

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

OFFICE OF TECHNOLOGY

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

FISCAL YEAR 2010

OPENING DATE: March 25, 2010

CLOSING DATE: May 10, 2010

ANNOUNCEMENT NO: FAST-10-R-0004

Proposals are to be posted to www.grants.gov by 11:59PM EDT on May 10, 2010

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SECTION I. FUNDING OPPORTUNITY DESCRIPTION

A. INTRODUCTION

1. PROGRAM REVIEW

- a. Federal Agency Name: U. S. Small Business Administration, Office of Technology
- b. Funding Opportunity Title: Federal and State Technology (FAST) Partnership Program Grants
- c. Announcement Type: Fourth Round of Funding Under the FAST Program
- d. Funding Opportunity Number: Program Announcement Number:
FAST-10-R-0004
- e. CFDA Number: 59.058
- f. Closing Date for Submission: May 10, 2010 (11:59 PM EDT)
- g. Authority: Public Law 111-117 and 15 U. S. C. 657d
- h. Funding Instrument: Cooperative Agreement
- i. Award Amount/Funding Range: Total amount of Federal funding anticipated as being available for this project is \$2,000,000. A maximum of 20 awards will be made. Grant award amounts up to \$100,000. Only qualified recipients will be funded. There is a matching fund requirement and resources should be noted in the technical proposal.
- j. Project Duration: Awards will be made for a base project period of 12 months.
- k. Project Starting Date: Approximately 30 days after award.
- l. Proposal Evaluation: Proposals will be scored against the evaluation criteria in Section V. SBA may ask applicants for clarification on the technical and cost aspects of their proposals. This must not be construed as a commitment to fund the proposed effort.
- m. Agency Points of Contact: Office of Technology, FAST@sba.gov

B. PURPOSE

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. The purpose of the FAST program is to strengthen the technological competitiveness of small business concerns in every state. 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.

C. STATEMENT OF WORK

The program shall 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.

SECTION II. AWARD INFORMATION

A. GENERAL AWARD INFORMATION

1. Project Start Date

Approximately 30 days after receipt of the Notice of Award.

2. Project Duration

Awards will be made for a period not to exceed 12 months.

B. FUNDING INFORMATION

Subject to the availability of funds, 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. The Federal award per state will not exceed \$100,000. Each state represented in a multi-state application will not be eligible to receive an award amount exceeding \$100,000. 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 and 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

1. Funding Instrument

Cooperative Agreement

2. Cancellation

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

C. CASH MATCH REQUIREMENT

1. General Matching Requirements (See Appendix A for your state ranking.)

A non-Federal match is required for eligible applicants submitting proposals under this program announcement. 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 VIII. for 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 eighteen (18) 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 for (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 (b) or (c) above.

2. Composition of the Non-Federal Share

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.

3. Documenting the Non-Federal Share

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.

4. Cash Contributions

Provide the SBA Division of Procurement and Grants Management (DPGM) 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.

5. 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).

6. 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.

SECTION III. ELIGIBLE APPLICANTS

A. ELIGIBLE APPLICANTS FOR THIS AWARD

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. Each application must be accompanied by a Letter of Endorsement signed by the appropriate state governor or his/her authorized designee.*

B. INELIGIBLE APPLICANTS FOR THIS GRANT

Any organization with an unresolved audit by any Federal agency.

Any organization suspended or debarred from receiving grants or contracts from any Federal agency or is otherwise excluded from Federal non-procurement programs.

Any organization which has defaulted on an obligation to the United States.

Any applicant that proposes to serve as a pass-through and permit another organization to hire and employ project staff for the purpose of managing the day-to-day operations of the project.

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

A. REQUIRED APPLICATION FORMAT

This program announcement is designed to reduce the investment of time and money required by applicants in preparing a formal application. All applicants must have an adequate financial management system that meets the standards prescribed in 2 CFR 215, .21 - .28, "Uniform Administrative Requirements for Grants and Agreements to Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" or 2 CFR 230, Cost principles for State and Local Governments. The application must include certification to verify that this requirement has been met (e.g., a written statement from a certified public accountant).

- 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 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 limited to 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:

- 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

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

- 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).

C) FAST PLAN

Every proposal must include a detailed description of the FAST plan. The FAST plan should comprise at least one-half of the technical proposal. 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 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 A110 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).

- 1) **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 effort

2) 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.

D. REQUIRED PROPOSAL SUBMISSION DATES

Close of business May 10, 2010.

SECTION V. APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA FOR TECHNICAL PROPOSAL

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 FAST Final Review and Selection Committee (FFRSC) .

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.

Evaluation Criteria

The following six (6) 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. Consideration will also be given to addressing the unmet needs of businesses owned by service disabled veterans.

The Applicant must present clear objectives for the proposed effort and 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.

(20 points)

- 2) **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.

(5 points)

- 3) **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)

- 4) **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)

- 5) **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 120

B. REVIEW AND SELECTION PROCESS

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.

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. At the conclusion of the evaluation of the applicants, scores will be tallied 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 with scores of 90 or more will undergo a second level “joint” review by the FFRSC comprised of program officials representing the SBA, Department of Defense and National Science Foundation. In addition to conducting a joint review of the applications, the FFRSC will also review the recommendations, summaries and rankings presented by the FRC.

