

2014 Project Officer's Handbook



Introduction to Handbook

- This Power Point Presentation is an updated SBA Project Officer's (PO) Handbook that we hope you find easy to use.
- The presentation and attachments can be found on the [SBDC Portal Page](#).
- Please contact your Program Manager if you have any questions.
- [Link to Attachments](#)

Overview

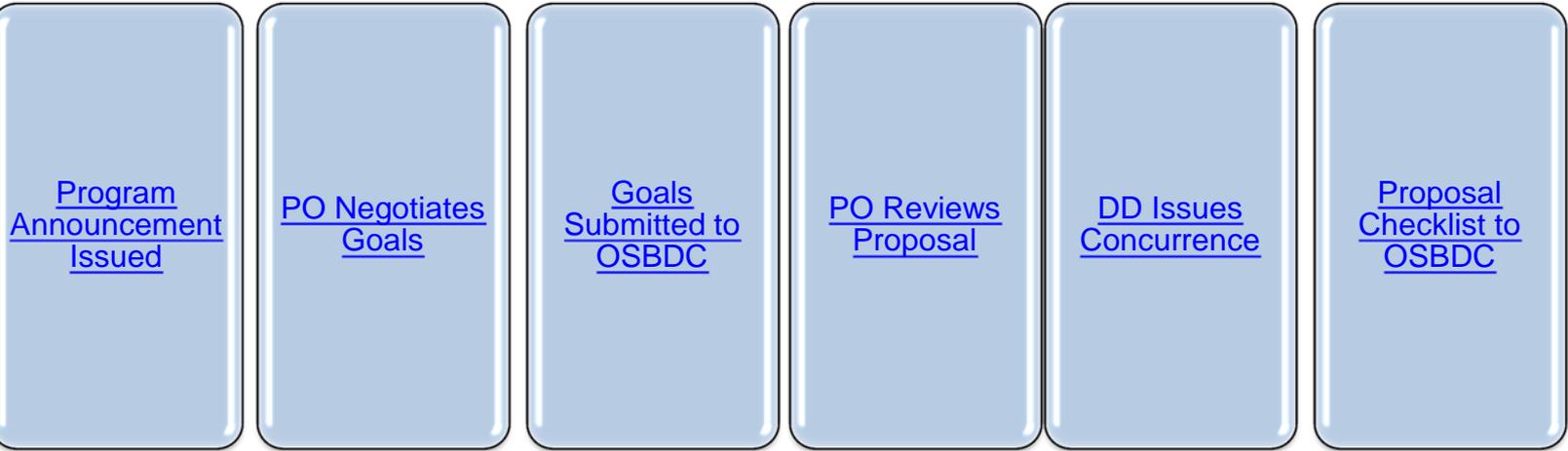
PO
Appointment

Travel
Request

Referrals to
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Budget
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Roles & Responsibilities

