

U.S. Small Business Administration

Office of Investment and Innovation

Office of Technology

**FEDERAL AND STATE TECHNOLOGY PARTNERSHIP
PROGRAM**

FY 2014

Program Announcement No.

FAST-2014-R-0008

Opening Date: March 1, 2014

Closing Date: April 11, 2014

Proposals responding to this Program Announcement must be posted to www.grants.gov by 11:59 p.m. Eastern Time, April 11, 2014. No other methods of submission will be permitted. Proposals submitted after the stipulated deadline will be rejected without being evaluated.

The purpose of this Program Announcement is to invite proposals for funding from any public or private organization, entity or individual interested in providing assistance and guidance to small technology business concerns.

**U.S. SMALL BUSINESS ADMINISTRATION
OFFICE OF TECHNOLOGY**

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1.0 **Section I – Funding Opportunity Description**

1.1. *Program Overview*

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|---------|---------------------------------------|--|
| 1.1.1. | Federal Agency Name | U.S. Small Business Administration (SBA) |
| 1.1.2. | Funding Opportunity Title | Federal and State Technology (FAST) Partnership Program |
| 1.1.3. | Announcement Type | Sixth Round of Funding Under the FAST Program |
| 1.1.4. | Funding Opportunity Number: | Program Announcement No. FAST-2014-R-0008 |
| 1.1.5. | CDFA Number | 59.058 |
| 1.1.6. | Closing Date for Submissions: | April 11, 2014 11:59 PM Eastern Time |
| 1.1.7. | Authority: | Public Law 111-117 and 15 U.S.C. 657d |
| 1.1.8. | Duration of Authority: | Permanent |
| 1.1.9. | Funding Instrument: | Cooperative Agreement |
| 1.1.10. | Funding: | Funding is for Fiscal Year (FY) 2014 |
| 1.1.11. | Award Amount/Funding Range: | A total amount of \$2,000,000 in funding is available for this program in FY 2014. SBA expects to make approximately 20 awards in the amount of \$100,000. Only qualified recipients will be funded. There is a matching fund requirement and resources should be noted in the technical proposal. |
| 1.1.12. | Project Duration: | Awards will be made for a base project period of 12 months, with 1 option period of 12 months each. Exercise of options is at SBA's discretion and is subject to continuing program authority, the availability of funds and satisfactory performance by a Recipient organization. |
| 1.1.13. | Project Starting Date: | Within 30 calendar days of the date of award. |
| 1.1.14. | Proposal Evaluation: | Proposals will be reviewed for sufficiency as detailed in Section 5.0. SBA may ask Applicants for clarification of the technical and cost aspects of their proposals. This must not be construed as a commitment to fund the proposed effort. |
| 1.1.15. | Agency Programmatic Point of Contact: | Lisa Younger, Small Business Administration, Office of Technology Tel: 202 619-0359 Email: FAST@sba.gov |

1.2 *Introduction*

The Consolidated Appropriations Act of 2001, codified at 15 U.S.C 657d(c), established the FAST program. In accordance with its original statutory language, the program expired on September 30, 2005, however it was reestablished under the Consolidated Appropriations Act of 2010.

1.3 *Background*

Since its inception in 1953, SBA has served to aid, counsel, assist and protect the interests of small businesses. While SBA is best known for its financial support of small businesses through its many lending programs, the Agency also plays a critical role in providing funding to organizations that deliver technical assistance in the form of counseling and training to small business concerns and nascent entrepreneurs in order to promote growth, expansion, innovation, increased productivity and management improvement. The mission of SBA's Office of Technology, which bears responsibility for administering the FAST Program, is to strengthen the technological competitiveness of small business concerns in every state. 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

1.4 *Purpose*

Eligible organizations (as defined in Section 3.2) may apply to SBA for awards of financial assistance under this Announcement to fund projects to strengthen the technological competitiveness of small business concerns in every state. This program intends to improve the participation of small technology firms in the innovation and commercialization of new technology. The program will provide grants to further technological innovation within states in the following areas:

- 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. Increasing 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.

1.5 *Leveraging of Resources*

Applicants selected for awards under this Announcement are required to maximize their efforts to leverage SBA funding by working in conjunction with SBA's District Offices and other federal, state, local and tribal government small business development programs and activities; SBA resource partners such as SCORE, Small Business Development Centers, Women's Business Centers, Veterans Business Outreach Centers, 7(j) Technical Assistance providers, Small Business Investment Companies, Certified Development Companies, and SBA lenders; universities, colleges, and other institutions of higher education; and private organizations such as chambers of commerce and trade and industry groups and associations.

1.6 *SBA Involvement and Oversight*

A designated Grants Officer Technical Representative (GOTR) within the Office of Innovation and Technology at SBA Headquarters will be responsible for overall monitoring and oversight of a FAST Program award Recipient, including compliance with the terms of the Cooperative Agreement. A designated Grants Officer within the Office of Grants Management (OGM) will be responsible for issuing the Notice of Award, making modifications to the award, and processing payments.

