

# 2022 BUILD TO SCALE PROGRAM

*Notice of Funding Opportunity*

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U.S. ECONOMIC DEVELOPMENT ADMINISTRATION

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*Office of INNOVATION and*  
**ENTREPRENEURSHIP**

## EXECUTIVE SUMMARY

<b>Federal Awarding Agency Name</b>	U.S. Economic Development Administration (EDA), U.S. Department of Commerce (DOC)
<b>Funding Opportunity Title</b>	2022 Build to Scale Program
<b>Announcement Type</b>	2022 Notice of Funding Opportunity (NOFO) publishing EDA’s application submission requirements and application review procedures for EDA’s Build to Scale Program, through which EDA awards grants for activities designed to develop and support regional innovation initiatives, as authorized by section 27 of the Stevenson-Wydler Technology Innovation Act of 1980 (15 U.S.C. § 3722).
<b>Funding Opportunity Number</b>	EDA-HDQ-OIE-2022-B2S
<b>Catalog of Federal Domestic Assistance (CFDA) Number(s)</b>	11.024 Build to Scale
<b>Key Dates</b>	The application deadline is <b><u>11:59 P.M. EASTERN TIME ON JUNE 13, 2022</u></b> . Applications received after this deadline will not be reviewed or considered. Applications will only be accepted electronically through <a href="http://www.grants.gov">http://www.grants.gov</a> (Grants.gov). Applicants are advised to carefully read the application submission information provided in section D (p. 8) of this NOFO.
<b>Funding Opportunity Description</b>	EDA’s Office of Innovation & Entrepreneurship is committed to furthering tech-based economic development initiatives that accelerate high-skill and high-wage job growth, create economic opportunity, and support the future of the next generation of industry leading companies. Funding is available for organizations that aid companies in developing the next generation of technologies. Under the Build to Scale Program, EDA is soliciting applications for two separate competitions: <ul style="list-style-type: none"> <li>• the 2022 Venture Challenge and</li> <li>• the 2022 Capital Challenge.</li> </ul>
<b>Cost Sharing and Matching</b>	Applicants must provide matching share equal to at least 50 percent of the total project cost; i.e., applicants must match each dollar requested with at least one dollar of applicant match. See section C.2 (p.7) of this NOFO.
<b>Eligible Applicants</b>	Eligible applicants for EDA financial assistance under this NOFO include: <ul style="list-style-type: none"> <li>• A State;</li> <li>• An Indian tribe;</li> <li>• A city or other political subdivision of a State;</li> <li>• An entity whose application is supported by a State or a political subdivision of a State and that is— <ul style="list-style-type: none"> <li>○ a nonprofit organization,</li> <li>○ an institution of higher education,</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ a public-private partnership,</li> <li>○ a science or research park,</li> <li>○ a Federal laboratory,</li> <li>○ a venture development organization, or</li> <li>○ an economic development organization or similar entity that is focused primarily on improving science, technology, innovation, or entrepreneurship; or</li> <li>● A consortium of any of the aforementioned entities.</li> </ul> <p>EDA is not authorized to provide grants or cooperative agreements to individuals under this Program. Requests from individuals will not be considered for funding.</p>
<b>Informational Webinar</b>	<p>EDA plans to conduct an informational webinar for this NOFO and expects to make available scheduling information and a link to a recording at <a href="https://www.eda.gov/oie/">https://www.eda.gov/oie/</a>.</p>
<b>Award Notification</b>	<p>Subject to the availability of funding, successful applicants should expect to receive grant award notification approximately 90-120 days following the application deadline set forth in this NOFO.</p>

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2022 BUILD TO SCALE PROGRAM**

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## A. PROGRAM DESCRIPTION

### 1. Overview

Entrepreneurs, especially technology entrepreneurs, flourish in healthy ecosystems. Technology-based economic development grows these ecosystems in which entrepreneurs can start and scale technology-driven businesses, which in turn create high-skill and high-wage jobs, economic opportunity, and the industries of the future. EDA's Office of Innovation and Entrepreneurship (OIE) awards grants through the Build to Scale Program to foster these ecosystems,<sup>1</sup> ultimately advancing the growth of connected, innovation-centric economies that enable innovation and accelerate technology commercialization to increase global competitiveness.<sup>2</sup>

EDA invites organizations that are aiding companies in developing the next generation of technologies to apply for Build to Scale Program funding. These organizations may be operating initiatives to unlock investment capital across a region or sector, operating programs to accelerate company growth, empowering the next generation of entrepreneurs, or otherwise enabling technology commercialization.

Under the Build to Scale Program, EDA is soliciting applications for two separate competitions: (1) the Venture Challenge and (2) the Capital Challenge. Applicants may apply to both Challenges but may only submit one application per Challenge. As set forth below, both Challenges are designed to develop and support regional innovation initiatives. This NOFO does not include an Industry Challenge; however an Industry Challenge may return in future Build to Scale Program NOFOs.

Awards made under either Challenge may only fund operational and programmatic costs related to developing and supporting regional innovation initiatives. Award funds may not be transferred directly to companies (i.e., startups and individuals) being served by the applicant organization, and award funds may not be used to subsidize such companies' expenses that are unrelated to program activities, including general operating expenses.

### 2. Program Information

#### i. Venture Challenge

Under the Venture Challenge, EDA seeks competitive proposals that support technology entrepreneurship and accelerate company growth in their community, region, or combination of regions. Competitive proposals will outline how the project will strengthen economic competitiveness through new product or service innovation or new technology adoption, enhancing research commercialization processes and outcomes, remediating structural barriers that inhibit regional innovation capacity and resilience, or leveraging regional competitive strengths to stimulate innovation and the creation of high-skill and high-wage jobs. Companies served by the applicant organization should be challenging the status quo of established markets or commercializing technologies, as well as furthering job creation within their

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<sup>1</sup> Through the Build to Scale Program, EDA "award[s] grants, on a competitive basis, . . . for activities designed to develop and support . . . regional innovation initiative[s]." 15 U.S.C. § 3722(c)(1). "The term 'regional innovation initiative' means a geographically-bounded public or nonprofit activity or program that addresses issues in the local innovation systems in order to— (A) increase the success of innovation-driven industry; (B) strengthen the competitiveness of industry through new product innovation and new technology adoption; (C) improve the pace of market readiness and overall commercialization of innovative research; (D) enhance the overall innovation capacity and long-term resilience of the region; (E) leverage the region's unique competitive strengths to stimulate innovation; and (F) increase the number of full-time equivalent employment opportunities within innovation-based business ventures in the geographic region." § 3722(a)(2).

<sup>2</sup> See §§ 3720, 3722.

businesses. Applicants should provide evidence that illustrates how funds leveraged through this competition will not only launch new programming and/or scale existing programming, but also generate sustainable added value for the region's entrepreneurial ecosystem by augmenting existing regional assets for innovation and entrepreneurship.

Funding for the Venture Challenge is available at two levels: **Build** and **Scale**. Venture Challenge **Build** applicants may request up to **\$750,000**, and Venture Challenge **Scale** applicants must request more than **\$750,000** and may request up to **\$2,000,000** over the period of performance, which EDA expects will be approximately three years unless the applicant clearly justifies a shorter or longer period of performance and EDA accepts that justification.

Venture Challenge **Build** applicants

- should pilot a solution to a demonstrated need **or** implement a proven solution to a demonstrated need in a new region or community;
- must demonstrate a commitment and ability to achieve, measure, and share data that support agreed upon impacts;
- may request up to **\$750,000** over the period of performance; and
- must provide a 1:1 match.

Venture Challenge **Scale** applicants

- should scale an existing initiative that has established and achieved impacts;
- must have a proven track record of successful deployment of programs;
- must demonstrate a commitment and ability to achieve, measure, and share data that support agreed upon impacts;
- must request more than **\$750,000** and may request up to **\$2,000,000** over the period of performance; and
- must provide a 1:1 match.

Organizations interested in applying to the Venture Challenge are encouraged to review project profiles of past awardees of the Venture Challenge and the i6 Challenge (the predecessor to the Venture Challenge) at <https://www.eda.gov/oie/historical/>.

## ii. Capital Challenge

The Capital Challenge provides operational support for the formation, launch, or scale of investment funds that seek to raise equity-based capital to deploy in scalable startups (e.g., angel, seed, or venture funds) or of organizations that expand equity-based capital access and deployment within a community, region, or regional industry (e.g., angel networks or investor training programs). The Capital Challenge does not support strictly debt-based capital.

Funding for the Capital Challenge is available at two levels: **Form** and **Deploy**. Capital Challenge **Form** applicants may request up to **\$300,000**, and Capital Challenge **Deploy** application must request more than **\$300,000** and may request up to **\$750,000** over the period of performance, which EDA expects will be approximately three years unless the applicant clearly justifies a shorter or longer period of performance and EDA accepts that justification. Although Capital Challenge applicants should operate investment vehicles that raise equity or equity-based capital and deploy that capital into scalable technology businesses, funding must primarily support operational and programmatic costs and **may not** be used as investment capital.

Capital Challenge **Form** applicants

- should identify, educate, and connect investors and other potential sources of equity-based capital (whether traditional, hybrid, or new structures) within a regional technology cluster;
- should identify sources of potential investments (i.e., dealflow) and build capacity to conduct due diligence and close investment deals;
- must demonstrate a commitment and ability to achieve, measure, and share data that support agreed upon impacts;
- may request up to **\$300,000** over the period of performance; and
- must provide a 1:1 match.