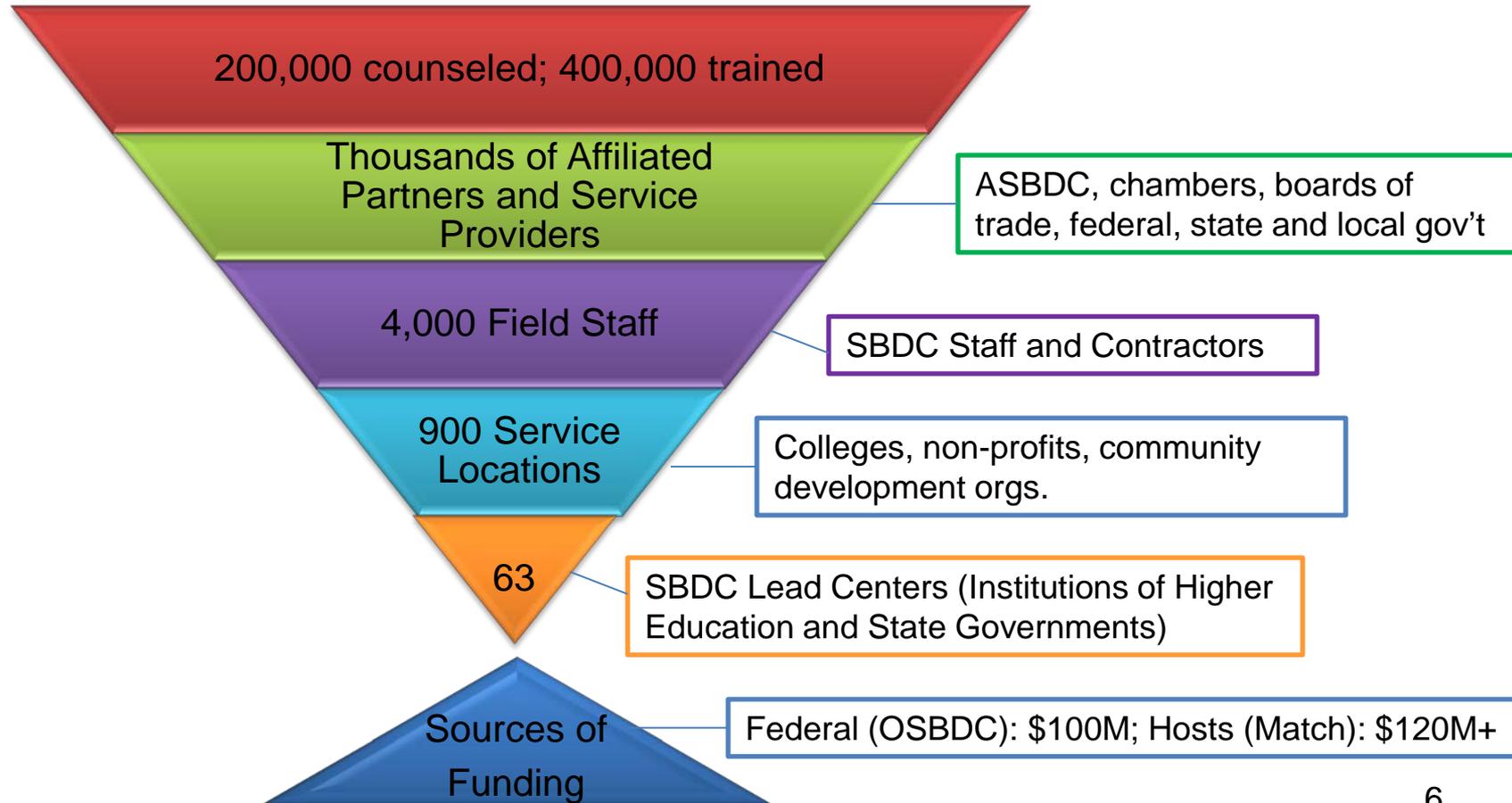


SBDC Pre-Award



SBDC Post-Award

SBDC Program Partnerships and Leverage



OSBDC Supplemental and Special Initiative SBDC Funding

OSBDC Supplemental Funds (OSBDC issues subject to availability)

- Supplemental Funds support: International Trade, Export, Jobs Related, Boots to Business, or other Targeted Economic Recovery

Special Initiative Portable Assistance Grants (Optional for SBDCs)

- Competitive awards of up to \$100,000 per SBDC (\$1 million available annually)
- Portability Grants support SBDCs with replicable projects aimed to assist communities affected by qualifying events that create significant economic challenges such as losses of jobs or small business instability
- Programs developed should be able to be duplicated in other areas
- Project Officers are not responsible, unless specifically directed, and may request information about award from OSBDC

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Roles & Responsibilities

Overview of SBDC Program Roles and Responsibilities

OSBDC

- Policy, Grant Authority, Performance Accountability, Statutory Compliance, Overall Program Management

SBA District Office

- Small Business Support Partner, Oversight of SBDCs
- Project Officer to devote 20% of time towards SBDC responsibilities

SBDC Lead Centers

- Cooperative Agreement Partner, Strategic Plan Developer & Implementer, Oversight of Service Centers

SBDC Service Centers

- Client Engagement, Training, Counseling, Education

Project Officer (PO) Responsibilities

- Participating in OSBDC trainings
- Negotiating Annual Goals
- Completing the Proposal Review Checklist
- Ensuring timeliness and validity of data submission & reports
- Conducting site visits and associated reports
- Attending SBDC meetings when appropriate

PO Responsibilities

- Representing the Agency on the local level
- Maintaining positive communication link (“open dialogue”) between the SBDC and the SBA
 - *Ensure communication is directed to SBDC Lead Offices*
- Accompanying OSBDC personnel during on-site visits
- Updating the SBDC on changes in regulations, policy and program offerings from OSBDC
- Participating in OSBDC Project Officer conference calls

Project Officer Appointment

- District Director recommends Project Officer for appointment to AA/OSBDC
- OSBDC Grants Specialist reviews recommendation and issues Letter of Project Officer Appointment
([See Attachment 1](#))