1.7 *Changes or Cancellation*

SBA reserves the right to amend or cancel this Announcement, in whole or in part, at the Agency's discretion. Should SBA make material changes to this Announcement, the Agency will extend the Closing Date as necessary to afford Applicants sufficient opportunity to address such changes.

2.0 **Section II – Award Information**

2.1 *Estimated Funding*

SBA expects to issue \$2,000,000.00 worth of awards under this Announcement. SBA anticipates the amount of funding provided under each award will be approximately \$100,000.00.

2.2 *Expected Number of Awards*

SBA anticipates making approximately 20 awards under this Announcement.

2.3 *Period of Performance/Budget Periods*

Awards will be made for a 1-year period of performance, consisting of a base period of 12 months from the date of award and 4 option periods of 12 months each. Exercise of option periods will be solely at SBA's discretion and is subject to continuing program authority, the availability of funds, and a Recipient's continued satisfactory performance and compliance with all the terms and conditions of the award. Each base and option period will constitute a separate and distinct 12-month Budget Period.

2.4 *Funding Information*

Funds provided under the FAST Program must be used solely for the purposes stipulated in this Announcement and the Notice of Award and may not be commingled with any other monies. All costs proposed in an Applicant's budget must meet the tests of allowability, allocability, and

reasonableness set forth in the applicable Office of Management and Budget (OMB) cost principles. Indirect costs will be capped at a maximum of 25 percent regardless of the amount stipulated in an Applicant's indirect cost rate agreement. SBA will not reimburse Applicants for their proposal preparation costs, but Applicants may request preaward costs. Preaward costs must directly relate to the conduct of the project and meet the tests of allowability, allocability, and reasonableness.

No Federal funds provided through an Award under this Announcement, or matching contributions dedicated to such an Award, may be used for the purpose of making a subgrant. While subcontracting is permitted, successful Applicants may not spend more than 33 percent of Award funds on contractor and/or consultant costs. Additionally, under no circumstances may successful Applicants contract out the administration or day-to-day management of this project to any other party.

2.5 *Funding Instrument*

The funding instrument used will be a Cooperative Agreement.

2.6 *Matching Requirement*

A non-Federal match is required from eligible applicants submitting proposals under this Announcement. Not less than 50 percent of the match provided by a recipient must take the form of cash. The remaining match amount may consist of indirect costs and in-kind contributions. With the exception of the Community Development Block Grant (CDBG) program, no portion of the match may be derived from funds provided under any other Federal program. 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 8.1 for the definition of planning activity.) The non-Federal share of the cost of an activity (other than a planning activity) carried out under the FAST program is provided below:

- (a) 50 cents of non-Federal match for each Federal dollar (a 1:2 match) for Recipients in the twenty- one (21) states receiving the fewest number of SBIR first phase awards;
- (b) except as noted in (d) 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 (d) below, 75 cents of non-Federal match (a 3:4 match) for each Federal dollar for all other states not described previously.
- (d) 50 cents for each Federal dollar that will be directly allocated by a Recipient described in sections (b) or (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(a), (b) or (c) above.

See Section 8.5 for your state ranking and corresponding match requirement.

3.0 **Section III – Eligibility Information**

3.1 *General*

An organization may submit only one proposal in response to this Announcement. Any additional applications from the same organization will automatically be rejected without being evaluated.

3.2 *Eligible Applicants*

In order to be eligible for this funding opportunity an Applicant must:

- Be a public or private entity, organization, or individual that intends to use funding awarded under this Announcement to enhance technological development by small business concerns within a single or multiple states and provide outreach, financial support, and/or technical assistance to technology based small business concerns participating in, or interested in participating in, the Small Business Innovation and Research (SBIR) program; and
- Be endorsed by the appropriate state governor or his/her authorized designee as the only approved applicant from that state.

3.3 *Ineligible Applicants*

The following organizations will automatically be considered ineligible and their applications will be rejected without being evaluated:

- Any organization that owes an outstanding and unresolved financial obligation to the federal government;
- Any organization that is currently suspended, debarred or otherwise prohibited from receiving awards of contracts or grants from the federal government;
- Any organization with an outstanding and unresolved material deficiency reported under the requirements of the Single Audit Act or OMB Circular A-133 within the past three years;
- Any organization that has had a grant or cooperative agreement involuntarily terminated or non-renewed by SBA for cause;
- Any organization that has filed for bankruptcy within the past five years;
- Any organization that proposes to serve as a pass-through and permit another organization to manage the day-to-day operations of the project; and/or
- Any organization that was convicted, or had an officer or agent acting on its behalf convicted, of a felony criminal violation under any Federal law within the preceding 24 months.

4.0 **Section IV - Application and Submission Information**

4.1 *Application Instructions*

Applications must consist of the following elements: (i) a cover letter; (ii) a technical proposal; (iii) budget information; (iv) certifications, forms and assurances; and (v) attachments and exhibits.

