordinated the proposed activities with other state and local programs assisting small innovative technology firms in the state(s) and how this will be accomplished in the current year.

- 5) Performance Indicators.** Describe in detail the manner in which you measured the results of the activities conducted under the prior year(s) FAST award. Applicants must present clear, quantifiable and verifiable performance indicators in their proposals. The data from these indicators will be incorporated into the performance reports as required by the Notice of Award. Accomplishments of the planned activities as reported by the recipients through their performance indicators as well any outcomes and outputs shall be used in the evaluation process as a means of determining if continued FAST funding should be provided.

Data from the performance indicators shall also be used to assess FAST program results and trends in addition to being a tool for preparing reports for our constituents. Therefore, the indicators must be linked to the applicant's proposed FAST performance plan and must include both output and outcome data. A minimum of five output and four outcome indicators must be used to demonstrate that the proposed effort is progressing as described in the application and as a result of these activities the desired effect(s) is being achieved.

A few examples of program outputs would be the number workshops/seminars to be held or the number of mentoring relationships formed. The outcome of one of these activities could be the submission of an SBIR proposal or a joint venture on an upcoming SBIR/STTR requirement that results in a Phase I, or II award or the commercialization of a SBIR project which increases the number of small technology

businesses participating in SBIR for the state or it increases the dollar value of the state's SBIR awards from a previous year. Another program outcome could be a change in the State's overall Phase I or II ranking as a result of the services offered under the FAST program. Outcomes may be a blend of short and/or long-term program impact, but they must relate directly to the activities funded under the proposed award.

Chart what you measured, what you will measure and what you will change. Who benefited from the services provided under the FY 2004 FAST award and how were these businesses helped?

- 6) **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, 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 FAST program services.

If a multiple state proposal is submitted, a lead state and lead servicing organization must be designated in the proposal. Additionally details regarding the responsibilities and grant/award administration of the lead organization must be clearly spelled out in the narrative portion of the proposal. SBA will only enter into a legal funding agreement with the legal entity designated as the lead organization under a joint or multi-state proposal. Also, if multiple states are submitting a regional application and plan to utilize separate entities, each state under the joint application must include a written agreement(s) between the participating parties (include in Technical Supplement I), as well as an organizational chart reflecting the number of full time and part-time staff, and proposed use of volunteers for each organization proposing to provide services under this announcement.

The applicant must include the percentage of time each staff person will devote to the project. The applicant must identify how and by whom staff will be hired, employed and administered. Applicants must identify key management, staff, consultants, and subcontractors, 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 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. -- Vitae of key personnel identified in the proposal should be included under "Technical Supplement I along with the Governor's Letter of Endorsement."]**

Each FAST recipient must appoint a Project Director to manage and coordinate the FAST 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 FAST award. This function cannot be subcontracted to a third party.

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 topmost page of the proposal. The cover sheet **must contain the following information:**

- 1) The words “**U.S. Small Business Administration.**” “**Federal and State Technology (FAST) Partnership Program,**” 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 requirements in Section XII entitled “Budget Preparation Guidance.”

The applicant must provide a table for the Federal and non-Federal portion of the award funds indicating the total cost associated with each major activity including but not limited to Mentoring Network, workshops/seminars, financial assistance, one to-one counseling. These costs must include estimated expenditures for staff, fringe benefits, subcontractor, travel, supplies et cetera. Also include the number of businesses that will be targeted to receive assistance under each scheduled activity (i.e. seminar, workshop, individualized counseling, newsletter et al.)

Samples of various formats for these are under Appendix C.

- 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 NEW 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 the FAST Review Committee and FFRSC [see “Program Overview.” Section VI (O)]. Reviewers may include individuals outside the Federal government.

Subject to the availability of funds, awards will be made by the Small Business Administration, with concurrence from the National Science Foundation (NSF) and

Department of Defense (DoD). The content of the applications and evaluations will be kept strictly confidential to the extent permitted by law.

B. Evaluation Criteria New Applicants.

The following seven (7) criteria will be used in the proposal review and evaluation process:

1) Addressing Unmet Needs and Program Objectives. Whether the applicant has demonstrated that the assistance to be provided would address unmet 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.

(7.5 points)

2) Measured Demonstration of Need. Whether the applicant has demonstrated that a need exists to increase the number or success of small innovative technology businesses in the state(s) as measured by the number of first phase and second phase SBIR awards that have historically been received by small business concerns in the state(s) including minority and women-owned businesses and small firms that have not historically participated in the SBIR and STTR programs.

