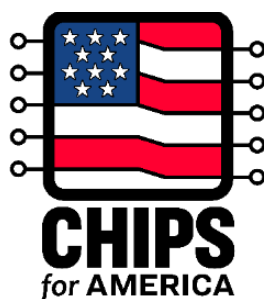




DEPARTMENT OF COMMERCE NIST

CHIPS PROGRAM OFFICE



CHIPS INCENTIVES PROGRAM

AWARD PHASE OVERVIEW HANDBOOK

UPDATED: NOVEMBER 2024



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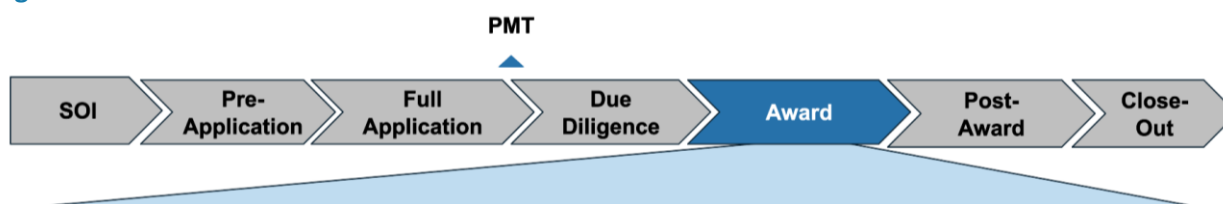
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AWARD PHASE OVERVIEW

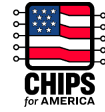
Once an applicant for a CHIPS Incentive Program award completes the initial due diligence phase, the applicant enters the award preparation and issuance phase (“**Award Phase**”) described in the Notice of Funding Opportunity – Commercial Fabrication Facilities (the “**NOFO**”) and Notice of Funding Opportunity – Small-Scale Supplier Projects (the “**NOFO 2**”). The purpose of the Award Phase is to negotiate the final award documents and ensure completion of applicant registration in systems required to manage the award(s) and receive disbursements. This Award Phase Overview Handbook (the “**Handbook**”) is a quick reference guide for applicants to complete required registration in accordance with the NOFO and payment processing accounts necessary for receipt of funds.

This Handbook is not intended to supersede, modify, or otherwise alter applicable statutory or regulatory requirements, the requirements set forth in the terms and conditions of a CHIPS award, or the requirements contained in the NOFO. In all cases, statutory and regulatory requirements, the requirements set forth in the terms and conditions of a CHIPS award and/or the requirements contained in the NOFO shall prevail over any inconsistencies contained in this Handbook.

Figure 1: Award Process



The CPO Deal Teams, Office of Chief Counsel for Semiconductor Incentives (“**OCC-SI**”) and Application Administration Team will serve as the primary points of contact for applicants, conducting frequent touchpoints to provide necessary support. Throughout the Award Phase, CPO Points of Contact (POCs) will reach out as applicant activities are required. These contacts will be supported internally by other CPO teams as well as the National Institute of Standards and Technology employees who will help to process Direct Funding Award disbursements and the Department of Treasury’s Federal Financing Bank (FFB) employees, who will help to process Loan Awards.



The below sections outline certain key activities required of CHIPS Award applicants. All questions and inquiries related to the guidance provided in this Handbook should be emailed directly to CPO at CHIPSAwards@chips.gov.