Capital Challenge **Deploy** applicants

- should invest in technology startups based on a thesis that clearly supports and fosters the growth of a regional technology cluster and its entrepreneurship ecosystem;
- should raise and deploy equity or equity-based capital, whether through traditional or hybrid models, within a regional technology cluster via a fund or other collaborative investment framework;
- must **not** use B2S funding or matching share as investment capital but instead to operate or support one or more investment vehicles;
- should evaluate companies for high-growth potential as a central factor of their investment strategy;
- must demonstrate a commitment and ability to achieve, measure, and share data that support agreed upon impacts;
- must request more than **\$300,000** and may request up to **\$750,000** over the period of performance; and
- must provide a 1:1 match.

Organizations interested in applying to the Capital Challenge are encouraged to review project profiles of past awardees of the Capital Challenge or Seed Fund Support competition (the predecessor to the Capital Challenge), at <https://www.eda.gov/oie/historical/>.

**3. Statutory Authority**

The statutory authority for the Build to Scale Program is section 27 of the Stevenson-Wydler Technology Innovation Act of 1980 (15 U.S.C. § 3722). The regulations governing the Build to Scale Program are located at subparts A and B of 13 C.F.R. part 312.

**B. FEDERAL AWARD INFORMATION**

**1. Available Funding Under this Announcement**

EDA has been appropriated \$45 million for grants authorized by section 27 pursuant to the Consolidated Appropriations Act, 2022.<sup>3</sup>

The funding periods and funding amounts referenced in this notice are subject to the availability of funds at the time of award as well as to DOC and EDA priorities at the time of award. DOC and EDA will not be held responsible for application preparation costs. Publication of this announcement does not obligate DOC or EDA to make any specific grant award or to obligate all or any part of available funds.

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<sup>3</sup> Public Law 117-103, division B, title 1, 136 Stat. 49 (March 15, 2022).



Subject to the availability of funding and based on applications received, EDA expects to make awards under this NOFO as follows:

**i. Venture Challenge**

EDA plans to award approximately **\$38,000,000** under the 2022 Venture Challenge. The maximum federal share of each Venture Challenge Build award is **\$750,000**; the maximum federal share of each Venture Challenge Scale award is **\$2,000,000**.

**ii. Capital Challenge**

EDA plans to award approximately **\$7,000,000** under the 2022 Capital Challenge. The maximum federal share of each Capital Challenge **Form** award is **\$300,000**; the maximum federal share of each Capital Challenge **Deploy** award is **\$750,000**.

**2. Type of Funding Instrument Used; Period of Performance**

Under this NOFO, EDA may award grants to eligible applicants to support project activities. Periods of performance are dependent on the type of project and the scope of work of the grant award. See section F.1 (p. 24) of this NOFO for award notification information. For both competitions, EDA anticipates awards will typically have an initial period of performance of approximately three (3) years with an anticipated start date of November 1, 2022.

EDA expects all projects to proceed efficiently and expeditiously, and EDA expects applicants to document clearly in their applications a reasonable and appropriate timeline that includes the start and completion dates of the proposed scope of work. As a condition of their respective awards, grantees will be required to provide timely periodic progress reports and performance data as set forth in section F.3 (p. 24).

**C. ELIGIBILITY INFORMATION**

**1. Eligible Applicants**

Entities that are eligible for funding include:

- a State;<sup>4</sup>
- an Indian tribe;
- a city or other political subdivision of a State;
- an entity whose application is supported by a State or a political subdivision of a state and that is—
  - a nonprofit organization;
  - an institution of higher education;
  - a public-private partnership;<sup>5</sup>

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<sup>4</sup> The term “State” means one of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, or any other territory or possession of the United States. 15 U.S.C. § 3722(a)(3).

<sup>5</sup> For the purposes of the Build to Scale program, EDA defines a public-private partnership as a relationship formalized by contractual agreement between a public agency and a private-sector entity that reasonably defines the terms of collaboration in the delivery and financing of a public project. EDA will typically review agreements for items such as the purpose and objectives of the partnership, the binding/contractual nature of the relationship, the duties and responsibilities of each party, and the duration of the agreement. The scope of the relationship documented in the agreement may be limited to the proposal set forth in a given partnership’s grant application or may encompass a broader program, initiative, or other set of activities or goals. A letter

- a science or research park;
- a Federal laboratory;
- a venture development organization;<sup>6</sup> or
- an economic development organization or similar entity that is focused primarily on improving science, technology, innovation, or entrepreneurship;<sup>7</sup> or
- a consortium of any of the aforementioned entities.

EDA is not authorized to provide grants to individuals under this NOFO, and such requests will not be considered for funding.

Organizations that, as of November 1, 2022, have not completed award activities under a previously awarded grant for the Venture Challenge, Industry Challenge, or i6 Challenge (the predecessor to the Venture Challenge) are not eligible for a 2022 Venture Challenge grant. Correspondingly, organizations that, as of November 1, 2022, have not completed award activities under a previously awarded grant for the Capital Challenge or Seed Fund Support (the predecessor to the Capital Challenge) are not eligible for a 2022 Capital Challenge grant.

## 2. Cost Sharing or Matching

A minimum one-to-one (1:1) match is required match for all Build to Scale awards, whether under the Venture or Capital Challenges. Applicants must demonstrate at the time of the application a matching share of at least 50 percent of the total project cost; i.e., for every dollar of federal funds requested, applicants must demonstrate a commitment of at least one dollar of matching share. **Matching share greater than the 1:1 requirement will be accepted but is not necessary to qualify for funding and WILL NOT MAKE AN APPLICATION MORE COMPETITIVE.** EDA in its sole discretion may agree to reduce the matching share prior to, at, or during an award to no lower than 1:1.

As provided in section D.2.i.c (p. 12), Applicants must provide documentation that matching share

- is **committed** to the project,
- will be **available** as needed, and
- is **neither conditioned nor encumbered** in any way that would preclude its use consistent with the requirements of EDA investment assistance.

Funds from other federal financial assistance awards can serve as matching share funds **only** if authorized by statute, which may be determined by EDA's reasonable interpretation of the statute.

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of support from a public entity alone, without additional documentation demonstrating a formal, binding relationship between the parties, will be found insufficient to establish eligibility under this entity category. EDA reserves the right to request additional information from applicants to establish eligibility, as necessary. Applicants that have further questions concerning these documentation requirements should contact the representative listed in section G (p. 25) of the NOFO.

<sup>6</sup> To be eligible for funding, a venture development organization must be a State or nonprofit organization that contributes to regional or sector-based economic prosperity by providing services for the purposes of accelerating the commercialization of research. 15 U.S.C. § 3722(a)(4).

<sup>7</sup> For purposes of the Build to Scale program, EDA defines an economic development organization as an organization with a primary purpose to support the economic development of a community or region. 13 C.F.R. § 312.3. To evaluate an organization's eligibility as an economic development organization or similar entity, EDA will look to the organization's Articles of Incorporation, Charter, Resolutions, Bylaws, and other documents that may be relevant to establish the primary purpose of the organization. Applicants are encouraged to submit all relevant documentation to EDA for evaluation. EDA reserves the right to request additional information from applicants to establish eligibility, as necessary. If applicants have further questions concerning these documentation requirements, they should contact the representative listed in section G (p. 25) of the NOFO.

For entities submitting more than one application under this NOFO, separate matching share is required for each application submitted under this NOFO. EDA may request additional documentation to substantiate that the matching funds meet these requirements.

In-kind contributions may be used for the required matching share and must consist of contributions directly related to the proposed project, such as services, equipment, or space. EDA will fairly evaluate all in-kind contributions, which must be eligible project costs and which must meet applicable federal cost principles and uniform administrative requirements. Applicants are strongly encouraged to work with the appropriate EDA representative listed in section G (p. 25) of this NOFO to determine how in-kind contributions may be utilized to satisfy the matching share requirement based upon the project concept and application and how those in-kind contributions may be valued. As with other match sources, a commitment letter is required for both applicant-provided and third-party sources of in-kind match, as provided in section D.2.i.c (p. 12).

A provider of matching share, including an entity providing cash or in-kind contributions, may not serve as a contractor under the award for which it provides matching share. Thus, an entity providing matching share may not be paid with award funds to provide goods or services to the award recipient.

Please note that all project funds—both federal funds and matching funds—are subject to the funding restrictions set forth in section D.7 (Funding Restrictions) (p. 17). Additionally, recipients generally must expend non-federal share, whether in cash or in-kind, at the same general rate as the federal share. However, if the applicant's budget narrative proposes otherwise (e.g., if the project's implementation depends on a higher proportion of federal share expenditure upfront), the applicant must clearly explain in the budget narrative why project implementation requires different expenditure rates.

## **D. APPLICATION AND SUBMISSION INFORMATION**

### **1. Address to Request Application Package**

An applicant should obtain the appropriate application package electronically at <https://www.grants.gov/> (Grants.gov). To accommodate applicants' accessibility requirements, a paper version of the application may be obtained by contacting EDA's Office of Innovation and Entrepreneurship (OIE) via email at [nie@eda.gov](mailto:nie@eda.gov) or via phone at (202) 482-8001.

### **2. Content and Form of Application Submission**

An applicant should obtain the appropriate application package electronically at <https://www.grants.gov/> (Grants.gov). Applicants may search for this funding opportunity on Grants.gov by entering **EDA-HDQ-OIE-2022-2007288**. All components of the appropriate application package may be accessed and downloaded via <https://www.grants.gov/web/grants/search-grants.html>. The required electronic file format for attachments is text-searchable Portable Document Format (PDF) and, where appropriate, Microsoft Excel.