4.1.1 *Cover Letter*

The first page of each application must be a cover letter which includes the following information:

- Statement that the application is in response to Program Announcement No. FAST 2014-R-0008;
- Applicant's name and address;
- Applicant's website address (if applicable);
- Name, telephone number, fax number, and email address for the Applicant's designated point of contact; and
- Dollar amount of assistance being requested.

4.1.2 *Technical Proposal (not to exceed 25 pages)*

The technical proposal serves as the narrative blueprint for the Applicant's planned project and must include the following information:

- Detailed description of the Applicant's past experience and present capacity to provide assistance to women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR (see Section 5.2.1 for further guidance);
- Detailed description of the proposed technical assistance delivery methods, their means of implementation, and the anticipated project outcomes and the manner in which they will be evaluated (see Section 5.2.2 for further guidance);
- Identification of the project director and key management personnel and staff, including résumés (or position descriptions for unfilled positions). Résumés must include experience relevant to this project and may not be more than two pages in length. Copies of résumés must be included as attachments in accordance with Section 4.1.5 and do not count toward the 25-page limit (see Section 5.2.3 for further guidance);
- Identification of contractors and consultants and the manner in which they were selected (i.e., competitively or non-competitively). NOTE: No more than 33 percent of award funds may be expended on contractor and/or consultant costs. Copies of contracts and consulting agreements (either signed or samples as applicable) must be included as attachments in accordance with Section 4.1.5 and do not count toward the 25 page limit (see Section 5.2.3 for further guidance);
- An organizational chart; and
- A timeline of performance milestones for the 12-month Budget Period.

4.1.3 *Budget Information*

Budget information must be provided through the completion or submission of the following:

- Standard Form (SF) 424, Application for Federal Assistance;
- SF-424A, Budget Information (Non-Construction Programs);
- Budget Detail Worksheet (Attachments A-9 through A-12 to the SF-424A). An Applicant may substitute its own forms or spreadsheets in place of the Budget Detail Worksheet, provided it includes all the same cost elements/line items covered by Attachments A-9 through A-12;
- Budget narrative providing a brief, detailed explanation of the components of each cost element listed in the SF-424A;
- Copy of the Applicant's Cost Policy Statement; and
- Copy of the Applicant's current, government-wide indirect cost rate agreement (if the Applicant's budget includes indirect costs). If the Applicant does not have such an agreement, it must propose an indirect cost rate in accordance with the procedures set forth in the applicable cost principles circular. NOTE: Regardless of the Applicant's approved rate, SBA will cap indirect costs charged to an award made under this Announcement at 25 percent.

4.1.4 *Certifications, Forms and Assurances*

Each Applicant must complete and submit the following forms:

- SBA Form 1623, Certification Regarding Debarment, Suspension, and Other Responsibility Matters;
- SF-LLL, Disclosure of Lobbying Activities;
- SF-424B, Assurances for Non-Construction Programs;

- Letter from the Applicant's Auditor, CPA, Treasurer, Comptroller, CFO or similarly qualified individual certifying that the organization's financial management system currently meets the requirements of 2 C.F.R. Part 215, Subpart C, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non Profit Organizations. [NOTE: This requirement does not apply to awards made directly to state, local, or tribal governments]

4.1.5 *Attachments and Exhibits*

Each Applicant must attach copies of the following to its proposal (as applicable):

- Résumés, position descriptions, contracts, consulting agreements, letters of support, pledges of additional funding or in-kind resources, leases, conflict of interest policy, and cost policy statement;
- Most recent A-133 audit report. If the Applicant is not subject to the requirements of the Single Audit Act, it must instead submit a copy of its most recent audited financial statement; **UNAUDITED FINANCIAL STATEMENTS ARE NOT ACCEPTABLE;**
- Governor's Letter of Endorsement. Only those proposals bearing the written endorsement of the state Governor(s) or his/her/their designee(s) may be submitted for evaluation and funding considerations. Only one proposal will be considered per state. In the situation where the Governor or equivalent of the Governor (e.g., Mayor of the District of Columbia), assigns the signatory responsibility of the endorsement letter to a designee, the letter must include an acknowledgement that the Governor/equivalent has authorized him/her to sign the letter on his behalf. NOTE: The equivalent of the Governor in the U.S. territories is an appropriate signatory. The Governor's correspondence should be addressed to Mr. Edsel M. Brown, Jr., Assistant Administrator for Technology, U.S. Small Business Administration, 403 3rd Street, SW, 6th Floor, Washington, DC 20416.
- Any other documentation the Applicant believes supports its proposal.

4.2 *Submission Instructions*

All proposals (narratives and forms) must be submitted electronically via the government-wide financial assistance portal www.grants.gov. **NO OTHER FORMS OF SUBMISSION WILL BE ACCEPTED.** All required forms are provided in the grants.gov application package for this funding opportunity. Specific instructions for obtaining, completing, and submitting an application via grants.gov, including animated tutorials, may be found at <http://www.grants.gov/web/grants/applicants.html>.

