

**U.S. Small Business Administration**  
**Office of Small Business Development Centers**

**OSBDC PROGRAM ANNOUNCEMENT**

**PROGRAM ANNOUNCEMENT NO.**

**OSBDC -2016-04 FOR THE SBDC IN THE STATE OF UTAH**

The purpose of this Program Announcement is to fill the vacancy of the Host Institution for the Utah SBDC Program serving the state of Utah. SBA invites proposals for funding from eligible entities which are institutions of higher education and women's business centers. Only applications that are submitted by these entities will be considered for funding. For-profit businesses are not eligible for this award.

**Opening Date: September 10, 2015**

**Closing Date Proposals: Thursday, November 19, 2015**

Proposals responding to this program must be posted to [www.grants.gov](http://www.grants.gov) by 11:59 PM Eastern Time Thursday, November 19, 2015. No other methods of submission will be permitted. Proposals submitted after the stipulated deadline will be rejected without being evaluated.

**U.S. SMALL BUSINESS ADMINISTRATION**  
**OFFICE OF SMALL BUSINESS DEVELOPMENT CENTERS**  
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## 1.0 Section I – Funding Opportunity Description

### 1.1 Program Overview

1.1.1.	Federal Agency Name	U. S. Small Business Administration, Office of Small Business Development Centers
1.1.2.	Funding Opportunity Title	Small Business Development Centers
1.1.3.	Announcement Type	Initial
1.1.4.	Funding Opportunity Number:	Program Announcement No. OSBDC-2016-04
1.1.5.	CDFA Number	59.037
1.1.6.	Closing Date for Submissions:	November 19, 2015, Proposal due to the OSBDC via <a href="http://www.grants.gov">www.grants.gov</a> at 11:59 p.m. EDT for Program Announcement No. OSBDC-2016-04 for the SBDC serving the state of Utah for CY 2016
1.1.7.	Authority:	Small Business Act, Section 21(c)(3)(I) and Section 27 ( <a href="#">15 USC §§ 648(c)(3)(I)</a> and <a href="#">654</a> ) (Title IX of <a href="#">Public Law 105-277</a> , <a href="#">Public Law 108-447</a> )
1.1.8.	Duration of Authority:	Permanent
1.1.9.	Funding Instrument:	Cooperative Agreement
1.1.10.	Funding:	Funding is for a twelve month period.
1.1.11.	Award Amount/Funding Range:	Section 21 of the Small Business Act sets forth a formula by which funds are to be distributed among the States. This formula, for the most part, rests upon a per capita basis, subject to the amount of an appropriation in any given fiscal year. For the performance period beginning January 1, 2016 through December 31, 2016, the preliminary funding amount for the SBDC program for fiscal year 2016 is \$951,484. The Recipient Organization receiving the Cooperative Agreement is required to match funding received on a 1:1 ratio.
1.1.12.	Project Duration:	Awards will be made for a one year period. SBA intends to continue to fund the Utah SBDC program annually, subject to availability of funds. However, an SBDC may not receive funding for future performance periods if there has been a clear showing of poor performance; improper activity affecting the operation and integrity of the SBDC; a failure to follow the rules and procedures set forth in the statute regulation and/or Program Announcement (see <a href="#">13 C.F.R. Part 130.700</a> )

as incorporated into the Cooperative Agreement; or is denied Accreditation.

- 1.1.13. Project Starting Date: Approximately 90 days after closing date, but no later than January 1, 2016 for Program Announcement No. OSBDC-2016-04 for the SBDC serving the state of Utah for CY 2016
- 1.1.14. Proposal Evaluation: Proposals will be reviewed for sufficiency in meeting the requirements of the program as defined within this Program Announcement SBA may ask Applicants for clarification of the technical and cost aspects of proposals.
- 1.1.15. Agency Programmatic Point of Contact: Small Business Administration, Office of Small Business Development Centers, Tel: (202) 205-6766. Email: [osbdc@sba.gov](mailto:osbdc@sba.gov)

## 1.2 Introduction

The Small Business Development Center (SBDC) Program is the U.S. Small Business Administration's (SBA's) largest matching grant-funded program providing quality service to the small business community. The SBDC program has 63 Recipient Organizations - one in each state (four in Texas and six in California), the District of Columbia, Puerto Rico, the Virgin Islands, Guam and American Samoa. The Recipient is responsible for establishing a Lead Center and network of Service Centers to cover the entire state of Utah, its designated area of service. The SBDC program links the resources of federal, state and local governments with the resources of the educational community and the private sector to provide assistance to the small business community. In partnership with SBA's Office of Small Business Development Centers (OSBDC) and District Offices, SBDCs develop business counseling and training programs, informational tools and other services that enhance the economic development goals and objectives of SBA, their respective service areas and their local funding partners.