All Build to Scale applications, whether under the Venture or Capital Challenges, must include the following documents:

Project Design and Substance
Project Narrative
Budget Narrative and Staffing Plan
Matching Share Commitment Letters
State/Local Government Support (if applicable, depending on your organization type)
Forms and Supporting Documentation
SF-424 (Application for Federal Assistance)
SF-424A (Budget Information Non-Construction Programs)
CD-511 (Certification Regarding Lobbying)
SF-LLL (Disclosure of Lobbying Activities)
State Single-Point-of-Contact (SPOC)/Executive Order 12372 Compliance Documentation (if applicable) <sup>8</sup>
Organizational Documentation (if applicable, depending on your organization type) <sup>9</sup>
Indirect Cost Rate (ICR) Documentation (if applicable) <sup>10</sup>

#### i. Project Design and Substance

Document	Number
Project Narrative	One per application
Budget Narrative and Staffing Plan	One per application
Matching Share Commitment Letters	One per match source
State/Local Government Support (if applicable, depending on your organization type)	One per application

#### a. Project Narrative

All applicants must provide a Project Narrative of no more than ten (10) total pages with margins no less than one-half inch (0.5”) using Arial, Calibri, Times New Roman, or a similar font of size no less than eleven (11) points to be considered for funding. **Material beyond the tenth page will not be read or considered.** Applicants are strongly encouraged to provide a clear and concise narrative that includes a compelling justification for the project and articulates a clearly defined regional economic gap, how the proposed project will uniquely meet this need, and the expected outcome(s) that will result from the proposed project. Lengthy applications will not receive greater consideration.

<sup>8</sup> Only certain States participate in the SPOC compliance process. See section D.2.ii.b.1) (p. 13).

<sup>9</sup> Only certain types of eligible entities are required to submit organization documents, and the documentation required varies by eligible entity type. See section D.2.ii.b.2) (p. 13).

<sup>10</sup> Applicants that currently do not have an ICR agreement with a Federal agency are not required to submit this documentation and may elect to adopt a *de minimis* ICR. See section D.2.ii.b.3) (p. 14).

Project Narratives must address the following areas:

### 1) Section 1: Project Description and Overview

#### i) Section 1a: Executive Summary

Provide an **executive summary** of no more than 250 words that includes a **project title** and the name of the Challenge and funding level to which the application is being submitted (i.e., Venture Challenge Build, Venture Challenge Scale, Capital Challenge Form, Capital Challenge Deploy). If your application is selected for funding, EDA may publish this executive summary, including but not limited to on its or other websites and via social media.

#### ii) Section 1b: Vision, Mission, Goals, Roles

What are your organization's **vision and mission**? What are its **goals**? Describe the **roles** you currently play in the innovation ecosystem, and how those roles enable you to achieve those goals. How are you positioned to support a technology entrepreneurship ecosystem?

### 2) Section 2: Ecosystem Resources and Assets

#### i) Section 2a: Project Service Area

Describe the project's **location** and **region**, including its **primary service area**, the communities or regions served (e.g., assets, financial and business resources, workforce, and infrastructure), stakeholders leveraged, and the region's assets and opportunities. The location and region should directly correspond to Questions 14 and 16 of the SF-424. If the applicant expects impacts beyond the noted region, the applicant should note the region of expected impact. Applicants **MUST** identify their proposed primary service area(s) by county or counties. **Counties should be identified by both name and 5-digit FIPS codes.** See 2020 State, County, Minor Civil Division, and Incorporated Place FIPS Codes available at <https://www.census.gov/geographies/reference-files/2020/demo/popest/2020-fips.html>.

#### ii) Section 2b: Region-Opportunity Alignment

Why is this opportunity ripe for the region? Identify the factors that contribute to the region's innovation and job creation strengths and challenges (e.g., ecosystem resources, emerging sectors, R&D systems and infrastructure, other regional assets). How will you leverage available resources to support ecosystem efforts? Who will be affected by this program?

### 3) Section 3: Proposed Solution

#### i) Section 3a: Problems and Solutions

What problems are you trying to solve? What are your solutions? To what extent do your solutions align with any of EDA's investment priorities?<sup>11</sup> Describe in detail how the solutions align with specific regional opportunities or tackle structural challenges.

#### ii) Section 3b: Achievability

Explain how achievable the solution is. For example, have you already piloted the idea? Do you have examples of where this or similar solutions have been implemented before? If the solution is completely new, what research have you done that leads you to believe your outcomes are achievable?

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<sup>11</sup> U.S. Econ. Dev. Admin., Investment Priorities, <https://www.eda.gov/about/investment-priorities.htm>.

### iii) Section 3c: Impacted Groups

Describe the specific stakeholder groups that the solution will serve and impact and explain the rationale for how participants are targeted. Provide an estimate of how many people, organizations, and communities will be impacted by the project either directly or indirectly, and indicate to what extent, if any, you expect your solution to serve and benefit historically underserved populations and increase the diversity, equity, inclusion, and accessibility of your regional innovation economy.

### 4) Section 4: Partnerships

Describe any former, current, or future partnerships or working relationships with public and private entities at the national, state, regional, and local level that will be working on this project. Provide a brief description of each entity and specific detail on the roles and responsibilities of these collaborators including effectiveness of past collaboration efforts.

### 5) Section 5: Measurable Goals & Feasibility

Outline your evidence- and data-based anticipated goals, including outputs and outcomes. Anticipated goals should be specific, measurable, attainable, relevant and timebound (SMART), and the application should indicate why and how these goals were selected. Include baselines that describe the current state, to communicate both base-level goals that adhere to the SMART framework, as well as stretch goals.

#### i) Section 5a: Data Infrastructure

Applicants selected for funding must employ a data and client management system to track their metrics in a machine-readable format; applicants should include a description of their respective systems and, if no such system exists, should include their acquisition and implementation in the project narrative and budget.

### 6) Section 6: Sustainability

Provide your sustainability plan, including anticipated challenges, potential barriers, a forecast of post-award period operations. Explicitly indicate how you plan to continue and evolve operations after you have spent all Build to Scale grant funds, including any existing long-term funding commitments.

#### ***b. Budget Narrative & Staffing Plan***

Applicants may use the optional budget and staffing template available at <https://eda.gov/oi/resources/> to supplement the budget narrative.

Applicants must provide a clear budget narrative that identifies and justifies how funds in each line item of the budget will be used to support the proposed project and that links each line item to its relevant commitment letter. The budget narrative should specifically address each budget line item (including both the federal share and matching non-federal share) and the narrative total should match the total project costs listed in both the SF-424, Question 18, Line g (“TOTAL”) and the appropriate totals fields of the SF-424A. **The budget narrative should include an itemized list of the matching share sources, the total match contribution per each matching share source, and whether the match is cash or in-kind.** The budget narrative should include itemized valuations of any in-kind matching funds (which, for personnel costs, should be supported by the staffing plan). Each line item in the budget narrative should clearly indicate

- the budget category (from the SF-424A) to which the line item corresponds;
- a description of the intended use of funds for each line item; and

- if any matching share is allocated to a given line item, a citation to the one or more commitment letters that documents each relevant matching organization's commitment to provide the matching share of the given line item.

Recipients generally must expend non-federal share, whether in cash or in-kind, at the same general rate as the federal share. However, if the applicant's budget narrative proposes otherwise (e.g., if the project's implementation depends on a higher proportion of federal share expenditure upfront), the applicant must clearly explain why project implementation requires different expenditure rates.

As part of the budget narrative, applicants also must submit a staffing plan that lists all positions that would be charged to the federal and non-federal portions of the budget for each year of the period of performance. The staffing plan must include position titles, maximum annual salaries, percentage of time dedicated to the project, and the total amount of annual salaries that would be charged to the project. The total amount of annual salaries that would be charged to the project must be consistent with the amount reflected on the "Personnel" budget line item on the Form SF-424A for each project year.

### ***c. Matching Share Commitment Letters***

Applicants must submit commitment letters or equivalent documents for **all matching funds** (whether cash or in-kind) from **all sources** (i.e., any applicant, any co-applicants, and any other sources of matching funds) that are **SIGNED BY AN AUTHORIZED REPRESENTATIVE** of the contributing organization. (Authorized representatives must have the authority to execute documents and to obligate and expend funds on behalf of their respective organizations.)

Each matching share commitment letter must

1. state whether the contribution is cash or in-kind;
2. if in-kind, provide a valuation for in-kind contributions;
3. state whether the contribution is from a non-federal source or from a federal source that is explicitly authorized by statute to be used as matching share (as discussed in section C.2 (p. 7)); and
4. state that, at the time of award, the matching share
  - a. is **committed** to the project,
  - b. will be available as needed, and
  - c. is neither **conditioned nor encumbered** in any way that would preclude its use consistent with the requirements of EDA investment assistance.

As discussed in section C.2 (p. 7), a provider of matching share, including an entity providing cash or in-kind contributions, may not serve as a contractor under the award for which it provides matching share. See section C.2 (p. 7) for other matching share requirements and see section D.7 (p. 17) for a discussion of activities and costs that are not allowable and may not be charged to the federal share or to the matching share of a Build to Scale award.

### ***d. State/Local Government Support***

Applicants must submit one or more resolutions or letters that demonstrate that the application is supported by one or more States or political subdivisions of States (e.g., counties, municipalities) that encompass all or a substantial portion of the communities served by this project. **Support from Federal officials, including but not limited to members of the United States Congress, does not meet this requirement.** Examples of authorities who may indicate such support include State and local executive branch officials (e.g., State governors, State cabinet members, mayors, or other municipal executives) and State and local legislators (e.g., State legislators, city councilpersons). **If, however, the applicant or co-**

applicant is a State, an Indian tribe, a city or other political subdivision of a State, or an institution of higher education that is 100% publicly controlled, this requirement does not apply.

## ii. Forms and Supporting Documentation

### a. Forms

Applications must include the following documents, either per applicant or per application, as noted:

Form	Description	Number
SF-424	Application for Federal Assistance	One per applicant
SF-424A	Budget Information—Non-Construction Programs	One per application
CD-511	Certification Regarding Lobbying	One per applicant
SF-LLL	Disclosure of Lobbying Activities	One per applicant

### b. Supporting Documentation

Applications must include the following documentation, as applicable, depending on a given project's primary service area and the type and history of each applicant organization.