In order to submit an application via grants.gov, an organization is first required to have a DUNS number, be registered with the System for Award Management (SAM), and have a grants.gov username and password. The process for meeting these three pre-submission requirements may take several days to complete. Additionally, Applicants may have to download or upgrade their software in order to utilize grants.gov. Applicants should not wait until the closing date to begin the submission process in order to avoid unexpected delays that could result in the rejection of an application.

Information about the grants.gov registration process can be found at http://www.grants.gov/applicants/get_registered.jsp. Applicants must register as organizations, not as individuals. Please note that organizations already registered with grants.gov do not need to re-register. However, all registered organizations must keep their SAM registration up-to-date. As part of the grants.gov registration process, an Applicant must designate one or more Authorized Organizational Representatives (AORs). AORs are the only individuals who may submit applications

to grants.gov on behalf of an organization. If an application is submitted by anyone other than a designated AOR, it will be rejected by grants.gov and cannot be considered for funding.

Once an application is submitted, it undergoes a validation process through which it will be accepted or rejected by the grants.gov system. The validation process may take 24 to 48 hours to complete. Applicants should save and print written proof of an electronic submission made at grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. The first email will confirm receipt of the application. The second email will indicate that the application has both been successfully validated by the system and assigned an SBA tracking number, or it has been rejected due to errors. An Applicant will receive a third email once SBA has downloaded its application from grants.gov for review in accordance with Section 5.3 below.

If grants.gov notifies an Applicant via email that its application contains an error, the Applicant must correct the noted error(s) before the system will accept and validate the application. Applicants that choose to submit on or close to the closing date are advised they may not receive email notification of an error with their applications until after the submission deadline, and thus will not have an opportunity to correct and resubmit their applications. **APPLICATIONS THAT ARE REJECTED BY GRANTS.GOV WILL NOT BE FORWARDED TO SBA AND CANNOT BE CONSIDERED FOR FUNDING.** It is the Applicant's responsibility to verify that its submission was received and validated successfully at grants.gov. To check on the status of your application and see the date and time it was received, log on to grants.gov and click on the "Track My Application" link from the left-hand menu.

If you experience a technical difficulty with grants.gov (i.e., system problems or glitches with the operation of the grants.gov website itself) that you believe threatens your ability to submit your application, please (i) print any error message received; and (ii) call the grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with grants.gov. NOTE: Problems with an Applicant's own computer system or equipment are **not** considered technical difficulties with grants.gov. Similarly, an Applicant's failure to: (i) obtain a DUNS number or complete the SAM or grants.gov registration process; (ii) ensure that an AOR submits the application; or (iii) take note of and act upon an email from grants.gov rejecting its application due to errors, are **not** considered technical difficulties. A grants.gov technical difficulty is an issue occurring in connection with the operations of grants.gov itself, such as the temporary loss of service by grants.gov due to an unexpected volume of traffic or failure of information technology systems, both of which are rare occurrences.

Applicants should use the following link to obtain assistance in navigating grants.gov and access a list of useful resources <http://www.grants.gov/web/grants/applicants.html>. If you have a question that is not addressed under the "Applicant FAQs," try consulting the "Applicant User Guide" or contacting grants.gov via email at support@grants.gov or telephone at 1-800-518-4726. The grants.gov Contact Center is open 24 hours a day, seven days a week.

4.3 *Required Proposal Submission Dates*

Each Applicant is required to submit its proposal electronically via www.grants.gov no later than 11:59 p.m. Eastern Time on April 11, 2014. Because of the pre-conditions for submitting applications via grants.gov and the potential for encountering technical difficulties in using that site, Applicants are strongly encouraged to log on to grants.gov and review the submission instructions early. **DO NOT WAIT UNTIL THE CLOSING DATE TO BEGIN THE SUBMISSION PROCESS.** Applicants bear sole responsibility for ensuring their proposals are submitted and received before the closing date.

SBA will consider the date and time stamp on the validation generated by grants.gov as the official submission time. A proposal that is not received by grants.gov before the closing date of this Announcement will be rejected without being evaluated, unless the Applicant can clearly demonstrate through documentation obtained from grants.gov that it attempted to submit its proposal in a timely manner but was unable to do so solely because of grants.gov systems issues. Additionally, SBA will not accept any changes, additions, revisions, or deletions to applications made after the closing date.

Applicants should save and print written proof of an electronic submission made at grants.gov. If problems occur while using grants.gov, the applicant is advised to (i) print any error message received; and (ii) contact grants.gov for immediate assistance. Applicants may obtain advice and assistance with the grants.gov submission process by visiting <http://www.grants.gov/help/help.jsp> or by calling 1-800-518-4726.

5.0 **Section V - Application Review Information**

5.1 *General*

Applications will be rejected without being evaluated if they are submitted by ineligible organizations or they are illegible or materially incomplete due to an Applicant's failure to include all required forms and/or provide the required level of detail.

5.2 *Evaluation Criteria*

All timely, materially complete applications received from eligible organizations will be evaluated in accordance with the criteria listed below.