(7.5 points)

3) FAST 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 FAST 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, financial support, 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 FAST 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?

(30 points)

FAST Plan Incentive Points. In addressing these needs, applicants are encouraged to utilize Hispanic Serving Institutions (HSIs), Historically Black Colleges and Universities (HBCUs), other minority education institutions, and Tribal Colleges or Universities in the conduct of the proposed FAST Plan. Applicants must address the needs of small business concerns that are owned and controlled by women and minorities and those that are located in areas that have not historically participated in the SBIR/STTR Programs.

(3 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, as well as any outputs or outcomes. Has the applicant provided relevant output and outcome indicator? Are these indicators properly linked to planned activities?

(20 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?

(20 points)

- 6) **Cost Proposal.** Are the projected costs of the proposed activities reasonable? Do the matching funds comply with the guidelines and requirements? Has the applicant provided cost breakdowns by activity including the projected number of clients to be served?

(25 points)

Maximum Achievable Points 113

IX. METHOD OF SELECTION AND EVALUATION CRITERIA FOR INCUMBENT APPLICANTS

A. Introduction

Proposals will be judged on a competitive basis. All proposals will be **screened** to confirm that the proposal requirements set forth 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 the FAST Review Committee and FFRSC [see “Program Overview” Section VI (15)]. Reviewers may include individuals outside the Federal Government.

Awards will be made by the Small Business Administration, in conjunction with the NSF and DoD based upon their evaluations, subject to the availability of funds. In the evaluation and handling of proposals, the confidentiality of the proposal and evaluations will be kept confidential to the extent permitted by law.

B. Evaluation Criteria Incumbent

The following seven (7) criteria will be used in the proposal review and evaluation process:

1. **Addressing Unmet Needs and Program Objectives.** Whether the applicant has demonstrated that the assistance to be provided would address unmet needs of small business concerns in the target community including women and minority-owned businesses and other small firms historically not participating in SBIR and STTR. Whether it is important to continue to use Federal resources to fund the proposed

activities for the technology-based small business community inclusive of those firms not traditionally participating in the SBIR and STTR programs and women and minority-owned small businesses. 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 (i.e., women and minority-owned and traditionally non-participating firms) in the SBIR and STTR programs including any changes during the 1st or 2nd year of operation. Applicant must describe all other services currently being provided under the existing or previous award to such firms, and explain why it is important to continue to use Federal funding for a 2nd or 3rd year effort.

(7.5 points)

2. **Measured Demonstration of Need.** Whether the applicant has demonstrated that a need still exists to increase the number or success of small innovative technology businesses, including business owners that have not historically participated in the SBIR and STTR programs and women and minority-owned small businesses in the state(s) as measured by the number of first phase and second phase SBIR awards that have historically been received by small business concerns in the state(s).

(7.5 points)

3. **FAST 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 FAST 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, financial support, or technical assistance to technology-based small business concerns participating in or interested in participating in the SBIR program? Does the plan incorporate enhancements or revisions based upon implementation of the prior year's award as well as clearly 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 with 2nd or 3rd year funding? Based upon prior year experience, does this FAST Plan demonstrate how the 2nd or 3rd year effort will continue to build on previously established alliances and relationships in addition to establishing new ones to further integrate and coordinate proposed activities with other state and local programs assisting small technology firms in the State(s). Does the applicant clearly describe how service delivery to women and minority-owned and historically non-participating small businesses in SBIR and STTR programs is integrated into the FAST Plan?

(30 points)

FAST Plan Incentive Points. In addressing these needs, applicants are encouraged to utilize Hispanic Serving Institutions (HSIs), Historically Black Colleges and Universities (HBCUs), other minority education institutions, and Tribal Colleges or Universities in the conduct of the proposed FAST Plan. Applicants must address the needs of small business concerns that are owned and controlled by women and minorities and those that are located in areas that have not historically participated in the SBIR/STTR Programs.

(3 points)

4. **Performance Indicators.** Whether the applicant has described in detail how the results of the activities to be conducted will be evaluated based upon last year's measurements

and program outcomes and outputs.

(20 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 contributions of key individuals and organizational entities?

(20 points)

6. **Cost Proposal.** Are the projected costs of the proposed activities reasonable? Do the matching funds comply with the guidelines and requirements? Has the applicant provided cost breakdowns by activity including the projected number of clients to be served?