FINAL AGREEMENT TO AWARD

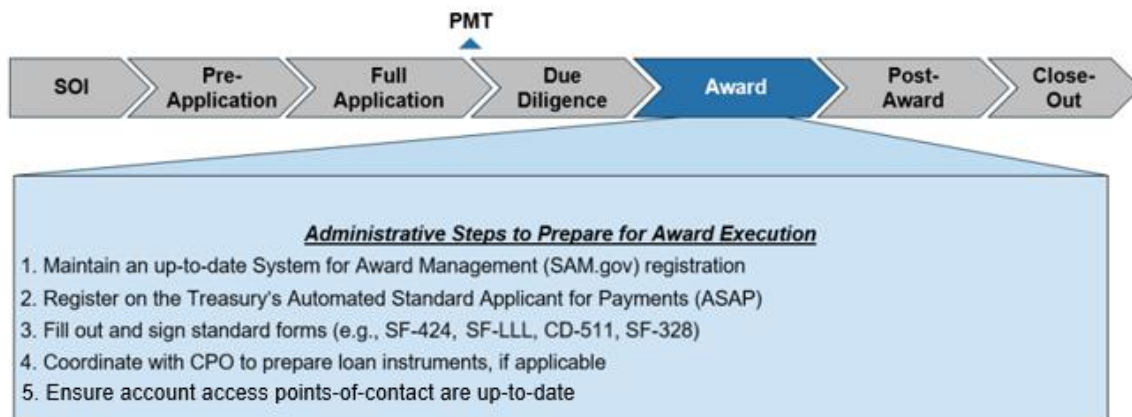
Following agreement on the final award terms of the Direct Funding Agreement, the CPO Deal Team and OCC-SI will review whether all relevant conditions precedent to award are fulfilled. These conditions precedent can include, but are not limited to, documentation and other deliverables, such as evidence of an initial financing plan, evidence of intellectual property, evidence of equity contributions, and evidence of state and local incentives.

All conditions precedent to award are required to be satisfied prior to CPO signing an award document. Once CPO confirms that conditions precedent to award are met, award documentation can be executed. Additionally, CPO is required to provide Congress a 15-day notification prior to obligating awards. The CPO External and Government Affairs team will notify relevant congressional committees 15 days prior to obligation and will conduct, within 15 days of the obligation date, a secure briefing with the relevant committees.

ADMINISTRATIVE STEPS FOR AWARD SET UP

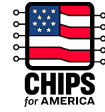
As CPO and Applicants work to finalize award documentation, there are several tasks applicants must complete to enable eventual receipt of funds. These steps are outlined below.

Figure 2: CHIPS Applicant Checklist for Award Set Up



1. System for Award Management (SAM.gov)

The System for Award Management (SAM.gov) is an official website of the U.S. Government. All entities conducting business with the federal government are required to register in SAM.gov and obtain a Unique Entity Identifier (UEI). Applicants must have an active SAM.gov registration for each entity receiving funds prior to award closing and during the duration of the award. Applicants are also expected to maintain an



annual registration renewal with SAM.gov. SAM.gov registration can take up to 10 business days after the applicant has submitted the registration to be active.

During SAM.gov registration, applicants will be prompted for certifications and representations for federal financial assistance. CHIPS Incentives are awarded through a federal financial assistance program. Therefore, applicants must respond “yes” to the following question: “Does (company name) wish to apply for a federal financial assistance project or program, or is (company name) currently the recipient of funding under any Federal financial assistance project or program?” and then submit their certification.

Many CHIPS applicants may have already registered prior to or during the application process. If the applicant has already registered and the registration is still active, the applicant does not need to re-register. However, registration must be renewed annually, and CHIPS Incentives recipients must have current certifications and representations for federal financial assistance. Applicants should verify the status of these certifications under the heading “Reps and Certs” in SAM.gov. Applicants can confirm their registration status and expiration date by logging in at [SAM.gov | Home](#). Applicants are expected to proactively maintain their SAM.gov registration and should reach out to CPO if they have any questions or need assistance.

To obtain assistance with SAM.gov registration, you can:

1. Visit the System for Award Management website at [SAM.gov | Home](#) and follow the online instructions in their Help tab to create a user account, register, or update your entity’s SAM account.
 - [SAM.gov Registration Instructions](#)
 - [SAM.gov Annual Renewal Instructions](#)
2. Visit [SAM.gov | Help](#) to search Knowledge Base, use “Go to Incident”, or “Go to Live Chat”.
3. Call the Federal Service Desk (FSD) at 866-606-8220, Monday – Friday from 8 a.m. to 8 p.m. ET.

2. Automated Standard Application for Payments (ASAP.gov)

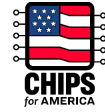
The Department of Treasury’s [Automated Standard Application for Payments \(ASAP\) \(treasury.gov\)](#) is an electronic system that federal agencies use to transfer money quickly and securely to award recipients. To receive CHIPS Direct Funding payments, applicants must be enrolled in ASAP prior to award issuance. The ASAP registration process could take a maximum of 45 days, but in many cases will take less time. Recipients will receive funding disbursements through the ASAP system throughout the period of the award.

ASAP Enrollment Next Steps

Below are the steps required for ASAP enrollment. Note that applicants must provide information from their SAM.gov account before enrolling in ASAP (See SAM.gov section above for detailed guidance).