Travel Requests

- Prior approval is required when SBDC staff is going out of state or country (30 days notice needed) and such travel was not approved in the budget/proposal submission
- If prior approval for unplanned travel is not granted, the travel expenses can be disallowed by the OED Examiner
- Travel Authorization Request Form ([See Attachment 2](#))

Client Referrals to SBDCs

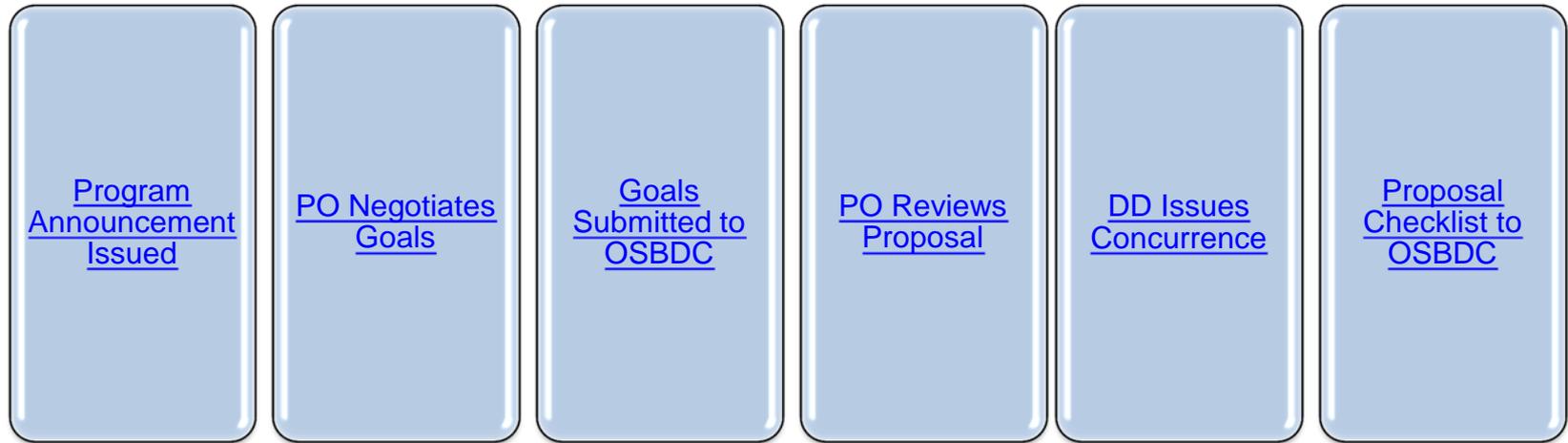
- As a matter of course, you will see fit to send client referrals to your SBDC
- Typically, these clients would be those best suited for long-term counseling or specialized services

Budget Amendment Approvals

- OSBDC Approves Budget Amendments and Modifications to SBDC Cooperative Agreements
 - SBDC Lead Centers submit requests through OSBDC PM
 - PO copied on all Cooperative Agreement amendments
- Prior approval from OSBDC must be obtained for changes in budget categories exceeding 10%
- OSBDC will issue a modification to the SBDC Cooperative Agreement:
 - If a modification/amendment is approved by OSBDC
 - If the SBDC is awarded more funds made available during the year (increases such as supplemental funding)
 - If OSBDC/SBA exercises a rescission (decreases award amount)

Indirect Cost Rate Agreements

- When a SBDC recipient/sub recipient has indirect costs in their budget proposal, the SBA Project Officer is authorized under 13 CFR 130.460(C) to issue a rate agreement to the SBDC recipient/sub recipient that does not have a rate agreement established by a cognizant Federal agency.
- The Lead Center must contact the SBA Project Officer to request an ICR for a sub recipient.
- The SBA rate is 24%
- Indirect Cost Rate Agreement FAQs ([Attachment 10](#))
- Indirect Cost Rate Template ([Attachment 11](#))



SBDC Pre-Award

Program Announcement Issued

- Obtain the OSBDC Program Announcement (PA)
 - *PA Issuance is the Initial step of the annual renewal of SBDC Cooperative Agreements*
 - The PA can be downloaded from grants.gov or the OSBDC website
- Keep PA for reference throughout the budget year
- The PA contains key funding information:
 - Eligibility & Submission instructions
 - Program definitions, Performance Measurements, Important Priorities for the current year, Statutes, Required Services
 - Reporting instructions and deadlines