## 1.3 Background

Since its inception in 1953, SBA has served to aid, counsel, assist and protect the interests of small businesses. While SBA is best known for its financial support of small businesses through its many lending programs, the Agency also plays a critical role in providing funding to organizations that deliver technical assistance in the form of counseling and training to small business concerns and nascent entrepreneurs in order to promote growth, expansion, innovation, increased productivity and management improvement. The mission of SBA's OSBDC, which under statute bears responsibility for administering the SBDC Program, is to provide assistance to the small business community by linking the resources of federal, state and local governments with the resources of the educational community and the private sector.

## 1.4 Purpose

Eligible organizations (as defined in Section 3.2) may apply to SBA for an award of financial assistance under this Program Announcement to fund a statewide Small Business Development Center program in the state of

Utah. SBDC programs deliver professional, high quality, individualized business advising and technical assistance to existing small businesses and pre-venture entrepreneurs. SBDCs shall provide problem solving assistance to help small businesses access capital, develop and exchange new technologies, and improve business planning, strategy, operations, financial management, personnel administration, marketing, export assistance, sales and other areas required for small business growth and expansion, management improvement, increased productivity and innovation.

### **1.5 Leveraging of Resources**

Applicants selected for award under this Announcement are required to maximize their efforts to leverage SBA funding by working in conjunction with SBA District Offices and other federal, state, local and tribal government small business development programs and activities; SBA resource partners such as SCORE, Women's Business Centers (WBCs), Veterans Business Outreach Centers (VBOCs), Regional Innovative Clusters, 7(j) Technical Assistance providers, Small Business Investment Companies (SBICs), U.S. Export Assistance Centers (USEACs), Certified Development Companies (CDCs), and SBA lenders; universities, colleges, and other institutions of higher education; and private organizations such as chambers of commerce and trade and industry groups and associations.

### **1.6 SBA Involvement and Oversight**

The SBDC program is managed by the Associate Administrator for the Office of Small Business Development Centers (AA/OSBDC) at SBA headquarters. OSBDC shall assign a Grants Management Officer (GMO) to review the budget and all fiscal documentation for compliance with applicable federal and program requirements, and issue the Notice of Award. A Program Manager within OSBDC serves as the Grants Officer's Representative (GOR) responsible for overall monitoring and oversight of the Recipient's SBDC program award, including compliance with the terms of the Cooperative Agreement. The SBA District Office negotiates the annual proposal with the SBDC Lead Center, incorporating Agency Priorities and performance goals, and designates a Project Officer (PO) to conduct delegated grant monitoring activities on behalf of OSBDC. SBA will also conduct biennial financial and programmatic examinations of each SBDC recipient, as required by statute.

### **1.7 Changes or Cancellation**

SBA reserves the right to amend or cancel this Announcement, in whole or in part, at the Agency's discretion. Should SBA make material changes to this Announcement, the Agency will extend the closing date as necessary to afford Applicants sufficient opportunity to address such changes

## **2.0 Section II – Award Information**

### **2.1 Estimated Funding**

SBA expects to issue up to \$951,484 for this award under this Announcement for the new recipient of the SBDC in the state of Utah. Section 21 (a) (4) (C) of the Small Business Act sets forth a formula by which these funds are to be distributed.

In the event that SBA is operating under a Continuing Resolution (CR) at the time of award, funding will be available during the period of the CR to the extent that funds are provided to the SBA for this purpose by the Office of Management and Budget (OMB). The amount available under the period of the CR may be less than the pro rata total anticipated amount of award.

Subject to the availability of funds and compliance with the terms and conditions of the Cooperative Agreement, SBA has the discretion to increase the award to an amount consistent with the authorized funding level under the federal appropriations law.

### **2.2 Expected Number of Awards**

SBA anticipates making no more than one (1) award under this Announcement.

### **2.3 Period of Performance/Budget Period**

The period of performance for this award is one year, with a corresponding one-year budget period.

#### **2.3.1 Project Start Date**

The project start date is January 1, 2016, for the SBDC serving the state of Utah responding to Program Announcement No. OSBDC-2016-04 for CY 2016.

#### **2.3.2 Continuation of Funds**

SBA intends to award continuation funding to the Recipient under subsequent annual SBDC Cooperative Agreements for future calendar years, subject to continued program authorization, availability of funds, satisfactory performance, and the continued interest of the recipient organization. However, an SBDC may not receive continued funding if there has been a clear showing of poor performance, as measured by SBA. Poor performance is indicated by unsatisfactory oversight reviews (Program, Financial), Accreditation issues, improper or insufficient activity affecting the operation and integrity of the SBDC, and/or a failure to follow the rules and procedures set forth in the statute, regulation and/or this Program Announcement (see [13 C.F.R. Part 130.700](#)).