Documentation	Number
SPOC Compliance (if applicable)	For each participating State in primary service area
Organizational Documentation (if applicable)	For each applicant, depending on entity type
ICR Documentation (if applicable)	For each applicant

#### 1) SPOC Compliance

For projects with primary service areas located within one or more States that participate in the intergovernmental review process established by **Executive Order 12372, "Intergovernmental Review of Federal Programs,"** applicants must submit documentation demonstrating compliance with that State's or those States' processes. See section D.6 (p. 16) "Intergovernmental Review" of this NOFO. The current list of participating States and their Single Points of Contact (SPOC) can be found at <https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>. Each State may participate for all or a subset of federal grant programs.<sup>12</sup> EDA strongly encourages applicants to contact SPOCs early in the application period to determine the relevant State's or States' processes. Based on the applicant's State, EDA requires the following documentation:

State does not participate	No documentation required—check SF-424 box 19(c).
State participates; this grant program not subject to review	Documentation (e.g., a State executive order, a signed letter from the SPOC) showing that this grant program is not subject to review—provide the documentation as a grants.gov attachment and check SF-424 box 19(b).
State participates; this grant program subject to review	Documentation (e.g., a signed letter from the SPOC) with comments or indicating that this project was not selected for review, or, if the comment period has expired or comments were not received, a copy of the applicant's request for comments—provide the documentation as a grants.gov attachment and check SF-424 box 19(a).

<sup>12</sup> EDA strongly encourages applicants with any questions about SPOC compliance (i.e., intergovernmental review) to contact the representative in section G of this NOFO (p. 25) with any questions regarding applicability in their projects' service areas' States.



## 2) Organizational Documentation

Each applicant and co-applicant must provide documentation that supports each applicant's or co-applicants' **organizational status as an eligible entity**, depending on the type of organization (section C.1 (p. 6) of this NOFO) (e.g., articles of incorporation, certificates of good standing, bylaws, proof of tax-exempt status). Regardless of entity type, EDA reserves the right to request documentation or additional proof of organizational status.

- States, Indian tribes, cities or other political subdivisions of States, and institutions of higher education that are 100% publicly-controlled are not required to submit organizational documentation.
- Nonprofit organizations must submit documentation that demonstrates their status as nonprofit organizations, including articles of incorporation, certificates of good standing, bylaws, and, if applicable, proof of tax-exempt status.
- Applicants applying as (a) institutions of higher education that are not 100% publicly-controlled, (b) science or research parks, (c) Federal laboratories, (d) venture development organizations, or (e) economic development organizations<sup>13</sup> or similar entities must provide documentation that demonstrates their organization's status as the relevant entity type as discussed in section C.1 (p. 6).
- Entities applying as public-private partnerships must submit documentation of their contractual relationship. See the definition of *public-private partnerships* at 13 C.F.R. § 312.3 and the discussion of documentation for public-private partnerships in footnote 5 to section C.1 (p. 6).

## 3) ICR Documentation

If indirect costs are included in the budget, the applicant must include documentation to support the indirect cost rate they are using (unless claiming the 10 percent de minimis indirect cost rate, discussed below). The applicant must submit a copy of its current, approved, and negotiated indirect cost rate agreement (NICRA). The maximum dollar amount of allocable indirect costs for which EDA will reimburse a recipient will be the lesser of the (i) line-item amount for the federal share of indirect costs contained in the EDA approved budget for the award, or (ii) federal share of the total allocable indirect costs of the award based on either (i) the indirect cost rate approved by EDA (or applicable cognizant federal agency), provided that the cost rate is current at the time the costs were incurred and provided that the rate is approved on or before the award end date, or (ii) other acceptable documentation as indicated below.

If the applicant does not have a current or pending NICRA, it may propose indirect costs in its budget; however, the applicant must prepare and submit an allocation plan and rate proposal for approval within ninety days from the award start date (unless claiming the 10 percent de minimis indirect cost rate, discussed below). See 2 C.F.R. part 200 Apps. III, IV, V, VI, VII for guidance. The allocation plan and the rate proposal shall be submitted to EDA's Office of Regional Affairs (or the applicable cognizant federal agency). The applicant should include a statement in its Budget Narrative that it does not have a current or pending NICRA and will submit an allocation plan and rate proposal to EDA or the applicant's cognizant federal agency for approval.

In accordance with 2 CFR § 200.414(f), an applicant that does not have a current negotiated (including provisional) rate, may elect to charge a de minimis rate of 10 percent of modified total direct costs (subject

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<sup>13</sup> EDA strongly encourages applicants that may be eligible under this entity category to contact the representative listed in section G of this NOFO (p. 25) with any questions regarding eligibility.

to the exceptions of § 200.414(f)). No documentation is required to justify the 10 percent de minimis indirect cost rate; however, an applicant electing to charge a de minimis rate of 10 percent must include a statement in its Budget Narrative that it does not have a current negotiated (including provisional) rate and is electing to charge the de minimis rate.

If the applicant is a state or local unit of government (or an Indian tribe) that receives less than \$35 million in direct federal funding per year it may submit any of the following:

- a Certificate of Indirect Costs from the Department of the Interior (DOI) or EDA;
- an acknowledgment received from EDA and a Certificate of Indirect Costs in the form prescribed at 2 C.F.R. pt. 200, app. VII;
- a Cost Allocation Plan approved by a federal agency (note that cost allocation plans or indirect cost rates approved by state agencies are not acceptable); or
- a NICRA.

### 3. Environmental and Historic Preservation Requirements

Applications may be reviewed by EDA for compliance with the National Environmental Policy Act of 1969, as amended (NEPA), depending on the nature and specific elements of each given application. During the NEPA review process, applicants may be instructed to contact the designated State and/or Tribal Historic Preservation Officer (SHPO/THPO), provide approvals from other governmental agencies, or provide more detailed environmental information. EDA, after compliance with requirements for consultation with federally-recognized Indian tribes, may require applicants to participate in Tribal consultation, as necessary. The implementing regulations for NEPA require EDA to provide public notice of the availability of project-specific environmental documents, such as environmental impact statements, environmental assessments, findings of no significant impact, and records of decision, to the affected public.<sup>14</sup> For further guidance and information, please contact the representative listed in section G (p. 25) of this NOFO.

### 4. Unique Entity Identifier and System for Award Management (SAM)

To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act of 2006, applicants are required to: (i) be registered in SAM before submitting an application, (ii) provide a valid unique entity identifier in the application, (iii) make certain certifications (see also section H.5 (p. 27) of this NOFO), and (iv) continue to maintain an active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal awarding agency. EDA may not make a federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the EDA is ready to make an award, EDA may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant. Recipients will be subject to reporting requirements, as identified in OMB guidance published at 2 C.F.R. parts 25 and 170.

### 5. Submission Dates and Times

The deadline for the receipt of **an application** is **11:59 PM EASTERN TIME ON JUNE 13, 2022**. Applications received after this deadline will not be reviewed or considered. **Applications** will only be accepted electronically through [www.grants.gov](http://www.grants.gov) (Grants.gov). Applicants are advised to carefully read the

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<sup>14</sup> As specified in 40 C.F.R. § 1506.6(b).

submission information provided in section D (p. 8) of this NOFO. The date and time that an application will be deemed to be electronically received will be determined in accordance with the electronic submission instructions provided at Grants.gov. See sections D.8 (p. 17) and H.6 (p. 27) of this NOFO for information regarding electronic submissions. **APPLICATIONS RECEIVED AFTER THE APPLICATION DEADLINE WILL NOT BE CONSIDERED FOR FUNDING.** EDA strongly suggests that applicants submit applications substantially before the deadline.

In addition, please note the following:

- EDA will not accept any unsolicited changes, additions, revisions, or deletions to applications after the submission deadline.
- Throughout the review and selection process, EDA reserves the right to seek clarification from applicants whose applications are being reviewed and considered.
- Applicants may be asked to clarify objectives and work plans and modify budgets or other specifics as necessary to comply with federal requirements and provide supplemental information required by the agency before award.
- See section E (p. 19) of this NOFO for application review and selection information.

Applicants are strongly encouraged to start early and not to wait until near the application deadline before logging on and reviewing the instructions for submitting an application through Grants.gov. 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 print any error message received and contact Grants.gov immediately. You can find contact information for Grants.gov on its website, including at <https://www.grants.gov/web/grants/support.html> and [https://gditshared.servicenow.com/hhs\\_grants](https://gditshared.servicenow.com/hhs_grants) at the time of publication of this NOFO. EDA, in its sole discretion, may pre-approve in writing submission via an alternate method (e.g., email) due to a systems issue at Grants.gov only insofar as any such systems issue is beyond the control of the applicant. However, any submission via this alternate method must be received before the deadline. See section H.6.v (p. 28) regarding what does and does not constitute a systems issue. **LATE APPLICATIONS WILL NOT BE ACCEPTED** for any reason, including but not limited to late submissions caused by issues with Grants.gov, SAM, or AOR registrations. See sections D.5 (p. 15), D.8 (p. 17) and H.6 (p. 27) of this NOFO for more information on electronic submissions. In situations described in this subsection, applications must have email or facsimile receipt timestamps no later than the application deadline or must be postmarked or the equivalent on or before the application deadline. **An application that is not timestamped or postmarked, as applicable, by the application deadline WILL NOT BE REVIEWED.**

## 6. Intergovernmental Review

Applications submitted under this NOFO are subject to the requirements of Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs," if a State has adopted a process under EO 12372 to review and coordinate proposed federal financial assistance and direct federal development (commonly referred to as the "single point of contact review process"). All applicants whose primary service areas fall within one or more such States must give State and local governments a reasonable opportunity to review and comment on the proposed project, including review and comment from area-wide planning organizations in metropolitan areas.<sup>15</sup> To find out more about a State's process under EO 12372, applicants may contact their State's Single Point of Contact (SPOC). Names and addresses of some States' SPOCs

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<sup>15</sup> As provided for in 15 C.F.R. part 13.

are listed at <https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>. Question 19 of Form SF-424 allows applicants to indicate compliance with EO 12372; however, note that **applicants must supply as part of their application packages documentation that supports the answer provided to Question 19 (i.e., that demonstrates compliance)**. See section D.2.ii.b.1) (p. 8).