Annual Goal Negotiations

- SBDC Goals establish the alignment between agency objectives and SBDCs providing the most effective programs tailored to local needs
- Goal Negotiations begin the Project Officer's annual role
- Goals are negotiated in advance of the proposal submission with the District Office and are subject to approval and any renegotiation by OSBDC



Goaling

- SBDC Goals:
 1. Single Year Long-term Clients
 2. Capital Infusion
 3. New Business Starts
- Commitments beyond the standard negotiated goals can be included (*optional*)
 - Training events
 - Match making events
 - Lender roundtables
- The Goaling Plan and Instructions for PO's is updated each year by OSBDC ([See Attachment 3](#))

Considerations When Negotiating the Goals:

- Size of SBDC budget
 - Federal (SBA) & Private match funding sources
 - Compare to previous years
- Ensuring that the negotiated goals align with the previously negotiated goals
- Local Market conditions
- Sophistication & experience of the SBDC Network, e.g., having a new Lead Center host
- Other considerations
 - New key personnel or high staff turnover
 - Other sources of funding

Send Negotiated Goals to PM

- After negotiated, send the Goals/Milestones to the OSBDC PM by the due date as stated in the Goaling Instructions
 - *Project Officer does not have authority to extend the due date*
- Keep a record of the Goals and ensure they are included and are accurate to the Proposal (planned milestones worksheet)



Review the Proposal using the Project Officer Checklist

- Project Officers receive the SBDC Proposal and conduct a review using the proposal review checklist
 - Complete and sign the provided checklist and submit to the OSBDC Program Manager by the Proposal due date
([See Attachment 4](#))
- Ensures all required proposal documents are included
- Recommend approval through District Director
- Review Tips:
 - Participate in OSBDC webinar and review checklist
 - Order documents and forms together for quickest review
 - Contact the Program Manager with any questions

District Office Concurrence

- The District Director issues a letter of concurrence
- The approved Concurrence Letter from each District Office is a required Proposal attachment
- The concurrence letter must be signed by the District Director & sent to the SBDC prior to their grants.gov submission

Application Components

Please refer to OSBDC Program Announcement (Proposal Attachments Chart) for full and required attachment list

- Approval Letter from SBA District Office
- Technical Narrative
- Planned Milestone Accomplishments
- SBDC Network Listing (must be valid on PIMS)
- SF424
- SF424A
- SF424B
- SBA Form 1224
- SBDC line-item Budget Justification
- Indirect Cost Rate Agreements (if applicable)
- Indirect Cost Allocation Worksheet
- Assurances & Certifications
- Cash Match and Program Income Certification Form



SBDC Post-Award

Notice of Award

- The Notice of Award is the agreement which obligates the SBDC to provide specific services & the SBA (federal government) to pay for them
- Notices of Awards:
 - Approve Terms and Conditions of the Grant
 - Approve & Modify Budgets
 - Allocate Funds to Accounts
 - Revise or Add Conditions to Prior Notices of Awards

Notice of Award

- Project Officer receives a copy of every Notice of Award (NOA) issued to the SBDC
- NOAs should be filed by the Project Officer and used for reference throughout the budget year
- The NOA is the document used to evaluate the SBDCs performance throughout the current award period and for site visits

Lead Center Site Review

- The purpose of the SBDC Lead center site review is to monitor the Lead Center's management of the SBDC Network to deliver services and remain compliant with the NOA
- SBDC Lead Center reviews are conducted one time each fiscal year
- Project Officers must send their Site Review schedules, for concurrence, to the OSBDC PM prior to making visits (FYQ1)

Lead Center Site Review – Advanced Preparations

- Review the OSBDC Site Review Prep Steps ([See Attachment 5](#) – Site Review Prep Steps)
- Review EDMIS data prior to visit in order to compare with the milestones reported by the SBDC
- Contact your OSBDC PM prior to the site review for any additional assistance

Lead Center Review Report

- The Lead Center Report Template is provided by OSBDC ([See Attachment 6](#))
- Complete your report within **10 days** of the date of your site visit and send the report via email to the OSBDC Program Manager for concurrence.
- Once the Program Manager concurs with the report, forward it to the Lead Center Director.
- The annual Lead Center Compliance Review Report must be completed and submitted to the Program Manager at OSBDC by **August 15th**

Service Center Site Reviews

- PO to review each Service Center no more than once every 2 years
- Obtain concurrence from the OSBDC PM and coordinate the visit schedules with the Lead Center prior to conducting visits
- Conduct visits according to the schedule set with the OSBDC PM and Lead Center
 - *Changes in schedule should be communicated in advance to the OSBDC PM*

Service Center Site Reviews

- In larger networks (e.g. over 20 Centers), schedule reviews so that no more than 10 centers are visited in a given fiscal year
 - Ensure all service centers are reviewed in a three-year period
 - **Contact OSBDC PM if network size exceeds 30 centers*
- The file review portion should cover the previous fiscal year time period.

