

# 2015 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. Many of the links will be active from the 'Slide Show' view/mode if viewing in MS-Power Point.
- Please contact your Program Manager if you have any questions.
- [List of Attachments](#)

[Overview](#)

[PO  
Appointment](#)

[Travel  
Requests](#)

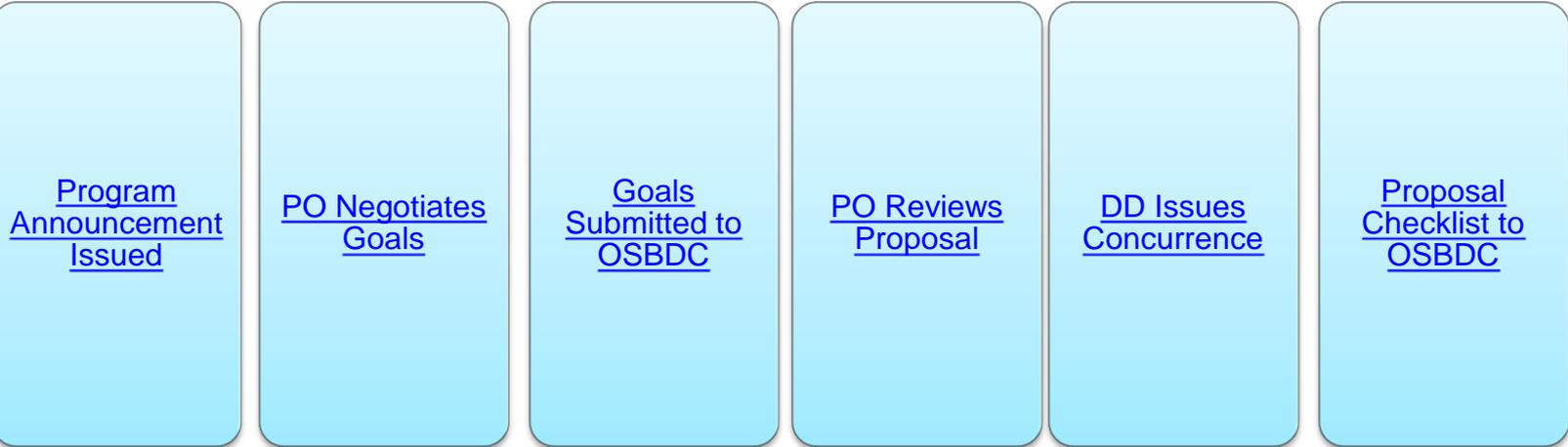
[Referrals to  
SBDCs](#)

[Budget  
Amendment  
Approvals](#)

[Record  
Keeping](#)

[Indirect Cost  
Rate  
Agreements](#)