## 7. Funding Restrictions

The following activities are not allowable, and associated costs are not allowable costs, under any Build to Scale award, whether a Venture or Capital Challenge award. Such costs may not be charged to the federal share or to the matching share of a Build to Scale award.

- **Construction:** Construction activities are not allowable, except in limited circumstances related to equipment installation. For the purposes of an award made pursuant to this NOFO, construction includes any activity that disturbs the ground or modifies a structure. The purchase of equipment and equipment-related modifications or renovations of a facility are allowable, but only to the extent that such equipment and any related modifications or renovations are used to support another eligible activity under the award.
- **Equity Investments & Loans:** The use of funds to make equity investments or issue debt is not an allowable cost. Neither federal nor matching share funds may be invested in startups or other companies, whether through equity, debt, hybrid, or another mechanism.
- **Subsidies to Participant Firms:** Award funds may not be transferred to companies (i.e., startups and individuals) being served by the applicant organization, nor may they be used to subsidize such companies' expenses that are unrelated to program activities, including general operating expenses. Neither federal nor matching share funds may be used for such costs.
- **Advertising & Marketing:** Advertising and marketing activities are not allowable, except in limited circumstances outlined at 2 CFR 200.421(b) and (d). In particular, the costs of promotional items and memorabilia, including models, gifts, and souvenirs as well as the costs of advertising and public relations designed to promote the applicant are not allowable. However, certain costs related to recruiting participants and conducting program outreach may be allowable.
- **Internships & Wages/Stipends:** Establishing and administering an internship or similar work experience program are not allowable activities. Stipends, wages, and other payments to interns or similar work experience program participants are not allowable costs.
- **Cloud Service Credits:** Credits to be distributed to companies (i.e. startups and individuals) being served by the applicant organization are not allowable costs and thus are not an allowable source of matching share.

Additionally, it is DOC policy that award funds may not be used to pay for management fees in excess of costs or profits, unless statutorily authorized.

## 8. Other Submission Requirements

### i. Means of Submission

**APPLICATIONS MUST BE SUBMITTED VIA GRANTS.GOV.** EDA will not accept paper, facsimile, or email transmissions of applications for this program except in cases of documented systems issues as described in sections D.5 (p. 15) and H.6.v (p. 28) of this NOFO. Applications must be successfully validated and timestamped by Grants.gov no later than the application deadline set forth in section D.5 (p. 15) of this NOFO. **An application that is not validated and timestamped by Grants.gov by the application deadline WILL NOT BE REVIEWED. Note that the Grants.gov registration is a multi-stage process that involves several steps, including validation, verification, and registration through other websites**

such as [sam.gov](https://sam.gov). See sections D.1 (p. 8), D.5 (p. 15), and D.8.ii (p. 18) of this NOFO. Please visit Grants.gov (including, at the time of this NOFO's publication, at <https://www.grants.gov/web/grants/applicants/apply-for-grants.html> and <http://www.grants.gov/web/grants/applicants/organization-registration.html>) for resources and guides on the Grants.gov registration process.

Once an application is submitted, it undergoes a validation process through Grants.gov during which the application may be accepted or rejected by the system. **Please be advised that the validation process may take 24 TO 48 hours to complete. Applications that contain errors will be rejected by Grants.gov and will not be forwarded to EDA for review. The applicant must correct the error before Grants.gov will accept and validate the application. EDA WILL NOT ACCEPT LATE APPLICATIONS THAT WERE REJECTED BY GRANTS.GOV DUE TO APPLICANT ERRORS. Accordingly, EDA STRONGLY SUGGESTS THAT APPLICANTS SUBMIT THEIR APPLICATIONS AT LEAST FIVE (5) DAYS BEFORE THE DEADLINE to allow the application to be accepted and validated in the system and to allow time for any errors to be corrected. EDA will consider the timestamp from Grants.gov (or on a pre-approved alternate method) as the official submission time.**

See section H.6 (p. 27) of this NOFO for more detailed instructions and information on the requirements for submitting applications electronically via Grants.gov.

## ii. Pre-Submission Registration

**ENSURE THAT YOUR ORGANIZATION AND ANY REQUIRED INDIVIDUALS ARE REGISTERED WITH REQUIRED SYSTEMS AS SOON AS POSSIBLE.** Before submitting an application under this NOFO, each applicant must both register its organization with Grants.gov and register its Authorized Organization Representative (AOR) with Grants.gov. **Applicants should note that this process can be lengthy, requires interaction with multiple organizations not affiliated with EDA (e.g., Grants.gov, SAM.gov), and requires confirmation at each step. Applicant organizations that have not previously completed any of the above steps may require three to four weeks to accomplish these tasks due to system processing requirements.** EDA **STRONGLY ENCOURAGES** prospective applicants to begin the pre-submission process as early as possible in the application period.

Also, the Federal government transitioned from DUNS numbers (assigned by Dun and Bradstreet) to Unique Entity Identifiers (UEIs, assigned by SAM.gov) on April 4, 2022. For more information about

- **how to register your organization and associated individuals with Grants.gov**, visit the [Organization Registration](#) and [Applicant Registration](#) pages, as well as Grants.gov's [Online Help section that addresses registration](#);
- **how the DUNS-to-UEI transition affects Grants.gov**, visit Grants.gov's [Planned UEI Updates](#) page;
- **how to register your organization with SAM.gov (or how to renew your organization's registration)**, visit SAM.gov's [Getting Started with Registration page](#);
- **your organization's current SAM.gov registration status**, visit SAM.gov's [Check Entity Registration Status page](#); and
- **how the DUNS-to-UEI transition affects SAM.gov**, visit SAM.gov's [DUNS to Unique Entity ID \(SAM\) Transition page](#).

The hyperlinks to (i.e., the URLs of) these resources are up-to-date as of the date of publication of this NOFO, but please note that EDA does not control these systems, and they may change without notice. If you encounter problems or questions that are not answered by the pages linked above, please visit the

respective system's entry page (e.g., [Grants.gov](https://www.grants.gov), [SAM.gov](https://www.sam.gov)) and navigate to its respective "Help," "Support," or similar section.

### iii. Optional Pre-Submission Technical Review

Applicants may submit a copy of their application to OIE via email and receive feedback on technical aspects of their application before the deadline. Based on this feedback, the applicant may revise or supplement its application or submit a substantially revised application by the deadline. Applicants who submit complete applications for pre-submission technical review will be informed whether their application is technically complete (i.e., if it includes all the documents required by section D.2 (p. 8) of this NOFO) and whether the applicant is an eligible entity. No other review will be conducted and no additional feedback (including, e.g., feedback on the application's merits) will be provided. Additionally, during the application period of this NOFO, EDA cannot provide comments or any other feedback on applications that were submitted under any preceding Build to Scale program, including the Venture, Capital or Industry Challenge, or Regional Innovation Strategies program NOFOs, including the i6 Challenge or the Seed Fund Support competition, whether they were selected for funding.

Pre-submission technical review is designed **ONLY** to provide feedback on the technical completeness of an application and the applicant's eligibility for funding and is **NOT** designed to provide any review or feedback of an application's merits or to aid in the development of an application. EDA staff will attempt to provide pre-submission technical review within two (2) weeks of receipt of a request therefor; however, such review is not guaranteed, may not be comprehensive, and does not guarantee or suggest that the final submitted application will proceed to the Merit Review evaluation stage or be selected for funding.

Applicants are strongly encouraged to seek this technical feedback from EDA no later than three (3) weeks prior to the application deadline set forth in section D.5 (p. 15) of this NOFO in order to allow adequate time to address any technical issues before final submission. EDA, in its sole discretion, may stop performing pre-submission technical review at any time. Applicants must submit requests for pre-submission technical review and all related documents to their geography's respective contact set forth in section G (p. 25) via email; pre-submission technical review via Grants.gov is not available. The review and feedback described in this subsection are optional. Applicants need not seek preliminary feedback on their application to submit an application for consideration. See section G (p. 25) of this NOFO for contact information for EDA representatives.

## E. APPLICATION REVIEW INFORMATION

Throughout the review and selection process, EDA, at its sole discretion, may seek clarification, including but not limited to written clarifications and corrected or missing documents, from applicants whose applications are being reviewed and considered and require that applicants provide such clarifications or corrections to continue to be considered for an award under this NOFO. EDA will provide applicants a reasonable amount of time to provide any additional documentation. An applicant's failure to provide complete and accurate supporting documentation in a timely manner *when requested by EDA* may result in the removal of that application from consideration. EDA may ask applicants to clarify application materials, objectives, and work plans, or modify budgets or other specifics as necessary to comply with federal requirements.