Service Center Site Review Report

- The Service Center Site Review Report template is provided by OSBDC ([See Attachment 7](#))
- Complete your report within **10 days** of the date of your site visit and send the report via email to the OSBDC Program Manager for concurrence.
- Once the Program Manager concurs with the report, forward it to the Lead Center Director.
- All scheduled Service Center Compliance Reviews must be completed and submitted to the Program Manager at OSBDC by **August 15th**

Semi-Annual Report

The Semi-Annual report is due 30 days after the second quarter period end & requires both Programmatic & Financial reports:

- Programmatic:
 - Performance Reports (EDMIS required data)
 - Activity Reports
- Financial:
 - SF-425 & attachments

Quarterly Reports

- SBDC Networks operating in their first, second or third year must submit quarterly reports
- Confirm the SBDC EDMIS data was submitted (due within 30 days after each quarter end)
- First & Third quarter reports are financial only
 - SF-425
 - SF-425 Attachments

Annual Reports

The Annual Report is due within 90 days after the close of the SBDC budget period & requires both programmatic and financial reports:

- Programmatic:
 - Performance Reports (that include EDMIS required data)
 - Narrative results/impact of activities using the reporting category definitions
- Financial: SF-425 & attachments

Monitoring Statement with Reports

- The Monitoring Statement provides verification and corresponding analysis from the PO that the information submitted by the SBDC in performance reports (semi-annual, annual) is valid and complete
- Complete and send the Monitoring Statement to the OSBDC PM within 10 business days after the SBDC submits the semi-annual & annual reports
- PO Monitoring Statement ([See Attachment 8](#))