(25 points)

Maximum Achievable Points 113

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 3rd 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 (I). 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 the total federal project cost. (Refer to Section IX, B for more information on advance payment.)
2. 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.

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 FAST-related activities undertaken during this time frame, using the objectives and performance indicators proposed by the Applicant and incorporated into the Cooperative Agreement. The recipient should present comprehensive information on the initiatives and activities undertaken, including any loans or sub-grants, 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 outputs and outcomes that are the direct result of the planned activities (i.e. client receiving a SBIR/STTR award or some other Federal technology award; number of proposals submitted in response to a Federal agency SBIR/STTR solicitation; collaborative efforts established between small business and research partners; firms that take advantage of mentoring services).

The first performance report is due no later than 45 days after the completion of the 1st quarter. The 2nd and 3rd 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.

The following are presented as the type of outputs that shall be reported.

- (a) Training Activities (conferences, courses, seminars)
 - title of activity; date; location; duration; number of participants
 - 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)
 - paragraph describing the type of assistance provided.
- (c) Other Activities, including significant accomplishments
 - mentoring programs; description of the program and services
 - outcomes and outputs that were a direct result of the recipient's planned activities.

The information below represents the types of outcomes to be reported. This list however is not meant to be exhaustive. It is merely a tool to help applicants develop their own unique outcome indicators. Applicants are strongly encouraged to develop customized outcome indicators that coincide with their proposed efforts. Outcome data may be classified as either short, intermediate or long-term.

The recipient must show how the outcome indicator is linked to a specific activity(s) described in the proposal. Data for outcomes may not be readily available for the 1st and 2nd quarter performance periods; therefore, the recipient should describe how a specific activity(s) is progressing to achieve a desired outcome. By the end of the performance period outcome data must be clearly documented in the final report. Outcome indicators may relate to increases in the

numbers of Phase I and II proposals submitted; economic indicators such as an increased revenues due to the successful commercialization of an SBIR innovation, growth of the firm in terms of an increase in the number of employees; expansion of the business into other areas of innovation; and, an increase in the number of small technology firms interested in SBIR. Below are other examples of outcomes that may be considered when devising your performance indicators:

- (a) Number of SBIR/STTR Phase I proposals submitted by FAST participants
- (b) Number of SBIR/STTR Phase II proposals submitted by FAST participants
- (c) Number of SBIR/STTR Phase I and II proposals awarded to FAST participants
- (d) Number of Phase 0 awards issued to FAST participants
- (e) State's rank in the number of SBIR awards (Phase I and II)
- (f) Number of Phase II projects advancing to the commercialization phase

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 – **FAST-04-R-0003**
 - DUE **May 5, 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 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 (activity cost tables, 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.

Table of major activities including cost breakdown for each

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
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 bindings 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 15th);
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

| | | | | |
|---|---|--|--------------------------------------|--|
| 1. TYPE OF SUBMISSION: Application | | 2. DATE SUBMITTED | Applicant Identifier | |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Pre-application | 3. DATE RECEIVED BY STATE | State Application Identifier | |
| <input type="checkbox"/> Non-Construction | <input type="checkbox"/> Non-Construction | 4. DATE RECEIVED BY FEDERAL AGENCY | Federal Identifier | |
| 5. APPLICANT INFORMATION | | | | |
| Legal Name: | | Organizational Unit: | | |
| Organizational DUNS: | | Department: | | |
| Address: | | Division: | | |
| Street: | | Name and telephone number of person to be contacted on matters involving this application (give area code) | | |
| City: | | Prefix: | First Name: | |
| County: | | Middle Name | | |
| State: | | Last Name | | |
| Zip Code | | Suffix: | | |
| Country: | | Email: | | |
| 6. EMPLOYER IDENTIFICATION NUMBER (EIN): □□-□□□□□□□□ | | Phone Number (give area code) | Fax Number (give area code) | |
| 8. TYPE OF APPLICATION: <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) | | 7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify) | | |
| 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): □□-□□□□ | | 9. NAME OF FEDERAL AGENCY: | | |
| 12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): | | 11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: | | |
| 13. PROPOSED PROJECT | | 14. CONGRESSIONAL DISTRICTS OF: | | |
| Start Date: | Ending Date: | a. Applicant | b. Project | |
| 15. ESTIMATED FUNDING: | | 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? | | |
| 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 | 17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? | | |
| f. Program Income | \$.00 | <input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No | | |
| g. TOTAL | \$.00 | | | |
| 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. | | | | |
| a. Authorized Representative | | | | |
| 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"> • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "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> | 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 (sum of lines 8-11) | \$ | \$ | \$ | \$ |

SECTION D - FORECASTED CASH NEEDS

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

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 (sum of lines 16-19) | \$ | \$ | \$ | \$ |

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.

