

8.1. Definitions

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

- 8.1.1 *Applicant* – An eligible organization that applies for funding under this Notice of Funding Opportunity.
- 8.1.2 *Award* – Financial assistance that provides supporting or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the Federal government to an eligible recipient.
- 8.1.3 *Budget Period* – The 12- month period during which expenditure obligations will be incurred by the recipient of an award under this Announcement. For the purposes of this Announcement, the initial budget period will be from 9/30/2020 to 9/29/2021.
- 8.1.4 *Client* - Someone who attends outreach events/meetings, trainings/workshops, or has received other types of assistance from the FAST grantee (e.g., proposal writing assistance, etc.). There is no minimum number of hours of interaction required nor does the interaction have to be one-on-one or in-person.
- 8.1.5 *Cooperative Agreement* – A legal instrument reflecting a relationship between the United States government and a Recipient when the principal purpose of the relationship is to transfer a thing of value to the Recipient to carry out a public purpose of support or stimulation and substantial involvement is expected between the awarding agency and the Recipient when carrying out the activity contemplated in the agreement.
- 8.1.6 *Cost Policy Statement* – A document describing all accounting policies of an Applicant organization and narrating in detail its proposed cost allocation plan. This plan must stipulate the procedures used to identify, measure, and allocate all costs to each benefitting activity.
- 8.1.7 *Counseling* – Services provided one-on-one to an individual and/or business that are delivered in person (face-to-face), on the telephone, or electronically and which:
 - a) are substantive in nature and concern the formation, management, financing, and/or operation of a small business enterprise; AND
 - b) are specific to the needs of the business or individual; AND
 - c) require a signed SBA Form 641 or equivalent form that supports SBA’s management information database.
- 8.1.8 *Grant Officer’s Technical Representative (GOTR)* – An employee of SBA’s Office of Innovation and Technology who is authorized to monitor the technical, schedules, and cost performance against the proposed objectives, and work closely with OGM in the overall administration of the grant.

This individual is responsible for overseeing all programmatic aspects of awards made under this Notice of Funding Opportunity.

8.1.9 *Grants Management Officer* –An employee of SBA’s Office of Grants Management (OGM) who has been delegated authority, in addition to other grant responsibilities, to obligate Federal funds by signing a Notice of Award.

8.1.10 *Hispanic Serving Institute* – As defined by Title V (20 W.S.C. 11011 et seq.) “and eligible institution means

(A) an institution of higher education—

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

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

8.1.11 *Historically Black College or University* – A black college or university that was established prior to 1964, whose principle mission was, and is, the education of Black Americans, and that is accredited by a nationally recognized agency or association determined by the Secretary of Education to be reliable authority as to the quality of training offered or is making reasonable progress toward accreditation. (P.L. 96-374 amended 12/20/93 in P.L. 103-208).

8.1.12 *Mentor* – A person or persons associated with a small business concern that has successfully completed one or more SBIR or STTR funding agreements and have agreed to guide small business concerns through all stages of the SBIR or STTR Program process. (Mentor is also defined in section 35(c)(2) [15 USC § 657c].

8.1.13 *Mentoring Network* – Per the Small Business Act (section 35(c)), a Mentoring Network shall: (1) provide business advice and counseling to high technology small business concerns located in the State or region served by the Mentoring Network and identified under section 34(c)(1)(E)(ii)

as potential candidates for the SBIR or STTR programs; (2) identify volunteers who (A) are persons associated with a small business concern that has successfully completed one or more SBIR or STTR funding agreements; and (B) have agreed to guide small business concerns through all stages of the SBIR or STTR program process, including providing assistance relating to (i) proposal writing, (ii) marketing, (iii) Government accounting, (iv) Government audits, (v) project facilities and equipment, (vi) human resources, (vii) third phase partners, (viii) commercialization, (ix) venture capital networking, and (x) other matters relevant to the SBIR and STTR programs; (3) have experience working with small business concerns participating in the SBIR and STTR programs; (4) contribute information to the national database referred to in subsection (d); and (5) agree to reimburse volunteer mentors for out-of-pocket expenses related to service as a mentor under this section.