# Roles & Responsibilities



# SBDC Pre-Award

Notice of  
Award  
Issued

Lead  
Center  
Review and  
Report  
Submission

Service  
Center  
Review and  
Report  
Submission

Review  
Semi  
Annual  
Report

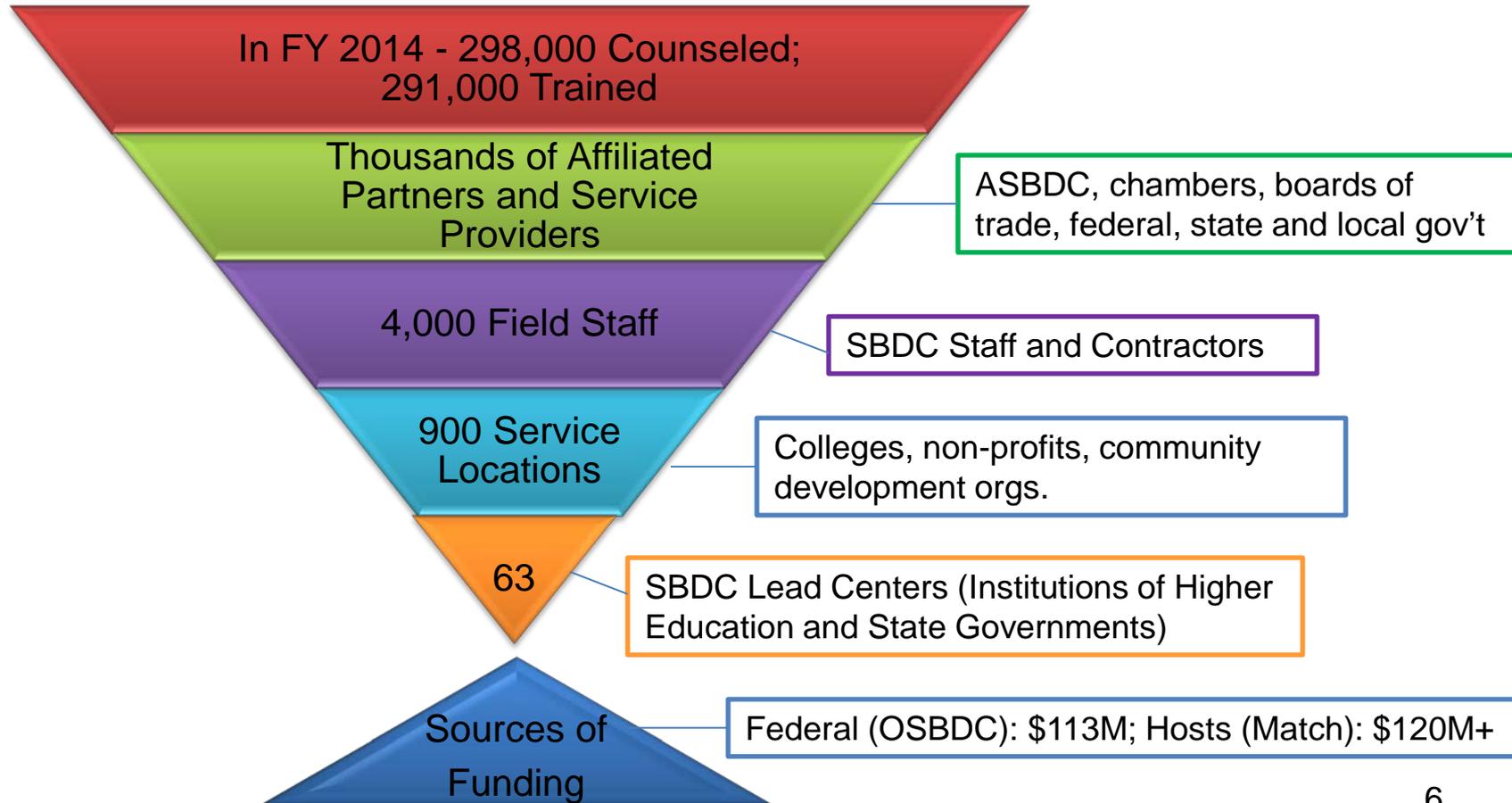
Annual  
Report  
Reviewed

Monitoring  
Statement  
with  
Reports

Carryover  
Requests

# 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

[Overview](#)

[PO  
Appointment](#)

[Travel  
Requests](#)

[Referrals to  
SBDCs](#)

[Budget  
Amendment  
Approvals](#)

[Record  
Keeping](#)

[Indirect Cost  
Rate  
Agreements](#)

# 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
- Responsive to SBDC questions on regulations, policy and program offerings – coordinated with PM/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 by both the PO and OSBDC, 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

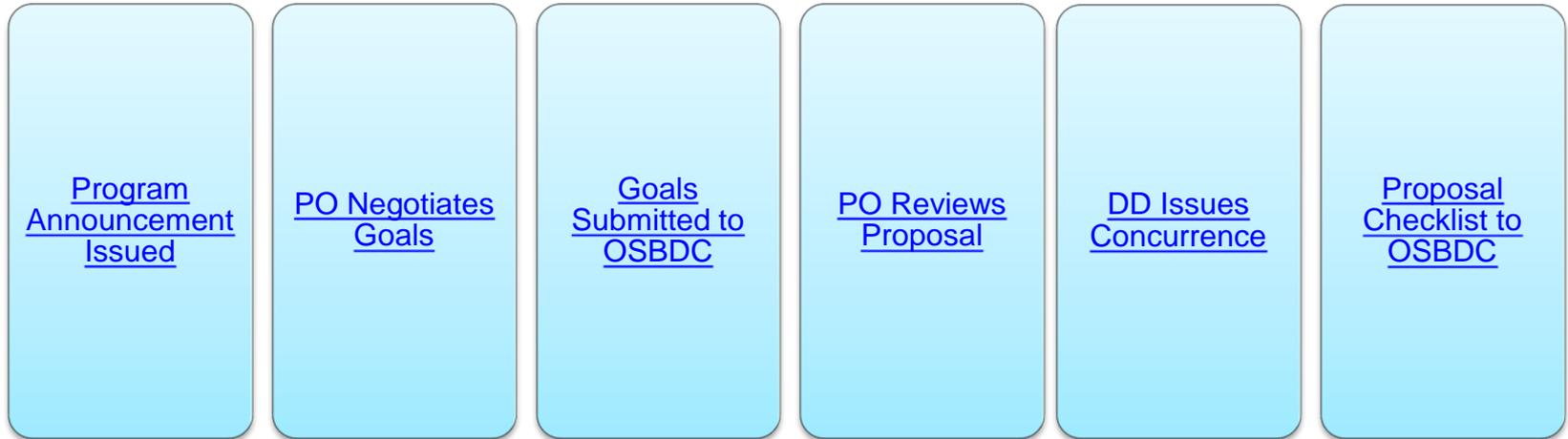
- OSBDC Approves Budget Amendments and Modifications to SBDC Cooperative Agreements
  - SBDC Lead Centers submit requests through OSBDC PM
  - PO copied on all Cooperative Agreement amendments
- Prior approval from OSBDC must be obtained for changes in budget categories exceeding 10%
- OSBDC will issue 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)