Step 1: Complete ASAP Enrollment Form

The first step in ASAP enrollment is to complete and submit the ASAP Enrollment Form, found [here](#). Applicants will email the completed ASAP enrollment form to CHIPSAwards@chips.gov for processing. This form asks for basic information about the entity including Unique Entity Identifier (UEI), and corresponding Employer Identification Number (EIN) and Organization type. The UEI and EIN provided should be for the legal entity that is being awarded the Direct Funding (and SF-424 forms, see below). For



example, if the Direct Funding Award is issued to a subsidiary company, the UEI and EIN provided on the ASAP Enrollment form will be the subsidiary, not the parent.

- Applicants should leave the Award # field blank on the form.
- Applicants should list an applicant Point of Contact (POC) within their entity who will be responsible for setting up the organization's ASAP account and identifying officials within the organization. CPO recommends assigning a senior employee within the applicant's Finance department.

Step 2: Initiate Applicant Enrollment

After receiving the enrollment form, CPO and NIST Grants Management Division (GMD) will initiate enrollment of the applicant in the ASAP.gov system. The enrollment process starts when the applicant POC is notified by email from ASAP to register, add multi-factor authentication, and validate their identity in ID.me.

To register an account with ID.me, the applicant will have to navigate to the ASAP login page at ASAP.gov and select the ID.me option. New users will create a new account and follow the prompts to enable multi-factor authentication to validate their identity. After an account is created, the applicant POC will add their email address associated with the ASAP.gov account as their primary email address for ID.me. Once the applicant is registered, they will be able to use their ID.me credentials to log in to ASAP.gov by selecting ID.me on the login page. The applicant POC will have 45 days to act on their pending ASAP enrollment and define their organization's user roles.

Applicants can visit <https://fiscal.treasury.gov/asap/caia.html> for questions regarding adding multifactor authentication to your login via ID.me. Additionally, the **ASAP Help Desk** can be reached at asaphelpdesk@fiscal.treasury.gov or (855) 868-0151; Select option #2; then option #3.

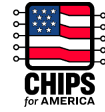
Note: Applicants experiencing issues with ID.me should select "Help Center" at the top right of their ID.me account. There will be a list of Troubleshooting Topics and the ability to chat with a Representative.

Step 3: Define User Roles

After the applicant POC sets up their user account, the POC will need to designate the following ASAP user roles within their organization. Multiple user roles can be assigned to the same user.

Note: Applicants without an ASAP.gov account will have to specify all the following user roles. For applicants with an existing ASAP.gov registration, the applicant POC will only need to specify the Authorizing Official (AO).

1. Head of Organization (HOO): Approves and rejects the roles and officials that are initially proposed by the POC, as well any changes to users and their roles. Can only be assigned to one person at a time.
2. Authorizing Official (AO): Confirms the non-Federal entity's (i.e. applicant's) information and designates Payment Requestor and Inquirer Only users.
3. Financial Official (FO) Defines the Banking information.



4. Payment Requestor(s): Requests Federal funds on behalf of the organization. Requestors are automatically given Inquirer access, and multiple Payment Requestors may be added.
 - The role of the Payment Requestor, responsible for requesting payments, can be fulfilled by either the applicant and/or CPO. CPO recommends that the applicant designates CPO as a Payment Requestor to reduce its administrative burden; however, applicants may choose to execute this role themselves.
 - If the applicant adds CPO as an ASAP Payment Requestor, then the applicant should input the following information:

First Name: Autumn
Last Name: Morgan
Organization Name: CHIPS Program Office
Email: Autumn.Morgan@CHIPS.gov
Mailing Address:
Herbert C. Hoover Building, Suite 48002
1401 Constitution Avenue NW
Washington, DC 20230

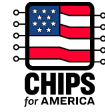
Please note that if the applicant decides to change the designation of CPO as a payment requestor, the designated Authorizing Official (AO) associated with the ASAP account can update the applicant Payment Requestor information. CPO does not have the authority to modify applicant roles; only the applicant can modify roles in ASAP. More information about Authorizing Official procedures can be found [here](#).