5.2.1 *Organizational Experience and Capacity (20 Points)*

Applicants will be evaluated on their demonstrated ability to address the needs of women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR. Applicants shall use a portion of the grant funds for outreach, Mentoring Network and 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. Applicants must provide adequate evidence and documentation, including specific examples, of their:

- Experience with, and capacity for, conducting Outreach and Mentoring Network projects, including discussion of the number of years they have conducted such projects;
- Knowledge of, and capability for providing, outreach, Mentoring Network and financial support;
- Record of receiving other grants or contracts for the conduct of technical assistance projects, including the names of the awarding agencies, the grant or contract numbers, and the performance outcomes/results achieved; and
- Sources of capital, including a brief description of their strategies for raising such capital;
- Responses/corrective actions to any qualified audit opinions, going concern paragraphs, or A-133 audit findings.

5.2.2 *Project Design (30 Points)*

Applicants will be evaluated on their understanding of the purpose of the FAST Program, their proposed approach for performing their projects, their outcomes and objectives, and their methodology for evaluating and assessing the effectiveness and impact of their project. Innovation and creativity in providing assistance is strongly encouraged. Applicants must describe in detail the

proposed technical assistance delivery methods and products and their implementation and evaluation Specific topics an Applicant must address include the:

- Scope of the geographic area and demographic it intends to serve;
- Number of training courses/seminars/meetings etc. it expects to conduct, along with a list of the topics it intends to cover;
- Clarity, accuracy, relevance, and ease of reportability of its evaluation methodology.
- Projected milestones or timeline of program accomplishments and activities; and
- Subcontracting plan, addressing how subcontractors will be selected, the amount or range of funding each subcontractor will receive, and the purposes for which subcontracts will be made, if applicable.

5.2.3 *Project Management (20 Points)*

Applicants will be evaluated on the strength of their staffing and management plans for accomplishing the goals and objectives of their proposed projects. Applicants must demonstrate they will devote adequate numbers of personnel having sufficient experience to the project, establish clear and direct lines of responsibility and authority for managing and overseeing the project, and show they will have sufficient facilities and other physical resources at their disposal in order to accomplish the proposed project. In particular, an Applicant must:

- Identify all key management, staff and contractors/consultants, describe their expertise and their roles in conducting and overseeing the project, stipulate the amount of time they will devote to the project, and provide copies of résumés/position descriptions and an organizational chart;
- Identify all facilities and other physical resources that will be utilized in furtherance of the proposed project, the hours of their operation (including any night and weekend availability), and provide copies of relevant deeds, leases, free space agreements, rental contracts, memoranda of understanding, etc.;
- Provide copies of all contracts and consulting agreements and identify the employees or officials of the Applicant organization who will be responsible for overseeing and administering those agreements;
- Describe its financial management structure and internal controls and identify all staff members who will be responsible for financial recordkeeping, reporting, the receipt and expenditure of award funds, and addressing audit findings;
- Provide a copy of its conflict of interest policy addressing, at a minimum, procedures for ensuring its employees, consultants and contractors do not assist clients in which they, their principals, or their immediate family members have a financial interest or fiduciary duty and for ensuring its employees, consultants and contractors do not use their role in the project as a means of marketing their outside services to project clients.

5.2.4 *Collaboration and Leveraging of Resources (25 Points)*

Applicants will be evaluated on the breadth of their plans for coordinating their proposed activities and working to expand the scope and reach of their project in collaboration with entities such as SBA's District Offices, other federal, state, local and tribal government agencies, other SBA grant Recipients/resource partners, trade associations, business/industry groups, institutions of higher education, and/or private organizations. Specifically, an Applicant must provide:

- Copies of agreements with, or letters or emails from, the above-listed types of organizations pledging to work with the Applicant in order to advance specific FAST Program objectives;

- Detailed descriptions of any of its own funds or in-kind resources the Applicant will devote to the project and copies of donation letters or checks from outside entities.

5.2.5 *Ability to Reach Special Target Markets (25 Points)*

Applicants will be evaluated on their ability and positioning to extend project services to women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR. Applicants must demonstrate their:

- Familiarity and expertise with assisting women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR, including the number of these firms assisted over the prior 2 years and the demonstrable effects of such assistance (e.g., increase in the number of SBIR proposal submitted, increase in number of SBIR awards received);
- Experience in working with organizations representing the interests of women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR;
- Methods of outreach to women-owned, socially and economically disadvantaged and small firms that have not traditionally participated in SBIR/STTR;
- Number of these firms it expects to assist;
- Identification of the data elements it will collect from such firms, the means of their collection, and the uses to which they will be applied;
- Proximity to or ability to reach these firms within their project service area.

5.3 *Review and Selection Process*

Applications that are not rejected by grants.gov or SBA's screening process will be evaluated by teams of reviewers and scored on the basis of how well they meet the criteria outlined above. These reviewers may be SBA employees or employees of other Federal agencies. The maximum score any application can receive is 120 points. Prior to evaluating applications received in response to this Announcement, SBA will establish a minimum acceptable score. Only those applications that meet or exceed that threshold will be eligible for funding. Applicants are therefore encouraged to design proposals that address each of the scoring criteria listed above as thoroughly as possible.