## Record Keeping

- For the District Offices (per SBA SOP 00 41 2):
  - SBDC Program Files: Can be destroyed when 6 years 3 months old.
- For the SBDCs (per SBA Notice of Award):
  - Record keeping instructions are provided in Section III of the Notice of Award “General Terms and Conditions – Administrative Requirements - #3 Record Keeping.”
  - Records may be kept in hard copy or electronic form and must be retained for no less than three years.

## 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 9](#))
- Indirect Cost Rate Template ([Attachment 10](#))



# 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
- Prior to SBDC negotiations discuss the goal strategy with the OSBDC/PM to ensure HQ and DO are "in sync"
- 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 include:
  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
  - Discussions with OSBDC/PM

## 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

- The Project Officer receives the SBDC Proposal and conducts 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

# Issue a Concurrence Letter on the SBDC Proposal

- Upon completion of the Proposal Review - the Project Officer issues a Concurrence Letter to the SBDC through the District Director
- This Concurrence Letter, issued by the District Office to the SBDC, 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 the full and required attachment list*

- Concurrence Letter from the 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)
- Schedule of Indirect Costs
- Assurances & Certifications
- Cash Match and Program Income Certification Form

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# 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

- The 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 Monitoring Review

- The purpose of the SBDC Lead Center Monitoring Review is to assess 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 (typically in FYQ1)

# Lead Center Monitoring Review – Advanced Preparations

- Review the OSBDC Lead Center Monitoring Review Template & Webinar Trainings
  - Refer to the Project Officer Portal for guidance documents
- Prior to the site visit, ask the Lead Center for FY Performance Data and compare this with negotiated goals and EDMIS data
- Contact your OSBDC PM prior to the site review for any additional assistance

# Lead Center Monitoring Review

- The Lead Center Monitoring Review Template is provided by OSBDC ([See Attachment 5](#))
- Complete your report within **10 working 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 Monitoring Review Report must be completed and submitted to the Program Manager at OSBDC by **August 14<sup>th</sup>**

# Service Center Monitoring 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 and Lead Center*
- *Recommendation:* Coordinate with your neighboring SBA District Offices, as may be applicable, when there is shared SBDC service area oversight of a network

# Service Center Monitoring 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 (Oct. 1 – Sept. 30).

# Service Center Monitoring Review Report

- The Service Center Monitoring Review Template is provided by OSBDC ([See Attachment 6](#))
- Complete your report within **10 working 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 14<sup>th</sup>**

## Semi-Annual Report

The Semi-Annual (6 month) report is due 30 days after the second quarter period end and 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 to SBA
  - (Financial and Narrative reports)
- SBDC Networks in existence over three years are typically only required to report semi-annually unless they have quarterly reporting conditions included in their NOA
- Confirm that SBDC EDMIS data was submitted (Due: no later than one month plus 5 working days after the close of each quarter)

# 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 (including EDMIS data)
  - Narrative results and summarization of impacts and activities using the SBA 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 working days after the SBDC submits the semi-annual & annual reports
- Monitoring Statements are required for all SBDC reports (both semi-annual and annual)
- PO Monitoring Statement ([See Attachment 7](#))