SECTION VI. AWARD ADMINISTRATION

A. AWARD NOTICE

Awardees will be notified by the SBA’s Division 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>.

B. REPORTING

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, SF PPR. 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, SF-425.

- (a) The recipient must submit Federal Financial Reports on Standard Form 425 Federal Financial Report (SF-425) is due no later than 30-days after the end of each Quarter. The fourth quarter report will serve 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.

SECTION VII. AGENCY CONTACTS

A. PROGRAM POINTS OF CONTACT

Ms. Lisa Younger
Program Analyst
Office of Technology
U.S. Small Business Administration
409 Third Street, SW - Mail Code 6470
Washington, D.C. 20416
FAST@sba.gov

Ms. Shirley Smith
Program Analyst
Office of Technology
U.S. Small Business Administration
409 Third Street, SW - Mail Code 6470

Washington, D.C. 20416
FAST@sba.gov

B. FINANCIAL/GRANTS MANAGEMENT CONTACT

Ms. Monica Butler
Grant Management Officer
Division of Procurement and Grants Management
409 Third Street, SW - Mail Code 5331
Washington, D.C. 20416
electronic.grants@sba.gov

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

SECTION VIII. OTHER INFORMATION

A. ADVANCE UNDERSTANDINGS

Payment Under the Cooperative Agreement Award

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. 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.

B. DEFINITIONS

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.
- **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 DPGM in the overall administration of the grant. This individual is responsible for overseeing all programmatic aspects of awards made under this Program Announcement.
- **Grants Management Officer** - shall mean an employee of SBA's Division of Procurement

and Grants Management (DPGM) who has been delegated authority, in addition to other grant responsibilities, to obligate Federal funds by signing a Notice of Award.

- **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 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.

- **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 or is making reasonable progress toward accreditation. (P.L. 96-374 amended 12/20/93 in P.L. 103-208).
- **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.

- **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.
- **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.
- **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.
- **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 DPGM 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.
- **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).

- **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.
- **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).
- **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.

C. APPLICATION CHECKLIST

CHECKLIST FOR COMPLETING THE APPLICATION FOR FEDERAL ASSISTANCE

- () **SF-424, Application for Federal Assistance**
- () **SF-424B, Budget Information**
- () **SF-424C, Assurances**
Instructions for completing this form are provided on the reverse side of form
- () **Budget Detailed Worksheet and Narrative**
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.
- () **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**

() **Indirect Cost Proposal**

() **Cost Policy Statement**

() **CPA 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.

APPENDIX A
STATE RANKINGS

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

2010 FAST Competition

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

Ranking	State	Phase 1 Awards	Phase 2 Awards
1	Vermont	9	\$1,061,543
2	Rhode Island	9	\$1,248,130
3	Maine	8	\$724,223
4	Louisiana	8	\$863,290
5	Idaho	7	\$677,354
6	Wyoming	6	\$579,505
7	Alaska	6	\$514,825
8	Nevada	5	\$419,548
9	Kansas	5	\$499,184
10	Dist. of Columbia	5	\$513,107
11	West Virginia	4	\$339,737
12	Mississippi	4	\$369,140
13	North Dakota	3	\$250,000
14	South Dakota	1	\$79,999
15	Puerto Rico	0	\$0
16	American Samoa	0	\$0
17	Guam	0	\$0
18	Virgin Island	0	\$0

FY 2008 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**

2010 FAST Competition

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

Ranking	State	Phase 1 Awards	Phase 2 Awards
1	Connecticut	65	\$8,250,281
2	Illinois	64	\$6,739,990
3	Arizona	63	\$5,885,646
4	Georgia	45	\$5,111,083
5	Wisconsin	41	\$6,510,336
6	New Hampshire	41	\$3,784,982
7	Minnesota	39	\$4,805,358
8	Oregon	37	\$5,925,790
9	Utah	34	\$6,459,809
10	Indiana	32	\$3,115,252
11	Missouri	25	\$2,778,606
12	Tennessee	24	\$2,310,867
13	Kentucky	18	\$2,619,411
14	Arkansas	17	\$1,819,690
15	Oklahoma	16	\$1,955,268
16	South Carolina	15	\$1,985,481
17	Iowa	15	\$2,010,317
18	Hawaii	15	\$1,633,416
19	Delaware	14	\$1,186,364
20	Nebraska	10	\$2,847,027
21	Montana	10	\$1,074,268

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Information based on number of awards issued and funding obligations for new awards only.

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

2010 FAST Competition

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

Ranking	State	Phase 1 Awards	Phase 2 Awards
1	California	697	\$82,515,946
2	Massachusetts	489	\$61,165,308
3	Virginia	224	\$21,037,229
4	New York	199	\$23,986,199
5	Colorado	182	\$19,024,192
6	Maryland	160	\$24,262,450
7	Texas	142	\$16,523,542
8	Pennsylvania	131	\$17,709,962
9	Ohio	126	\$14,200,043
10	Florida	104	\$10,190,356
11	New Jersey	92	\$10,438,810
12	Michigan	79	\$10,035,736
13	Alabama	73	\$7,117,149
14	Washington	71	\$12,043,751
15	New Mexico	70	\$7,754,476
16	North Carolina	67	\$13,238,896

FY 2008 SBIR award data compiled by the U.S. Small Business Administration Office of Technology
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