### 1. Evaluation Criteria

Applications to all competitions under this NOFO will be reviewed against the following equally weighted criteria. Merit Reviewers will respond to prompts for each criterion by indicating the extent to which they

agree with the statement as it applies to an application, from “strongly disagree” (1 point) to “strongly agree” (7 points):

1	2	3	4	5	6	7
Strongly Disagree	Disagree	Slightly Disagree	Neutral	Slightly Agree	Agree	Strongly Agree

Applications from each competition will be scored competitively against applications received for that same competition using the following common criteria:

Summary of Criteria
Ecosystem Resources, Assets, and Equity
Proposed Solution
Partner Entities
Measurable Goals
Continued Impacts
Budget and Staffing
Alignment with B2S Program Goals

#### i. Ecosystem Resources, Assets, and Equity

Under this criterion, consider whether the opportunity is clearly stated and is aligned with the community or region’s unique assets and needs. Is the primary service area clearly defined, and does the project encourage and solicit participation from an inclusive group of regional stakeholders that might benefit from participation, including newly formed entities, rival existing participants, and historically underserved populations that increase the diversity, equity, inclusion, and accessibility of the regional innovation economy? **To what extent do you agree that the region’s assets and needs are clearly defined, explained, and aligned with the proposed project?**

#### ii. Proposed Solution

Under this criterion, consider whether the proposed solution is clearly stated and aligned with community or region’s needs. Does the proposed solution effectively leverage assets in the primary service area? Does the solution align with the opportunity, and is the proposed solution achievable (or can substantial progress be made)? Does the application clearly identify target participants and how those participants will be reached? Does the solution align with the needs of these participants? Does the solution align with any of EDA’s investment priorities? **To what extent do you agree that the proposed solution is achievable, aligned with the opportunity and meets the needs of its target participants and population?**

#### iii. Partner Entities

Under this criterion, consider whether the submission has defined the role of potential partner entities and has the potential to effectively leverage ecosystem resources. You may consider any former, current, or future partnerships/working relationships with federal, state, regional, and/or local entities that the application highlights, including any details on past collaboration efforts. Does the submission convincingly communicate and demonstrate that resources from different partners will be leveraged in a way that will result in ecosystem growth that is greater than the sum of the individual partners’ contributions? A submission that does not clearly identify and demonstrate support from proposed partners may score less than a submission that does. **To what extent do you agree that the application clearly and realistically**

**defines the roles of potential partner entities and demonstrates that resources from potential partner entities will be leveraged in a way that will result in ecosystem growth that is greater than the sum of the individual partners' contributions?**

#### **iv. Measurable Goals**

Under this criterion, consider whether the solution has clear goals against which to measure the project's success, including measuring impact on historically underserved populations and areas. Proposed goals should be measurable, reasonable, and achievable during and beyond the grant period. Are the goals baselined, and does the applicant clearly indicate the likelihood of achieving each goal (i.e., are stretch goals identified and explained)? Does the applicant explain the level of effort required to realistically achieve each level of each goal? A submission that does not describe measurable goals or does not include elements of the plan relating to feasibility may score less than a submission that includes goals and benchmarks for the proposed approach that are clear and realistic. **To what extent do you agree that the project goals are specific, measurable, attainable, relevant, and time-bound (SMART) and, if achieved, would advance the target innovation ecosystem and its participants?**

#### **v. Continued Impacts**

Under this criterion, consider the likelihood that the investment will continue to deliver impact. If the project fills an ongoing need within the ecosystem, how will the applicant deliver these services after the term of the grant? If the project fills a temporary need, how will the services evolve to continue to provide impact, and how will the applicant identify and deliver these evolved services after the term of the grant? You may consider whether the proposed partners enhance the sustainability of the project, the financial plan to sustain the project beyond the award, and whether the plan is feasible based on evidence provided in the application. **To what extent do you agree that the proposed project will continue to increase the ecosystem's ability to enable technology entrepreneurs to start and grow after the grant period, whether with future financial support or by becoming realistically self-sustaining?**

#### **vi. Budget and Staffing**

Under this criterion, consider the budget narrative and staffing plan proposed in the application. Do the operations and management capacities and experiences of the applicant organization(s) and team demonstrate the ability to execute the proposed project successfully? Do the budget narrative and staffing plan reasonably and realistically correspond to the costs and activities necessary for the successful execution of the proposed project? Providing more than the required matching share does not alone make an application more competitive. **To what extent do you agree that the application clearly identifies the financial, human, and programmatic resources that will support the successful execution of this proposed project and that the applicant organization and team have the operations and management capacities to execute the proposed project successfully?**

#### **vii. Alignment with Build to Scale Program Goals**

Under this criterion, consider whether the application aligns with the Build to Scale program goal to "build regional economies through scalable startups" and on the quality and clarity of the application's responses to the prompts in this NOFO. Evaluate the entirety of the submission package, including the project narrative, budget narrative, and letters of support. A submission, for example, that provides vague descriptions, partial responses, or content that is difficult to understand may score less than one that conveys a well-articulated story and addresses all B2S prompts clearly and completely. **To what extent do you agree that the submission conveys a clear narrative that addresses the prompts in this NOFO**



and that aligns with the Build to Scale program goal to “build regional economies through scalable startups”?

## **2. Review and Selection Process**

### **i. Review for Eligibility and Completeness (Technical Review)**

EDA staff will conduct an eligibility and technical completeness review (the “Technical Review”) of all applications received by the application deadline. Applications received from ineligible entities will not be considered for funding. Applications that do not contain all forms and required documentation listed in section D.2 (p. 8) of this NOFO may be deemed non-responsive and excluded from further consideration. EDA expects all applicants to complete and include all required forms and documentation. However, EDA, in its sole discretion, may determine that an omission is curable and therefore may continue its consideration of the application despite the deficiency. Technical Review will be conducted separately for each application for each competition.

### **ii. Merit Review**

Merit Reviewers will evaluate applications against the evaluation criteria in section E.1 (p. 19) of this NOFO. Each application will be reviewed by at least three Merit Reviewers. Merit Reviewers may include, but are not limited to, DOC and EDA personnel and other federal and non-federal subject matter experts. EDA, in its sole discretion, may use a statistical technique to normalize, aggregate, and group Merit Reviewers’ quantitative evaluations (i.e., scores) and may consider qualitative Merit Reviewer evaluation information. For each competition, the most highly ranked applications will be recommended to the Grants Officer as the applications that merit consideration for EDA funding.

### **iii. Grants Officer Decision**

The most highly ranked applications will be forwarded to the Grants Officer under this NOFO, which EDA anticipates will be the Director of OIE. The Grants Officer has been delegated the authority to make the final decision on whether to fund an application and may select a project for funding that differs from the most highly ranked applications based on any of the following Selection Factors or use these Selection Factors to break a tie for applications that are otherwise considered substantially equal in merit:

1. the extent to which the application meets the overall objectives of section 27;
2. the extent to which the selection of the application, alone or in the context of other applications, supports EDA’s compliance with appropriations law requirements and report language guidance;
3. the ability of a project to start quickly, realistically achieve project goals, and catalyze additional resources;
4. the comparative financial or management capability of the applicant;
5. the applicant’s performance under previous federal financial assistance awards, including whether the grantee submitted required performance reports and data;
6. for previous grantees, the extent to which the application builds upon and creates synergies with previously funded work;
7. for applicants to multiple competitions under this NOFO, the extent to which the proposal leverages dollars across the multiple programs to make their overall approach stronger;
8. the extent to which the application leverages complementary public or private sector programs or policies, including but not limited to those operated or managed by the Federal Government;
9. the availability of program funding;

10. the extent to which the project supports EDA's goals of balance in distribution of program funds within the overall portfolio of Build to Scale awards, including geographic balance (including but not limited to geographic diversity among urban and rural states and diversity among regions of the United States), project type balance (including but not limited to diversity among Build and Scale awards under the Venture Challenge and among Form and Deploy awards under the Capital Challenge), sectoral focus balance (including but not limited to advanced wood products; advanced manufacturing; artificial intelligence; bioscience; commercial space; energy; marine energy; nanotechnology; telecommunications, including broadband; etc.), and organizational type balance (including but not limited to organization size and stage of development); and
11. the extent to which any budget flaws or legal issues in the application may impact an applicant's ability to execute the project or achieve the desired impacts.

The final decision of the Grants Officer must be consistent with this NOFO and applicable law. **There is no appeal process for denied applications.**

#### **iv. Due Diligence**

If an application is selected, the applicant still may have to complete certain due diligence requirements. EDA may request that the applicant submit additional documents and information to allow EDA to fully evaluate compliance with applicable rules and regulations. If the applicant provides the requested information and supporting documentation in a timely fashion and EDA determines that the project is fully compliant with applicable rules and regulations, the application may be forwarded to the Grants Officer for a final decision and award approval. Applicants that do not provide the additional information and supporting documentation in a timely fashion or that are deemed to be not in compliance with applicable rules and regulations will receive notification that their application was not successful.

### **3. Awards in Excess of the Simplified Acquisition Threshold**

EDA, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS). See 41 U.S.C. § 2313.

Each applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

EDA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206.

### **4. Anticipated Announcement and Federal Award Dates**

Subject to the availability of funding, successful applicants should expect to receive grant award notification approximately 90-120 days following the application deadline.

## F. FEDERAL AWARD ADMINISTRATION INFORMATION

### 1. Federal Award Notices

Under this NOFO, EDA expects to notify applicants of its decision in writing approximately 90-120 days after the application deadline. If an application is selected for funding, the EDA Grants Officer will issue a signed grant award (Form CD-450), which is the authorizing financial assistance award document and includes the DOC Financial Assistance Standard Terms and Conditions and Special Award Conditions as described in section F.2 (p. 24).

By signing Form CD-450, the applicant agrees to comply with all award provisions. EDA will provide Form CD-450 via email through Grants Online or its successor electronic grants management system. The email will provide the authorized representative with instructions on how to create an account with Grants Online to view and sign the award. The applicant must sign and return the Form CD-450 without modification within 30 days of the date of EDA's signature on the form. **Failure to sign and return the CD-450 during this timeframe may be considered grounds for appropriate enforcement action pursuant to 2 C.F.R. § 200.339 ("Remedies for noncompliance"), INCLUDING AWARD TERMINATION.**

If an applicant is awarded funding, neither DOC nor EDA is under any obligation to provide any additional future funding in connection with that award or to make any future awards. Amendment or renewal of an award to increase funding or to extend the period of performance is at the discretion of DOC and EDA.