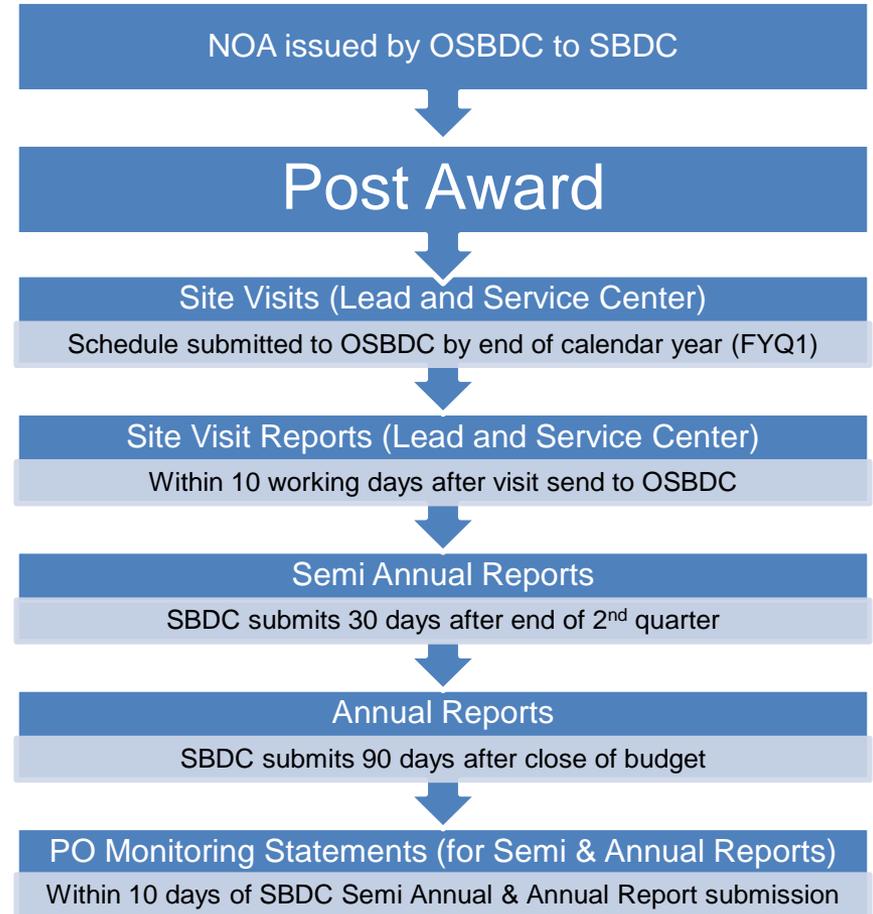
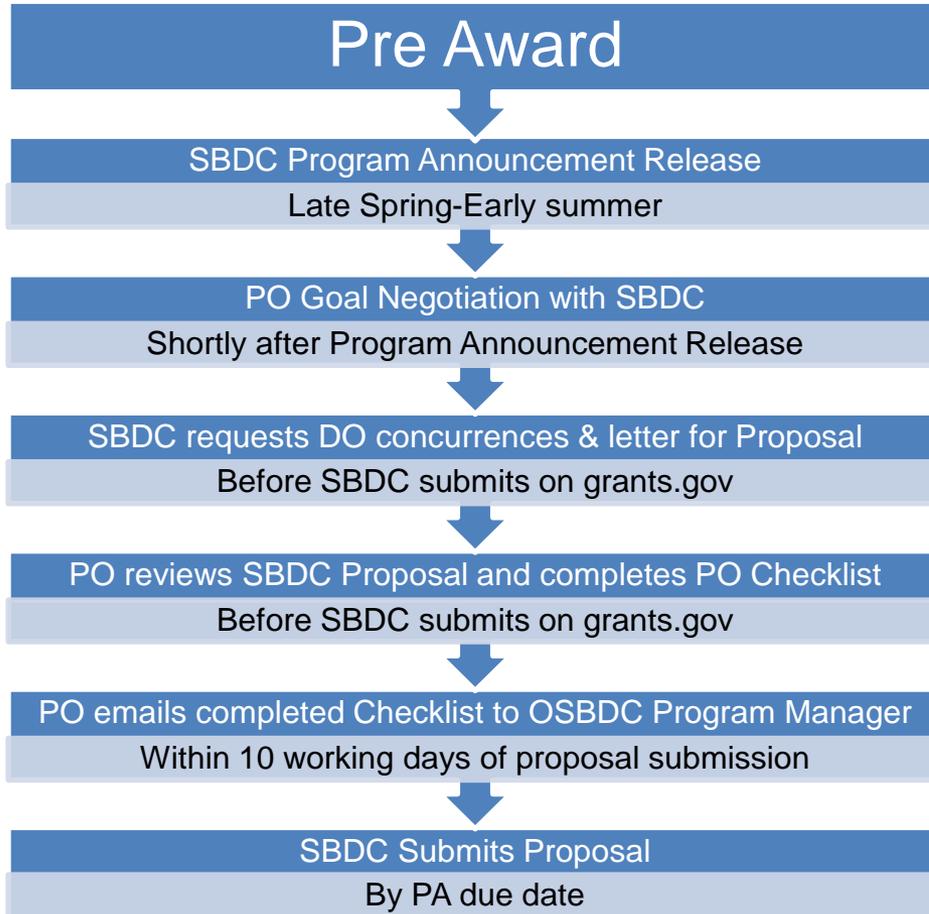
## SF- 425

- 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 8](#))
- 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 Instructions for POs
- [Attachment 4](#) – Proposal Review Checklist
- [Attachment 5](#) – Lead Center Monitoring Review Template
- [Attachment 6](#) – Service Center Monitoring Review Template
- [Attachment 7](#) – Monitoring Statement Template
- [Attachment 8](#) – Carryover Instructions
- [Attachment 9](#) – Indirect Cost Rate Agreement FAQs
- [Attachment 10](#) – Indirect Cost Rate Agreement Template