SUBMIT WITH EACH SF-270 AND FINAL SF-269

DETAILED EXPENDITURES

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

DIRECT COST

| | <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> | | | | | |
| TOTAL DIRECT COST | | | | | |

INDIRECT COST (Rate %)

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

OTHER

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

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
ASSURANCES AND CERTIFICATIONS

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 |

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)

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.

Legal Name of Participant

Address

Print Name and Title of Authorized Representative

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

FAST 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 FAST 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 FAST 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 FAST 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.

**APPENDIX C
STATE RANKINGS &
SAMPLE COST TABLES**

(FOR INFORMATION PURPOSES ONLY. DO NOT INCLUDE WITH APPLICATION.)

**U. S. Small Business Administration
Office of Technology**

2004 FAST Competition

**Low Ranked States Provide a
Non-Federal Match of \$.50 for each \$1 of Federal Funds**

| Ranking | State | Phase 1 Awards | Phase 1 Dollars |
|----------------|----------------|-----------------------|------------------------|
| 1 | Iowa | 12 | \$1,769,545 |
| 2 | Delaware | 12 | \$983,738 |
| 3 | Kansas | 11 | \$1,075,270 |
| 4 | Idaho | 11 | \$886,495 |
| 5 | Louisiana | 9 | \$981,636 |
| 6 | Mississippi | 9 | \$718,609 |
| 7 | Kentucky | 8 | \$858,251 |
| 8 | Vermont | 8 | \$758,986 |
| 9 | Nebraska | 8 | \$848,279 |
| 10 | Arkansas | 6 | \$536,888 |
| 11 | Wyoming | 5 | \$747,295 |
| 12 | South Dakota | 5 | \$455,533 |
| 13 | North Dakota | 5 | \$765,214 |
| 14 | Alaska | 2 | \$79,243 |
| 15 | Puerto Rico | 1 | \$96,780 |
| 16 | American Samoa | 0 | \$0 |
| 17 | Guam | 0 | \$0 |
| 18 | Virgin Islands | 0 | \$0 |

FY 2002 SBIR award data compiled by the U.S. Small Business Administration Office of Technology.
Information based on number of awards issued and funding obligations for new awards only.

**U. S. Small Business Administration
Office of Technology**

State Ranking for the FY 2004 FAST Competition

**High Ranked States Provide a
Non-Federal Match of \$1 for each \$1 of Federal Funds**

| Ranking | State | Phase 1 Awards | Phase 1 Dollars |
|----------------|---------------|-----------------------|------------------------|
| 1 | California | 892 | \$89,952,185 |
| 2 | Massachusetts | 580 | \$59,635,661 |
| 3 | Virginia | 229 | \$20,659,221 |
| 4 | Colorado | 205 | \$18,340,106 |
| 5 | Maryland | 199 | \$21,579,820 |
| 6 | New York | 164 | \$17,836,011 |
| 7 | Texas | 162 | \$14,870,856 |
| 8 | Ohio | 152 | \$15,437,962 |
| 9 | Pennsylvania | 147 | \$15,113,830 |
| 10 | New Jersey | 122 | \$12,203,667 |
| 11 | Florida | 102 | \$9,188,996 |
| 12 | Washington | 90 | \$9,176,330 |
| 13 | Michigan | 89 | \$8,922,670 |
| 14 | Connecticut | 79 | \$7,269,276 |
| 15 | Arizona | 73 | \$6,597,214 |
| 16 | New Mexico | 66 | \$5,702,941 |

FY 2002 SBIR award data compiled by the U.S. Small Business Administration Office of Technology.
Information based on number of awards issued and funding obligations for new awards only.