In the interest of providing FAST Program services to as broad a segment of the small business community as possible, SBA will take the geographical dispersion of Applicants' project service areas into account when making award decisions. An application that exceeds the minimum acceptable score and which scores more highly than other acceptable proposals may nevertheless be passed over for funding if that application proposes to serve the same or substantially the same area or market as an existing FAST Program Recipient or another more highly rated application that was selected for award.

6.0. **Section VI - Award Administration Information**

6.1. *Award Notification*

All Applicants selected for awards will receive written notification. Applicants not selected for awards will not be notified. There will be no debriefing process for unsuccessful Applicants.

6.2 *Administrative and National Policy Requirements*

All successful Applicants will be required to comply with the requirements set forth in 15 U.S.C. § 657d; 2 C.F.R. Parts 215, 220, 225, and 230, 13 C.F.R. Part 143, and OMB Circular A-133 (as applicable); the Assurances for Non-Construction Programs (SF-424B); and the terms and conditions set forth in their Notices of Award. In addition, SBA may, from time to time, advise Recipients of awards made under this Announcement of new legal requirements and/or policy initiatives with which they must agree to comply.

6.3 *Reporting*

All Recipients are required to submit the reports identified below. SBA may withhold payment if reports are not received or are deemed inadequate. Failure to report in a timely manner will also be weighed against future applications for grant funding from the same organization and the exercise of any option periods. The reports provided by Recipients may be made public. In addition, SBA reserves the right to require Recipients to post these reports on their web sites.

6.3.1 *Financial Reports*

Recipients will be required to submit quarterly financial reports to SBA using SF-425, Federal Financial Report (FFR) within 30 days of the completion of each of the first three quarters and within 90 days of the completion of the fourth quarter of each Budget Period.

6.3.2 *Performance Reports*

Recipients will be required to submit quarterly performance reports to SBA using SF-PPR, Performance Progress Report, within 30 days of the completion of each of the first three quarters and within 90 days of the completion of the fourth quarter of each Budget Period.

6.3.3 *Report Submission*

Reports may be submitted electronically via e-mail or in hard copy form via mail or courier service to the GOTR.

7.0. **Section VII - Agency Contacts**

7.1 *FAST Program Point of Contact*

Questions concerning general information contained in this Announcement should be directed to the GOTR, Lisa Younger, at FAST@sba.gov

7.2 *Financial/Grants Management Point of Contact*

Questions regarding budgetary matters related to this Announcement should be directed to electronic.grants@sba.gov.

7.3 *Grants.gov Technical Support*

For technical support with filing an electronic application in response to this Announcement, contact the Grants.gov help desk at 1-800-518-4726 or support@grants.gov.

8.0. **Section VIII - Other Information**

8.1. *Definitions*

The following definitions apply to awards made under this Announcement (see 8.4 for additional definitions relating to the FAST Program):

8.1.1 *Applicant* – An eligible organization that applies for funding under this Program Announcement.

- 8.1.2 *Award* – means financial assistance that provides supporting 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.
- 8.1.3 *Budget Period* – The 12- month period during which expenditure obligations will be incurred by the recipient of an award under this Announcement. For the purposes of this Announcement, the initial budget period will be from 10/1/2013 to 9/30/2014. Each option year, if exercised, will constitute a separate budget period.
- 8.1.4 *Cooperative Agreement* – A legal instrument reflecting a relationship between the United States government and a Recipient when the principal purpose of the relationship is to transfer a thing of value to the Recipient to carry out a public purpose of support or stimulation and substantial involvement is expected between the awarding agency and the Recipient when carrying out the activity contemplated in the agreement.
- 8.1.5 *Cost Policy Statement* – A document describing all accounting policies of an Applicant organization and narrating in detail its proposed cost allocation plan. This plan must stipulate the procedures used to identify, measure, and allocate all costs to each benefitting activity.
- 8.1.6 *Counseling* – Services provided one-on-one to an individual and/or business that are delivered in person (face-to-face), on the telephone, or electronically and which:
- a) are substantive in nature and concern the formation, management, financing, and/or operation of a small business enterprise; AND
 - b) are specific to the needs of the business or individual; AND
 - c) require a signed SBA Form 641 or equivalent form that supports SBA’s management information database.
- 8.1.7 *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 OGM in the overall administration of the grant. This individual is responsible for overseeing all programmatic aspects of awards made under this Program Announcement.
- 8.1.8 *Grants Management Officer* – shall mean an employee of SBA’s Office of Grants Management (OGM) who has been delegated authority, in addition to other grant responsibilities, to obligate Federal funds by signing a Notice of Award.
- 8.1.9 *Hispanic Serving Institute* – as defined by Title V (20 W.S.C. 11011 et seq.) “and 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 with 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.