- 8.1.14 *Minority-owned Business* – A small business which is unconditionally owned and controlled by one or more socially and economically disadvantaged individuals (minority-owned) who are of good character and citizens of the United States, and which demonstrates potential for success.
- 8.1.15 *Non-Federal Funds* – A recipient’s cash, in-kind and/or program income contribution in fulfillment of matching funds requirements under this Announcement.
- 8.1.16 *Notice of Award* – The legal document, signed by both SBA and a Recipient, that memorializes the award of funding under a Cooperative Agreement and contains the specific terms and conditions that apply to the award.
- 8.1.17 *One-to-One/Individualized Counseling* – Technical assistance provided either by a staff member, an independent contractor, or a volunteer. It may be provided at the program site, at the client’s business, or at an appropriate site for business where the contractor or volunteer chooses to meet the client.
- 8.1.18 *Outcomes* – The assessment of the results of the FAST program compared to its intended purpose utilizing short, intermediate and long-term performance measurements to assess how businesses benefited from the services provided in addition to how the state’s overall SBIR performance has improved including but not limited to an increase in the number and dollar amount of SBIR Phase I, II and III awards won by small business technology firms.
- 8.1.19 *Outputs* – Services produced by a program or organization such as a workshop, seminar or individualized counseling and provided to the public or to other organizations
- 8.1.20 *Participant* – An individual who attends (in-person or virtually) an event, training, and/or counseling session.

- 8.1.21 *Phase 0 Awards* – Phase 0 is a general term indicating preliminary grant assistance designed to support the development of a Phase 1 SBIR or STTR proposal. Such funding can be for initial R&D efforts to support a planned Phase 1 proposal or as support funds for the planning, preparation and evaluation of a Phase 1 proposal.
- 8.1.22 *Planning Activity* – An activity that a recipient performs in planning for the provision of services to the small business or its clients.
- 8.1.23 *Project Director* – A qualified individual employed by the recipient and approved by the Office of Technology to direct the effort under the cooperative agreement. This individual is responsible to officials of the recipient for the proper management and conduct of the project.
- 8.1.24 *Project Period* – The total period of performance for an award made under this Program Announcement, including the base and all option-year Budget Periods.
- 8.1.25 *Recipient* – An organization that has had its application accepted and has been awarded funding under this Program Announcement.
- 8.1.26 *Service-Disabled Veteran Owned Business* – A small business concern owned and controlled by a Service-Disabled Veteran or Service – Disabled Veterans, as defined in section 3(q) of the Small Business Act (15 U.S.C. 632(q) and SBA’s implementing SDVOSBC Program Regulations (13 C.F.R. 125).
- 8.1.27 *Small Business or Small Business Concern* – A business concern that is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and does not have more than 500 employees, including its affiliates. The size standards and size determination provision of 13 CFR Part 121, particularly 13 CFR Section 121.901-907, shall apply.
- 8.1.28 *State* – The fifty (50) States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Marianas Islands, the Virgin Islands, Guam, the Republic of the Marshall Islands, the Federated States of Micronesia, and American Samoa.
- 8.1.29 *Technical Assistance* – Counseling and training to small business concerns and nascent entrepreneurs in order to promote growth, expansion, innovation, increased productivity and management improvement (as described in 35 (c)(2)(B) [15 USC § 657c] and in accordance with the terms of this Program Announcement and a Recipient’s Notice of Award).
- 8.1.30 *Training* – A workshop, session, or webinar which delivers a structured program of knowledge, information or experience on a business-related subject. The training must last for a minimum of one hour and include two or more individuals and/or businesses in attendance.
- 8.1.31 *Tribal College or University* – As cited in Section 532 of the Equity in Educational Land-Grants Status Act of 1994 (7 U.S.C. 301 note), any other institution that qualified for funding under the

Tribally Controlled Community College Assistance Act of 1978, (25 U.S.C. 1801 et.seq.) and Navajo Community College authorized in the Navajo Community College Assistance Act of 1978 (P.L. 95-471, Title II (25 U.S.C. 640a note).

- 8.1.32 *Underserved Businesses* – While the SBA and federal law do not officially designate any groups to be considered underrepresented for the purposes of SBIR/STTR or FAST, please include participants that identify as a member of the following groups as underrepresented: (1) Women; or (2) Racial and ethnic minorities (Black Americans; Hispanic Americans; Native Americans (Alaska Natives, Native Hawaiians, or enrolled members of a Federally or State recognized Indian Tribe); Asian Pacific Americans; and Asian Americans).
- 8.1.33 *Women-owned Business* – A small business concern owned and controlled by women, either start-up or existing, which is not less than 51 percent owned by one or more women and the management and daily business operations are controlled by one or more women.