5. Inquirer Only: Views information on ASAP.gov relating to organization.
6. *Optional, CPO recommended:* Additional applicant Point of Contact (POC). CPO recommends each applicant include an alternate POC in the event that the initial POC is unavailable.
7. *Optional:* Re-Delegated Head of Organization (RHOO) – Acts on behalf of the Head of Organization to designate, approve or reject additional Authorizing Officials, Financial Officials and applicant Point of Contacts.

Note: Reminder that the applicant POC is the representative who is listed on the ASAP Enrollment Form and will be the person who completes the initial account set up. The applicant POC can assign themselves applicable ASAP user roles during account set up if they are also their organization's HOO, AO, or FO. Otherwise, the applicant POC should assign the HOO, FO, AO, and additional POC user roles as is applicable to their organization. In the event that the applicant POC changes, the applicant should proactively inform CPO at CHIPSAwards@chips.gov.

Once the users are named, the HOO must approve all roles before they become effective. Users will then be assigned a User ID and temporary password in the ASAP.gov access control system and will receive an email notification.

More information about the Point of Contact procedures can be found [here](#).



Step 4: Provide Banking Information

ASAP disbursements can be received through the Automated Clearing House ([ACH](#)) or Fedwire Fund Service ([Fedwire](#)). ACH has limitations of \$100 million per payment request and \$1 million per payment request for same day settlements date. Fedwire Fund Service will require an additional registration in Fedwire. Applicants expecting disbursements of \$100 million or greater will need to confirm their banking institution(s) are eligible to receive fund transfers via Fedwire. Applicants should inquire with their banking institution(s) for any transaction fees they may incur.

After the Authorizing Official (AO) designates the Payment Requestor role, the designated Financial Official (FO) enters the organization's U.S. bank account information, selects the payment method as "ACH/FEDWIRE" and receives a confirmation once the account has been added. ASAP.gov allows the Financial Official (FO) to specify up to eight unique U.S. bank accounts, four accounts with ACH and four accounts with Fedwire.

Additionally, during the disbursement request process, applicants should validate the bank account that funds should be deposited to for each disbursement.

Note: Upon initial enrollment or if the applicant decides to change the bank account linked to their ASAP account, there may be a verification period of up to seven (7) business days before the bank account is available for use.

More information about Financial Official (FO) procedures can be found [here](#).

Step 5: Account Activation

After the applicant's profile is completed by the Authorizing Official (AO) and at least one Payment Requestor is defined, the organization is ready to be activated. This is an automated process that occurs within 24 hours after the AO satisfies the enrollment requirements.

Once active, CPO can create and fund accounts for the applicant organization.

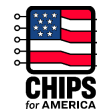
3. Standard Forms

At or prior to the Department and the applicant executing the Final Award Documents, applicants will complete and submit the standard forms required to receive federal funding. Some required standard forms may have been submitted during the Full Application phase. If previously submitted forms are still valid as of the award obligation date, CPO can use these forms and will communicate accordingly if resubmission is required. Standard Form SF-424, Application for Federal Assistance, will be integrated with and completed via The CHIPS Incentives Program Portal. Additional Standard Forms may be requested, which must be uploaded via The CHIPS Incentives Program Portal.

Project-Level Standard Forms

The SF-424 captures the **required project information to process and obligate awards**. This information should be submitted at the Project (i.e., facility) level. Applicants will need one SF-424 form for each project they are receiving direct funding for.

CHIPS Award Applicants receiving Direct Funding will complete and submit SF-424s via The CHIPS Incentives Program Portal for each project receiving funding. Please note the values in this form correlate to the direct funding portion of the award package. CPO will trigger this form in the portal once award



terms are finalized. For reference, the current version of the SF-424 can be accessed through this hyperlink: [SF-424](#).

SF-424 Instructions

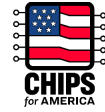
Instructions for completing the SF-424 can be found [here](#), and the below table outlines specific guidance for CHIPS applicants. , and the below table outlines specific guidance for CHIPS applicants.