EDA will provide written notice to all applicants informing them whether their application was selected for funding. EDA will retain unsuccessful applications in accordance with EDA's record retention schedule.

### 2. Administrative and National Policy Requirements

Recipients of an EDA award will be bound by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) as set forth in 2 C.F.R. part 200.

For all projects, DOC will apply the DOC ST&Cs applicable on the date of the award. The DOC ST&Cs may be accessed at the following website: <https://www.commerce.gov/oam/policy/financial-assistance-policy>.

DOC will apply the Pre-Award Notification Requirements for Grants and Cooperative Agreements effective December 26, 2014, 79 Fed. Reg. 78,390. The Pre-Award Notice may be accessed at <http://www.gpo.gov/fdsys/pkg/FR-2014-12-30/pdf/2014-30297.pdf>.

### 3. Reporting

#### i. Financial, Performance, and Impact Reports

All recipients are required to submit progress reports and financial status reports in accordance with the terms and conditions of the grant award, generally no less than semi-annually. In addition, all recipients will be required to track and submit performance data on EDA-sponsored outputs and resulting outcomes, semi-annually and annually, respectively. All reports must be submitted in electronic format as specified in the terms of the award. As part of its administration of the Build to Scale Program, EDA may conduct program evaluations. If so, EDA may share performance data with evaluators and recipients of grants under this program may need to furnish performance data to evaluators, including but not limited to EDA staff and outside parties contracted by EDA. EDA may also, for research purposes linked to improving economic outcomes, choose to share data with other federal partners, including but not limited to statistical agencies.

## ii. Federal Funding Accountability and Transparency Act of 2006

The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable federal grants to report information about first-tier subawards and executive compensation under federal assistance awards issued in FY 2011 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at [www.fsrs.gov](http://www.fsrs.gov) on all sub-awards over \$30,000. Please see the OMB guidance published at 2 C.F.R. part 170.

## iii. Government Performance and Results Act

EDA will require additional data on activities, outputs, and actual impact of the funded investment, in part to fulfill the requirements of the Government Performance and Results Act (GPRA).

Award recipients must submit Outputs Questionnaires (Form ED-916) to EDA on a semi-annual basis during the period of performance or as otherwise directed by EDA. The first Outputs Questionnaire must be submitted to EDA six months after the date the period of performance starts. The Outputs Questionnaire must be submitted to EDA every six months thereafter through the end of the Period Performance, or any portion thereof if applicable, or as otherwise directed by EDA.

Award recipients must submit Outcomes Questionnaires (Form ED-917) to EDA on an annual basis for a total of five years after the date the period of performance starts. The first Outcomes Questionnaire must be submitted to EDA one year after the date the period of performance starts. The Outcomes Questionnaire must be submitted to EDA at the end of every year thereafter for a total of five years, or as otherwise directed by EDA.

For more information, please refer to <https://www.eda.gov/performance/>.

## iv. Information Sharing

For the purposes of achieving rigorous program evaluations, all applications (including those that are not selected for funding) may be shared with EDA staff, outside parties contracted by EDA for the purposes of evaluation, and other federal agencies.

## v. Requirements for Recipients with More Than \$10 Million in Federal-wide Funding

As required by appendix XII to 2 C.F.R. part 200, a recipient with more than \$10 million in federal-wide funding must maintain the currency of information reported to SAM that is made available in the designated integrity and performance system (currently FAPIIS) about civil, criminal, or administrative proceedings.

## G. FEDERAL AWARDING AGENCY CONTACT(S)

For questions concerning this NOFO or for more information about EDA programs, you may contact your respective EDA Economic Development Representative (EDR). Up to date EDR contact information is available at <https://eda.gov/contact/>; please click on the name of the Regional Office that serves your state. If you are unable to connect with your designated EDR, contact the Office of Innovation & Entrepreneurship via email (preferred) at [oiie@eda.gov](mailto:oiie@eda.gov) or via phone at (202) 482-8001.

## H. OTHER INFORMATION

### 1. Right to Use Information

The applicant acknowledges and understands that information and data contained in applications for financial assistance, as well as information and data contained in financial, performance and other reports

submitted by applicants, may be used by the Department of Commerce in conducting reviews and evaluations of its financial assistance programs. For this purpose, applicant information and data may be accessed, reviewed, and evaluated by Department of Commerce employees, other federal employees, and also by federal agents and contractors, and/or by non-federal personnel, all of whom enter into appropriate conflict of interest and confidentiality agreements covering the use of such information. As may be provided in the terms and conditions of a specific financial assistance award, applicants are expected to support program reviews and evaluations by submitting required financial and performance information and data in an accurate and timely manner, and by cooperating with Department of Commerce and external program evaluators. In accordance with 2 C.F.R. § 200.303(e), applicants are reminded that they must take reasonable measures to safeguard protected personally identifiable information and other confidential or sensitive personal or business information created or obtained in connection with a Department of Commerce financial assistance award.

## **2. Freedom of Information Act Disclosure**

In addition, Department of Commerce regulations implementing the Freedom of Information Act (FOIA), 5 U.S.C. § 552, are found at 15 C.F.R. part 4, Public Information. These regulations set forth rules for the Department regarding making requested materials, information, and records publicly available under the FOIA. Applications submitted in response to this Notice of Funding Opportunity may be subject to requests for release under the Act. In the event that an application contains information or data that the applicant deems to be confidential commercial information that should be exempt from disclosure under FOIA, that information should be identified, bracketed, and marked as Privileged, Confidential, Commercial, or Financial Information. In accordance with 15 CFR § 4.9, the Department of Commerce will protect from disclosure confidential business information contained in financial assistance applications and other documentation provided by applicants to the extent permitted by law.

## **3. Past Performance and Non-Compliance with Award Provisions**

Unsatisfactory performance under prior federal awards may result in an application not being considered for funding. Failure to comply with any or all of the provisions of an award may have a negative impact on future funding by DOC (or any of its operating units) and may be considered grounds for any or all of the following actions: (1) establishing an account receivable; (2) withholding payments to the recipient under any DOC award(s); (3) changing the method of payment from advance to reimbursement only; (4) imposing other special award conditions; (5) suspending any active DOC award(s); and (6) terminating any active DOC award(s).

## **4. EDA's Non-Relocation Policy**

**Applicants are advised that, should an application be selected for award, the recipient will be required to adhere to a special award condition relating to EDA's non-relocation policy as follows:**

In signing this award of financial assistance, Recipient(s) attests that EDA funding is not intended by the Recipient to assist its efforts to induce the relocation of existing jobs within the U.S. that are located outside of its jurisdiction to within its jurisdiction in competition with other U.S. jurisdictions for those same jobs. If EDA determines that its assistance was used for those purposes, EDA retains the right to pursue appropriate enforcement action in accord with the Standard Terms and Conditions of the Award, including suspension of disbursements and termination of the award for convenience or cause, which may include the establishment of a debt requiring the Recipient to reimburse EDA.

For purposes of ensuring that EDA assistance will not be used merely to transfer jobs from one location in the United States to another, each applicant must inform EDA of all employers that constitute primary

beneficiaries of the project assisted by EDA. EDA will consider an employer to be a “primary beneficiary” if: (i) the employer is specifically named in the application as benefitting from the project, and the applicant estimates that the employer will create or save 100 or more permanent jobs as a result of the investment assistance (if the jobs in question were originally located in a smaller community, EDA may extend this policy to the relocation of 50 or more jobs); or (ii) the employer is or will be located in an EDA-assisted building, port, facility, or industrial, commercial, or business park constructed or improved in whole or in part with investment assistance prior to EDA’s final disbursement of funds.

## 5. Audit Requirements

Single or program-specific audits shall be performed in accordance with the requirements contained in the OMB Uniform Guidance (see 2 C.F.R. part 200, Subpart F, “Audit Requirements”). The OMB Uniform Guidance requires any non-federal entity (e.g., nonprofit organizations, including nonprofit institutions of higher education and hospitals; States; local governments; and Indian Tribes) that expends federal awards of \$750,000 or more in the recipient’s fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the OMB Uniform Guidance. Applicants are reminded that EDA or the DOC’s Office of Inspector General also may conduct an audit of an award at any time.

## 6. Instructions for Application Submission via Grants.gov

To find this funding opportunity at Grants.gov, search for EDA-HDQ-OIE-2022-B2S via the Funding Opportunity Number field. The most up-to-date instructions for application submission via Grants.gov can be found at <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>. See section D.8.ii (p. 18) for links to useful Grants.gov and SAM.gov resources.

### i. Register Early and Submit Early

To submit an application via Grants.gov, applicants must register with SAM.gov and Grants.gov. Registration can take between **three to five business days** or **AS LONG AS FOUR WEEKS**. To avoid delays, EDA strongly recommends that applicants start early and not wait until the approaching deadline date before logging in, registering, reviewing the application instructions, and applying. See section D.8.ii (p. 18) for links to useful Grants.gov and SAM.gov resources.

### ii. AOR Requirement

Applicants must register as organizations, not as individuals. As part of the registration process, you will register at least one AOR for your organization. AORs registered at Grants.gov are the only officials with the authority to submit applications at Grants.gov; please **ensure that your organization’s application is submitted by an AOR**. Note that a given organization may designate multiple individuals as AORs for Grants.gov purposes.

EDA will not accept late submissions caused by registration issues with Grants.gov, SAM.gov, or other systems.

### iii. Field Limitations and Special Characters

Please be advised that Grants.gov provides the following notice with respect to form field limitations and special characters: <https://www.grants.gov/web/grants/applicants/submitting-utf-8-special-characters.html>.