8.1.10 *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 reliable authority as to the quality of training offered or is making reasonable progress toward accreditation. (P.L. 96-374 amended 12/20/93 in P.L. 103-208).

8.1.11 *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].

8.1.12 *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.

8.1.13 *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.

8.1.14 *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.

- 8.1.15 *Notice of Award* – The legal document, signed by both SBA and a Recipient, that memorializes the award of funding under a Cooperative Agreement and contains the specific terms and conditions that apply to the award.
- 8.1.16 *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.
- 8.1.17 *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 business technology firms.
- 8.1.18 *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
- 8.1.19 *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.
- 8.1.20 *Planning Activity* – an activity that a recipient performs in planning for the provision of services to the small business or its clients.
- 8.1.21 *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.
- 8.1.22 *Project Period* – The total period of performance for an award made under this Program Announcement, including the base and all option-year Budget Periods.
- 8.1.23 *Recipient* – An organization that has had its application accepted and has been awarded funding under this Program Announcement.
- 8.1.24 *Service Disabled Veteran Owned Business* – A small business concern owned and controlled by a Service-Disabled Veteran or Service – Disabled Veterans, as defined in section 3(q) of the Small Business Act (15 U.S.C. 632(q) and SBA’s implementing SDVOSBC Program Regulations (13 C.F.R. 125).
- 8.1.25 *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.

- 8.1.26 *State* – means the fifty (50) States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Marianas Islands, the Virgin Islands, Guam, the Republic of the Marshall Islands, the Federated States of Micronesia, and American Samoa.
- 8.1.27 *Technical Assistance* – Counseling or training services provided to an individual and/or business in as described in 35 (c)(2)(B) [15 USC § 657c] and in accordance with the terms of this Program Announcement and a Recipient’s Notice of Award.
- 8.1.28 *Training* – a workshop, seminar or similar activity or event which delivers a structured program of knowledge, information or experience on a business-related subject. The training must last for a minimum of one hour and include two or more individuals and/or businesses in attendance.
- 8.1.29 *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).
- 8.1.30 *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.

8.2 *Instructions for Completing the SF-424 (Application for Federal Assistance)*

- | | |
|----------|--|
| Item 1 | Enter: "Application" |
| Item 2 | Enter: "New" |
| Item 3 | Completed by Grants.gov upon submission. |
| Item 4 | Leave Blank |
| Item 5a | Leave Blank |
| Item 5b | Leave Blank |
| Item 6-7 | Refer to instructions at end of form. |
| Item 8-9 | Refer to instructions at end of form. |
| Item 10 | Enter: "U.S. Small Business Administration" |
| Item 11 | Enter: [CFDA number] and [Name of Grant Program] |
| Item 12 | Enter: Program Announcement No. [Acronym]-20??-01 |
| Item 13 | Leave Blank |
| Item 14 | Applicants must specifically identify each city, county, and state that will be affected by its project. |
| Item 15 | Self Explanatory |
| Item 16 | Refer to instruction at end of form. |
| Item 17 | Leave Blank |
| Item 18 | Self Explanatory |
| Item 19 | Check Box C. The FAST Program is not covered by E.O. 12372. |
| Item 20 | Refer to instructions at end of form. |
| Item 21 | Self Explanatory |

8.3 *Instructions for Completing the SF-424-A (Budget Information for Non-Construction Programs)*

The budget is the Applicant's estimate of the total cost of performing the project for which funding is being requested under this Announcement during the applicable Budget Period. The budget is to be based upon the total amount of funds that will be devoted to the project, including Federal funds, contributions from non-Federal sources, and program income (as applicable). All proposed costs reflected in the budget must be relevant to the conduct of the project and must be reasonable, allowable, and allocable under the applicable OMB Cost Principles and Agency policies.

All costs must be justified and itemized by unit cost in the Budget Narrative/Budget Detail Worksheet. All forms contained in the financial application package must be completed accurately and in full.

Enter the following information in the appropriate sections:

Section A - Budget Summary

Column A: Enter "[Name of Grant] Program"

Column B: Enter "[CFDA Number]"

Section B – Budget Categories

Complete lines 6a – 6k, entering amounts by budget category, labeling columns 1- 5 as follows:

- 1 – Federal
- 2 – Non-Federal Cash
- 3 – Non-Federal In-Kind
- 4 – Program Income
- 5 – Totals

All amounts entered in this section must be expressed in terms of whole dollars. The itemization must reflect the total requirements for project funding from both Federal and non-Federal sources.

Section C – Non-Federal Resources

Refer to instructions on form.

Section D – Forecasted Cash Needs

Refer to instructions on form.

Section E – Budget Estimates

Refer to instructions on form.

Section F – Other Budget Information

Direct Charges: Transfer the total direct charges from Section B, line 6i.

Indirect Charges: Transfer the total direct charges from Section B, line 6j.

Section G - Personnel

List the name, title, salary for each employee who will be paid with project funds and the estimated amount of time each will devote to this project. NOTE: Fees, expenses, and the estimated amount of time to be devoted to the project for outside consultants/contractors belongs in the contractual line item, not here.