Reference	Field	CPO-specific Instructions
Item 1	Type of Submission	Application, unless instructed otherwise
Item 2	Type of Application	New, unless instructed otherwise
Item 4	Applicant Identifier	Leave this field blank
Items 5a and 5b	Identifiers	Leave these fields blank
Item 8a	Legal Name	Provide the Legal Entity Name <i>(Should reflect the legal entity name listed for SAM.gov registration)</i>
Item 15	Descriptive Title of Applicants Project:	Please utilize the following nomenclature: [Company name] – [project reference in DFA] [Technology] & [location (city, state).]
Item 17a	Proposed Project Start Date	This date will be entered by CPO and will correlate to the date the award will be issued
Item 17b	Proposed Project End Date	This date will be entered by CPO and will correlate to the end of the period of performance, as it is defined in the funding agreement
Item 18a	Estimated Federal Funding	This amount will be entered by CPO, and will correlate to the total federal budget for the project / facility as described in the funding agreement
Item 19	Is Application Subject to Review by State Under Executive Order 12372 Process?	Program is not covered by E.O. 12372
Item 21	Authorized Representative	To be signed and dated by the authorized representative of the applicant organization. If you are the designated authorized representative to sign and submit the SF-424 on behalf the organization, please list your name and contact information.

Company-Level Standard Forms

The following forms are required by U.S. law to be completed by the legal entity receiving federal direct funding. This information should be submitted by each legal entity receiving CHIPS award(s).

*Note: If applicant has already submitted these forms as part of the full application process, then **resubmission is only necessary if the information is outdated or otherwise set forth in the Award Documents**. Applicants should review their forms to ensure they represent the latest information; if it does, they should inform CPO that no changes are necessary. These forms will be required for each legal entity receiving funding.*



1. **SF-328:** Certificate Pertaining to Foreign Interests – Ensures foreign entities of concern will not have control or access to project information and will not pose risk to national security.

The current version of the SF-328 can be accessed through this hyperlink: [SF-328](#).

2. **CD-511:** Certification Regarding Lobbying –A declaration that federally appropriated funds will not be used for lobbying activities.

The current version of the CD-511 can be accessed through this hyperlink: [CD-511](#).

3. **SF-LLL:** Disclosure of Lobbying Activities – CHIPS Award Recipients who engage in lobbying will disclose activities and report the name of the individual(s) performing lobbying services. This form is only applicable if applicant engages in lobbying activities and must be submitted to report material changes to lobbying activities throughout the life of the award.

The current version of the SF-LLL can be accessed through this hyperlink: [SF-LLL](#).

4. Loan System Set-up (Loans Only)

CPO loans are facilitated through the Department of the Treasury’s Federal Financing Bank (FFB), guaranteed by the Department of Commerce. FFB loans are executed through a series of documents, described below.

Designation Notice

The first step to establishing a loan with FFB is the Designation Notice, signed by CPO. The timing of individual Designation Notices will be determined in coordination between the borrower and the CPO deal team. Generally, the Designation Notice should be produced together with or following the execution of the Loan Guarantee Agreement. The Designation Notice outlines the terms of the first note. CPO will draft the Designation Notice for the borrower to review. Once CPO and the borrower have a mutually agreeable draft Designation Notice, CPO will send a draft to FFB for review. Following edits, as appropriate, CPO will sign the Designation Notice and transmit to FFB.

Loan Documents

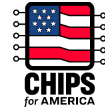
Within ten business days of receipt of the Designation Notice, FFB will generate the loan documentation. This includes the note, the note purchase agreement, and the form of borrower’s legal opinion. These documents will be circulated to the borrower and CPO for review and comment. Once documents are in final form among CPO, the borrower, and FFB, as applicable, signatures will be collected from CPO and the borrower to be held in escrow and a FFB closing date will be set.

FFB Loan Closing

Once conditions precedent to FFB closing are met, CPO, the borrower, and FFB will release the signatures over a live closing via telephone.

5. CHIPS Incentives Program Portal – Account Access & Maintenance

CPO will leverage the CHIPS Incentives Portal to interface with applicants throughout the post-award phase. This portal will serve as the core channel for recipient reporting, disbursement requests, and other updates. As such, applicants should check the Portal before the award is obligated to ensure all



points of contact are authorized to access award information and enter and submit information for post-award reporting.

CPO recommends applicants confirm and update user access for their staff in the portal no less than every six months to ensure accuracy. Applicants should pay particular attention to the user credentials approaching award to ensure that only relevant and appropriate parties have access to award package details and post-award documentation.

Deactivating User Credentials

Applicants have the ability to update portal access to deactivate user credentials as needed by updating a contacts status to “former”. Once logged into the portal navigate to the “Application Team” tab to update status of contacts listed.

For any questions regarding the award phase, please contact your deal team member or CHIPSAwards@chips.gov.