**U. S. Small Business Administration
Office of Technology**

State Ranking for the FY 2004 FAST Competition

**Mid Ranked States Provide a
Non-Federal Match of \$.75 for each \$1 of Federal Funds**

| Ranking | State | Phase 1 Awards | Phase 1 Dollars |
|----------------|-----------------------------|-----------------------|------------------------|
| 1 | Alabama | 62 | \$6,129,353 |
| 2 | Illinois | 61 | \$6,615,273 |
| 3 | Minnesota | 55 | \$5,232,280 |
| 4 | New Hampshire | 50 | \$4,341,226 |
| 5 | Oregon | 49 | \$5,643,141 |
| 6 | Georgia | 45 | \$4,575,114 |
| 7 | Utah | 44 | \$4,307,571 |
| 8 | Wisconsin | 39 | \$5,251,710 |
| 9 | North Carolina | 37 | \$4,808,683 |
| 10 | Tennessee | 28 | \$2,656,099 |
| 11 | Indiana | 28 | \$2,705,135 |
| 12 | Montana | 27 | \$2,921,857 |
| 13 | Missouri | 22 | \$2,082,567 |
| 14 | District of Columbia | 19 | \$2,151,532 |
| 15 | South Carolina | 18 | \$1,855,100 |
| 16 | Oklahoma | 17 | \$1,809,345 |
| 17 | Nevada | 16 | \$1,441,504 |
| 18 | Maine | 16 | \$1,313,625 |
| 19 | Hawaii | 15 | \$1,716,285 |
| 20 | Rhode Island | 14 | \$1,442,739 |
| 21 | West Virginia | 13 | \$1,271,071 |

FY 2002 SBIR award data compiled by the U.S. Small Business Administration Office of Technology.
Information based on number of awards issued and funding obligations for new awards only.

**U. S. Small Business Administration
Office of Technology**

Sample Task-Based Budget Projections

| Task/Activity Technical Assistance | Elements usually associated with the costs of the activity | In-kind Resources Used | Cash Match Used | Federal Used | Total Costs |
|---|--|---------------------------------------|--------------------------------|-------------------------|--------------------------|
| 6 Bidder's Workshops | Presenter: \$3,486 | | \$3,486 | | \$3,486 |
| | Workbooks: \$ 450 | | \$450 | | \$ 450 |
| 1 Counselor's Workshop | Catering: \$ 500 | | \$500 | \$200 | \$ 700 |
| | Travel: \$ 200 | | | | |
| | Program Manager: \$2,464.29 (50% salary on TA x 25% TA on workshops / 7 workshops) | \$1,563 | \$1,041 | \$1,232 | \$1,232 |
| | HSI associated with a workshop*: \$3,125* (50% TA x 25% TA on workshop / 2 workshops) | | | \$ 521 | \$3,125 |
| | *Numbers for activities with XYZ State will vary slightly | | | | |
| | | | | SUB TOTAL | \$8,993 |
| | | | | | x 6 workshops |
| | | | | | \$53,958 |

U. S. Small Business Administration
Office of Technology

SAMPLE TASK-BASED BUDGET PROJECTIONS

| Task/Activity Technical Assistance | Elements usually associated with the costs of the activity | In-kind Resources Used | Cash Match Used | Federal Used | Total Costs |
|---|---|---------------------------------------|--------------------------------|-------------------------|-------------------------------|
| Presentations | Printing: \$100 | | | \$100 | \$100 |
| | Travel: \$50 | | | \$50 | \$50 |
| | Program Manager: \$1,015 (50% salary on TA x 50% TA on presentations / 17* presentations) | | | \$1,015 | \$1,015 |
| | HSI Project Director: \$ 367 (50% x 25% / 17) HSI Project Director Assistance: will vary depending on location of presentation and group targeted for presentation. | \$ 184 | \$ 122 | \$ 61 | 367 |
| | *approximately one every three weeks | | | | |
| | | | | SUB TOTAL | \$1,532 |
| | | | | | x 17 presentations |
| | | | | | \$26,044 |

**U. S. Small Business Administration
Office of Technology**

Sample FAST 2004: Major Activities and Associated Costs

| Activity | Estimated Cost | Measurements |
|--|---|--|
| SBIR Train-the-trainer workshop for business development consultants | \$6,000 ABC Inc. \$2,000 site fee | 30 business consultants trained; 150 new small businesses consulted; 15 new SBIR proposals submitted; 5 SBIR new awards |
| SBIR Phase I proposal writing workshop | \$6,000 ABC Inc. \$2,000 site fee | 100 small businesses, university faculty, consultants, proposal writers trained; 25 new proposals (or 25% of attendees) to submit an SBIR proposal |
| One-on-one counseling, including proposal reviews (also see counseling provided under TB Forum, next page) | \$5,000 John Doe proposal reviews (hourly billing rate) \$5,000 local proposal writing assistance and training for qualified and women- and minority-owned businesses (hourly billing rates) | Approximately 50 "qualified" (by SBIR TECH CTR.) first-time or inexperienced small businesses to receive one-on-one proposal writing counseling. |
| West Florida State Technology Partnering Website | \$5,000 website development (maintenance no cost to FAST) | 100 small businesses post partnering needs to website; 10 partner agreements made; 200 unique website visitors per month |