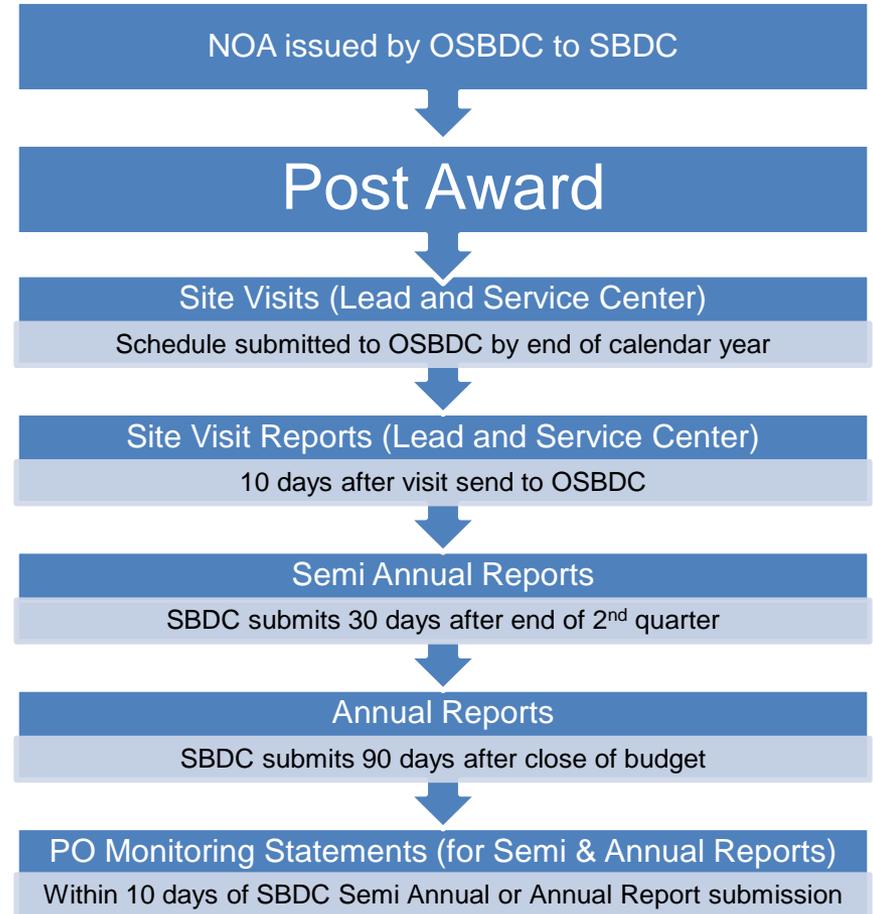
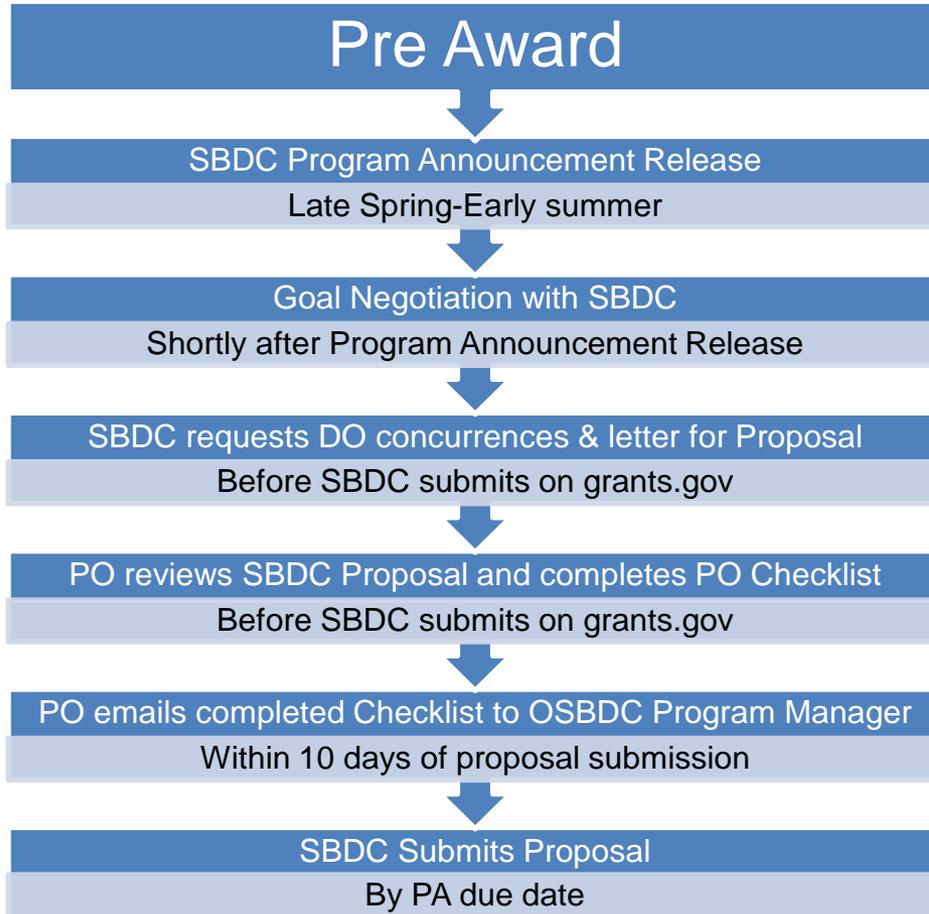
SF- 425

- The SF-425 is the primary form for financial reporting
- Required (at minimum) twice a year with the Semi-Annual & Annual Reports
- PO not required to review this component of reports

<http://www.sba.gov/content/sbdc-forms-and-worksheets>

Carryover Requests

- See Carryover Instructions ([Attachment 9](#))
- PO/OSBDC must receive a Letter of Intent to Carryover from the SBDC before the Budget Period ends
- The Carryover Request package (Narrative, SF425, SF425A, etc.) is due no later than 90 days after the end of Budget Period
- SBDCs must justify the need for the carryover; the request is not automatically approved
- PO recommends the Carryover Request but OSBDC makes a final determination



List of Attachments

- [Attachment 1](#) – PO appointment Memorandum
- [Attachment 2](#) – Travel Authorization Request Form
- [Attachment 3](#) – Goaling Plan for POs
- [Attachment 4](#) – Proposal Review Checklist
- [Attachment 5](#) – Site Review Preparation (Lead & Service Center)
- [Attachment 6](#) – Lead Center Site Review Report Template
- [Attachment 7](#) – Service Center Site Review Report Template
- [Attachment 8](#) – PO Monitoring Statement Template
- [Attachment 9](#) – Carryover Instructions
- [Attachment 10](#) – Indirect Cost Rate Agreement FAQs
- [Attachment 11](#) – Indirect Cost Rate Template