Section H - 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 Agreement (ICRA). If your organization's fringe benefit package is not included in your ICRA, list each component included as a fringe benefit.

Section I - Indirect Charges

Enter the indirect cost rate, date, and Federal agency that issued your ICRA. If your organization does not have an approved ICRA, you must negotiate an ICRA with SBA in accordance with the applicable OMB Cost Principles.

Section J - Justification of Costs

All proposed costs require justification and narrative explanation.

Section K - Miscellaneous or Contingency Costs

Leave blank. No miscellaneous or contingency costs are allowed.

Section L - Proposal Costs

Leave blank. SBA will not pay any costs incurred in the preparation and submission of a proposal.

8.4. *Application Checklist*

CHECKLIST FOR COMPLETING THE
APPLICATION FOR FEDERAL ASSISTANCE

- () **SF-424, Application for Federal Assistance**
- () **SF-424A, Budget Information**
- () **SF-424B, Assurances**
Instructions for completing this form are provided on the reverse side of form
- () **Budget Detailed Worksheet and Narrative A9-A12**
Any category of expense not applicable to your budget may be deleted by the SBA. The Worksheet and narrative must provide a clear correlation between the costs and activities to be performed under the grant. Narratives must support all costs shown on the Budget Detailed Worksheet.
- () **Match ____% Certification and documentation on portion. (If Match is required)**
- () **List of Contractors/Consultants**
- () **Copy of Contractual/Consultant Agreements (Over \$25,000)**
- () **Technical Proposal**
The Technical Proposal should be prepared in double spaced format and when read separately from the rest of the application, serve as succinct and accurate description of the proposed work. Applicants should concisely describe the goals and objectives and methods for achieving. And provide a clear measurable "end result" to be achieved. Summaries of past accomplishments should be avoided.

- () **Chart of Project Milestones**
Applicants must provide a chart of monthly projections for all activities to be performed under the grant project. Monthly projections must be measurable.
- () **Governor's Letter of Endorsement**
- () **Resumes and Position Descriptions for all Key personnel providing services**
If position is vacant, a position description must be provided.
- () **Organizational Chart and List of Board of Directors**
- () **Tax Identification Documentation issued by the Internal Revenue Service**
- () **SF-LLL Disclosure of Lobbying Activities**
Instructions for completing this form are provided on reverse side of form Federal funds under this award may not be used for lobbying activities
- () **SF-3881, ACH Vendor /Miscellaneous Payment Enrollment Form**
Applicants are to complete the Payee/Company Information and Financial Institution sections of this form only. The Agency Information section will be completed by SBA.
- () **Debarment and Suspension – SBA Form 1623**
- () **Organizations most recent audit report (2013) or link to website where located**
- () **Indirect Cost Proposal**
- () **Cost Policy Statement**
- () **CFO Certification (or person of comparable expertise)**
All applications must include a written statement from a certified public accountant or person of comparable expertise to verify that it has an established organizational infrastructure with an internal financial management system that meets the standards prescribed in 2 CFR, Section .21 through 28.
- () **Drug-free Workplace Agreement**

8.5 *State Rankings and Match Requirements*

**States Listed Below Must Provide a
Non-Federal Match of \$.50 for each \$1 of Federal Funds**

Ranking	State	Phase 1 Awards
1	Kansas	15
2	Montana	14
3	Rhode Island	13
4	Oklahoma	12
5	Vermont	10
6	Maine	9
7	Idaho	9
8	Louisiana	8
9	Iowa	8
10	West Virginia	7
11	Nebraska	7
12	Nevada	6
13	North Dakota	6
14	South Dakota	4
15	Mississippi	4
16	District of Columbia	4
17	Wyoming	3
18	Alaska	3
19	Puerto Rico	0
20	American Samoa	0
21	Guam	0
22	Virgin Islands	0

FY 2012 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.

**States Listed Below Must Provide a
Non-Federal Match of \$.75 for each \$1 of Federal Funds**

Ranking	State	Phase 1 Awards
1	North Carolina	76
2	Alabama	75
3	Oregon	62
4	Minnesota	56
5	New Hampshire	54
6	Arizona	53
7	Georgia	50
8	New Mexico	48
9	Connecticut	47
10	Wisconsin	42
11	Indiana	29
12	Utah	27
13	Kentucky	25
14	Hawaii	22
15	Missouri	20
16	Arkansas	18
17	Delaware	17
18	Tennessee	16
19	South Carolina	16

FY 2012 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.

**States Listed Below Must Provide a
Non-Federal Match of \$1 for each \$1 of Federal Funds**

Ranking	State	Phase 1 Awards
1	California	834
2	Massachusetts	474
3	Virginia	245
4	Maryland	195
5	Texas	173
6	New York	173
7	Ohio	162
8	Colorado	143
9	Pennsylvania	136
10	Florida	105
11	New Jersey	94
12	Illinois	88
13	Washington	86
14	Michigan	84

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