(continues next page)

**U. S. Small Business Administration
Office of Technology**

| Activity | Estimated Cost | Measurements |
|--|--|--|
| Coordinate and co-sponsor SBIR, tech transfer, other federal funding workshops and conferences | \$25,000 | <ul style="list-style-type: none"> • Federal Funding conference: <ul style="list-style-type: none"> - 250 attendees - 5 to submit SBIR proposals as a result of conferences and/or workshops • 2 SBIR agency focused workshops: <ul style="list-style-type: none"> - 40 attendees - 5 to submit SBIR proposals as a result of workshops • ATP workshop: <ul style="list-style-type: none"> - 25 attendees - 4 to submit ATP proposals as a result of workshop • 3 University Tech Transfer workshops <ul style="list-style-type: none"> - 55 attendees - 4 partnerships, licensing or cooperative agreements made as a result of workshops |
| Technology Business (TB) Review Forum | \$25,000 West Florida SBDC Network (forum coordination, 1-1 counseling on commercialization plans) \$5,000 travel support for out of state business reviewers/mentors | 16 innovative small businesses receive in depth counseling and mentoring; 6 find strategic partners within 6 months after the forum; 200 small businesses attending the open forum receive education on the commercialization process |



U.S. SMALL BUSINESS ADMINISTRATION
WASHINGTON, D.C. 20416

DATE:

TO: Prospective Applicants

FROM: Office of Procurement and Grants Management (OPGM)

SUBJECT: Program Announcement No. FAST-04-R-0003 Federal and State
Technology Partnership Program (FAST)

You are invited to submit a proposal, an original, and one copy in response to Program Announcement No. FAST-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 20 Cooperative Agreements under this Program Announcement, to strengthen the technological competitiveness of small high technology business concerns in the States. All states are invited to participate, including the District of Columbia, Guam, the Commonwealth of Puerto Rico, the Virgin Islands and American Samoa. (See P.L. 106-554, The Consolidated Appropriations Act of 2001 for more information regarding the fifty (50) States and five (5) U.S. Territories.) Awards will require non-federal matching funds. Matching funds will be based upon a proportion of Federal dollars to non-federal dollars and the ratios will directly correlate with State Rankings for Small Business Innovation Research Phase I awards as defined in the Announcement.

The desired impact of proposed services provided under this Program Announcement will be to further stimulate and encourage broader participation in Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. The SBA anticipates award winners under this Program Announcement to implement state-wide programs that focus on increased numbers of small high technology businesses competing for and winning PHASE I and II awards. Assistance to be provided by Recipients under this Program Announcement shall include, but not be limited to outreach to small businesses, proposal writing, and establishing performance goals.

To avoid any misunderstanding, applicants should be aware that proposals not satisfying all the required instructions will be returned to the proposing entity without review. Those proposals may not be resubmitted with or without revision under this solicitation. All copies of the proposals not accepted for evaluation will be returned with a letter of notification.

SBA IS AN EQUAL OPPORTUNITY EMPLOYER AND PROVIDER



The closing date for the Announcement is May 5, 2004, 4:00 P.M., Eastern Daylight Time, at the U.S. Small Business Administration, Office of Procurement & Grants Management (OPGM).

If mailed: mail to U.S. Small Business Administration, 409 3rd Street, S.W., 5th Floor, Washington, DC 20416, Office of Procurement & Grants Management, Attention: Patricia Branch, Grant Officer, Office of Procurement and Grants Management.

If hand carried, deliver to Patricia Branch, or her designee, at the above address. Delivery to any other location will be deemed a late application, if not received at the location specified by the aforementioned deadline.

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

THIS IS A SEALED OFFER. DO NOT OPEN. STAMP DATE AND TIME RECEIVED ON THE ENVELOPE. PROPOSAL IS IN RESPONSE TO PROGRAM ANNOUNCEMENT NUMBER FAST-04-R-0003, DUE May 5, 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 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 Program Announcement should be directed to Cherina D. 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