### iv. Verify That Your Submission Was Successful

**IT IS YOUR RESPONSIBILITY AS AN APPLICANT TO VERIFY THAT YOUR SUBMISSION WAS TIMELY RECEIVED AND VALIDATED SUCCESSFULLY AT GRANTS.GOV.** Applicants should use Grants.gov’s “Track My

Application” function (<https://www.grants.gov/web/grants/applicants/track-my-application.html>). For a successful submission, the application must be received and validated by Grants.gov, and an agency tracking number must be assigned. If the date and time your application is **validated and timestamped** by Grants.gov is later than 11:59pm Eastern Time on the application deadline set forth in section D.5 (p. 15) of this NOFO, your application is late. Once validation is complete, the status will change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. For more detailed information about why an application may be rejected, please consult with Grants.gov resources such as “Encountering Error Messages” (<https://www.grants.gov/web/grants/applicants/encountering-error-messages.html>) and “Frequently Asked Questions by Applicants” (<https://www.grants.gov/web/grants/applicants/applicant-faqs.html>).

EDA requests that applicants kindly refrain from submitting multiple copies of the same application package. Applicants should save and print both the confirmation screen provided on the Grants.gov website after the applicant has submitted an application and the confirmation email sent by Grants.gov when the application has been successfully received and validated in the system. If an applicant receives an email from Grants.gov indicating that the application was received and subsequently validated but does not receive an email from Grants.gov indicating that EDA has retrieved the application package within 72 hours of that email, the applicant may contact the representative listed in section G (p. 25) of this announcement to inquire if EDA is in receipt of the applicant’s submission.

#### **v. Grants.gov Systems Issues**

If you experience a Grants.gov systems issue (i.e., a technical problem or glitch with the Grants.gov website) that you believe threatens your ability to complete a submission in a timely manner, please (i) print any error message received; (ii) contact the Grants.gov Support Center at (800) 518-4726 for assistance; and (iii) contact EDA using the contact information in section G (p. 25) of this NOFO. Ensure that you obtain a case number regarding your communications with Grants.gov. Please note that problems with an applicant’s computer system or equipment are **not** considered systems issues. Similarly, an applicant’s failure to, e.g., (i) complete the required registration, (ii) ensure that a registered AOR submits the application, or (iii) notice receipt of an email message from Grants.gov are **not** considered systems issues. A Grants.gov systems issue 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 unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely. In the event of a confirmed systems issue, EDA reserves the right to accept an application in an alternate format.

Applicants should access the following link for assistance in navigating Grants.gov and for a list of useful resources: <https://www.grants.gov/web/grants/support.html>. The following link lists “Frequently Asked Questions by Applicants”: <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>. If you do not find an answer to your question there, contact Grants.gov by email at [support@grants.gov](mailto:support@grants.gov) or telephone at (800) 518-4726. The Grants.gov Contact Center is open 24 hours a day, seven days a week, except on federal holidays.

### **7. Certifications Required by Annual Appropriations Acts for Corporations and for Awards over \$5 Million**

As discussed in section D.4 (p. 15), all applicants are required to be registered in SAM before applying under this NOFO. SAM requires registering entities to certify compliance with all limitations imposed by annual appropriation acts. For corporations, this certification includes that the corporation:

## Section H

- a. Was not convicted of a felony criminal violation under a Federal law within the preceding 24 months, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; and/or
- b. Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

For financial assistance awards in excess of \$5 million, this certification includes that the entity:

- a. To the best of its knowledge and belief, has filed all Federal tax returns required during the three years preceding the certification;
- b. Has not been convicted of a criminal offense under the Internal Revenue Code of 1986; and/or
- c. Has not been notified, more than 90 days prior to certification, of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.



**APPENDIX A EXAMPLE OUTPUT AND OUTCOME MEASURES**

Applications for all competitions under this NOFO will be evaluated on their approaches to measuring their stated goals including activities, outputs, and outcomes. See, e.g., section D.2.i.a.5) (p. 11) and section E.1 (p. 19). Applicants are encouraged to consider a broad range of relevant output and outcome measures in developing their proposed scope of work. For each output or outcome measure identified, why the metric was chosen or identified should be included. Examples of such output and outcome measures include the following:

Program Activities	Metrics
Output	# of business concepts reviewed # of entrepreneurs/startups participating in program # of outreach events (includes workshops, boot camps, training sessions, entrepreneurial education training, meet ups, networking, demo days etc.)
Outcome	Total amount of investment capital raised Total amount of capital raised through loans, and, grants (including SBIR/STTR) Total past fiscal year business sales Total business sales Total # of jobs created or retained Total # of technical assistance meetings Total # of mentoring & coaching sessions Total # of meetings with potential investors, high-revenue clients or SBIR/STTR grant program managers Total # of SBIR/STTR award applications supported Total # of new product launches

## APPENDIX B OPTIONAL CHECKLIST-STYLE GUIDE FOR REQUIRED DOCUMENTS FOR APPLICATION

### 1. For States, Indian Tribes, Cities, Other Political Subdivisions of States, and Institutions of Higher Education That Are 100% Publicly-Controlled

The following checklist table is meant to assist applicants that are States, Indian tribes, cities, other political subdivisions of States, and Institutions of Higher Education That Are 100% Publicly-Controlled (including consortia of one or more of these types of entities). As set forth in section D.2 (p. 8) of this NOFO, all documents are required for a complete application.

Note that this list **DOES NOT APPLY** to nonprofit organizations, institutions of higher education that are not 100% publicly-controlled, public-private partnerships, science or research parks, Federal laboratories, venture development organizations, or economic development or similar organizations. For these organizations, see Appendix B2 (p. 32) of this NOFO.

Document Checklist for State, Indian Tribe, City, and Other Political State Subdivision Applicants/Co-Applicants				
Document	Title/Description/Reference	Checklist		
Project Narrative	See section D.2.i.a (p. 9)	Application		
Budget Narrative and Staffing Plan	See section D.2.i.b (p. 11)	Application		
Matching Share Commitment Letters	See section D.2.i.c (p.12)	Source 1	Source 2	etc.
Form SF-424	Application for Federal Assistance	Applicant 1	Applicant 2	etc.
Form SF-424A	Budget Information-Non-Construction Programs	Application		
Form CD-511	Certification Regarding Lobbying (if applicable)	Applicant 1	Applicant 2	etc.
Form SF-LLL	Disclosure of Lobbying Activities	Applicant 1	Applicant 2	etc.
SPOC/EO 12372 Compliance Documentation	See section D.2.ii.b.1) (p. 13) and <a href="https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf">https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf</a> (if applicable)	State 1	State 2	etc.
ICR Agreement	See section D.2.ii.b.3) (p. 14)	Applicant 1	Applicant 2	etc.

**2. For Nonprofit Organizations, Institutions of Higher Education That Are Not 100% Publicly-Controlled, Public-Private Partnerships, Science or Research Parks, Federal Laboratories, Venture Development Organizations, Economic Development or Similar Organizations**

The following checklist table is meant to assist applicants that are nonprofit organizations, institutions of higher education that are not 100% publicly-controlled, public-private partnerships, science or research parks, Federal laboratories, venture development organizations, or economic development or similar organizations (as well as consortia that include one or more of these types of entities). As set forth in section D.2 (p. 8) of this NOFO, all documents are required for a complete application.

<b>Document Checklist for Nonprofit Organization, Institution of Higher Education, Public-Private Partnership, Science or Research Park, Federal Laboratory, Venture Development Organization, and Economic Development or Similar Organization Applicants/Co-Applicants</b>				
<b>Document</b>	<b>Title/Description/Requirements</b>	<b>Checklist</b>		
<b>Project Narrative</b>	See section D.2.i.a (p. 9)	<i>Application</i>		
<b>Budget Narrative and Staffing Plan</b>	See section D.2.i.b (p. 11)	<i>Application</i>		
<b>Matching Share Commitment Letters</b>	See section D.2.i.c (p. 12)	<i>Source 1</i>	<i>Source 2</i>	<i>etc.</i>
<b>State/Local Government Support</b>	See section D.2.i.d (p. 12)	<i>Application</i>		
<b>Form SF-424</b>	Application for Federal Assistance	<i>Applicant 1</i>	<i>Applicant 2</i>	<i>etc.</i>
<b>Form SF-424A</b>	Budget Information-Non-Construction Programs	<i>Application</i>		
<b>Form CD-511</b>	Certification Regarding Lobbying (if applicable)	<i>Applicant 1</i>	<i>Applicant 2</i>	<i>etc.</i>
<b>Form SF-LLL</b>	Disclosure of Lobbying Activities	<i>Applicant 1</i>	<i>Applicant 2</i>	<i>etc.</i>
<b>SPOC/EO 12372 Compliance Documentation</b>	See section D.2.ii.b.1) (p. 13) and <a href="https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf">https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf</a> (if applicable)	<i>State 1</i>	<i>State 2</i>	<i>etc.</i>
<b>Organizational Documentation</b>	E.g., certificates of good standing, articles of incorporation, bylaws, establishing authorities; see section D.2.ii.b.2) (p. 14)	<i>Applicant 1</i>	<i>Applicant 2</i>	<i>etc.</i>
<b>Public Private Partnership Documentation</b>	If applicable, documentation defining the public private partnership which contains details of the agreement, including roles and responsibilities, and is signed by all parties. See 13. C.F.R. § 312.5 and the discussion of documentation for public-private partnerships in footnote 6 to section C.1 (p. 6)	<i>Application</i>		
<b>Indirect Cost Rate (ICR) Agreement</b>	See section D.2.ii.b.3) (p. 14)	<i>Applicant 1</i>	<i>Applicant 2</i>	<i>etc.</i>