## 2.4 Funding Information

- Funds provided under the SBDC program must be used solely for the purposes stipulated in this Announcement and the Notice of Award and may not be commingled with any other monies. All costs proposed in an Applicant's budget must meet the tests of allowability, allocability, and reasonableness set forth in the Office of Management and Budget (OMB) Uniform Guidance at 2 C.F.R. Part 200, Subpart E.
- Reimbursement of indirect costs from federal funds will be capped at a maximum of 20% percent, regardless of the amount stipulated in an Applicant's indirect cost rate (ICR) agreement.
- Reimbursement is the preferred payment method for the SBDC program. The submission of a Standard Form 270 (SF 270) is required at least quarterly, but not more frequently than monthly.

## 2.5 Funding Instrument

The funding instrument is a Cooperative Agreement.

## 2.6 Matching Requirement

- The organization receiving the Cooperative Agreement is required to match federal funds on a 1:1 ratio. Nonfederal matching funds may take the form of cash or cash equivalent, in-kind donations, or unreimbursed indirect costs (i.e., waived indirect).
- Cash match in an amount not less than 50 percent of the federal funding is required. The remainder may be in the form of waived indirect costs and/or in-kind contributions ([13 C.F.R. Part 130.450](#)).
- No portion of the match may be from federal sources, with the exception of applicable Community Development Block Grant (CDBG) funds. See Section 4.3.7.3 on use of CDBG funds for SBDC activities.
- Program income (e.g., fees collected from clients and/or attendees for training) may not be used as a source of matching funds.

## 3.0 Section III – Eligibility Information

### 3.1 General

An organization may NOT submit more than one proposal in response to this Announcement.

### 3.2 Eligible Applicants

To be eligible for this funding opportunity an Applicant must be an institution of higher education (including but not limited to any land-grant college or university, any college or school of business, engineering, commerce, or agriculture, community college or junior college) or a Women's Business Center currently funded by SBA and operating under § 29 of the Small Business Act located in the state of Utah.

### 3.3 Ineligible Applicants

The following will automatically be considered ineligible and their applications will be rejected without being evaluated:

- Any organization **NOT** located in the state of Utah.
- Any organization **NOT** an institution of higher education (including but not limited to any land-grant college or university, any college or school of business, engineering, commerce, or agriculture, community college or junior college) or a Women’s Business Center currently funded by SBA and operating under § 29 of the Small Business Act.
- Any organization currently having an outstanding, unresolved financial obligation to any federal agency;
- Any organization that is currently suspended, debarred, or otherwise prohibited from receiving awards of contracts or grants from the Federal Government;
- Any organization with an outstanding and unresolved material deficiency reported under the requirements of the Single Audit Act or OMB Circular A-133 within the past three years;
- Any organization that has had a grant or cooperative agreement involuntarily terminated or non-renewed by SBA for cause;
- Any organization that has filed for bankruptcy within the past five years; and/or
- Any organization that proposes to serve as a pass-through in order to permit another organization to manage the day-to-day operations of the project.

## 4.0 Section IV – Application and Submission Information

### 4.1 Application Review & Requirements

General Evaluation criteria for the SBDC applicant technical proposal for the state of Utah are –

**History of Service:** Narrative describing the applicant’s history of managing successful entrepreneurial development programs; experience providing management, technical and economic development assistance; compliance with staffing and access requirements; organizational structure; alignment with Host’s strategic plan/mission. (10 points).

**Statement of Work:** Description of strategic plan and the approach for implementation; ability to provide statutorily required SBDC services and services that meet SBA priorities; ability to modify services to meet the needs of small business concerns in applicant’s designated area of service. Details of project objectives and milestones with tactic for attainment; list of core services and activities to be offered on a quarterly basis; additional special services and/or initiatives (15 points).

**Service Delivery Model:** Narrative describing a design for statewide service delivery (NOTE: at least 50% of proposed service centers must be institutions of higher education (including but not limited to any land-grant college or university, any college or school of business, engineering, commerce, or agriculture,

community college or junior college) or a Women’s Business Center currently funded by SBA and operating under § 29 of the Small Business Act; identification of planned partnerships for service delivery; ability to reach special target markets. Narrative describing the ability to oversee an SBDC network; experience and qualification of proposed staff; plan to manage and coordinate the network; ensure attainment of program goals. Narrative describing a plan for delivery of consulting, advising, counseling and training needed by both nascent and existing businesses within Utah; how the Host will set up Lead and service center locations and the planned the locations of service delivery; qualifications of key personnel and proposed organizational chart (30 points).

**Collaboration:** Narrative describing plans for collaboration with SBA Resource Partners (including WBCs, SCORE, Clusters), federal agencies, state and local small business and economic development entities, and other community and small business organizations to deliver core services; use of academic and other resources to leverage federal funding. Narrative describing plans to establish a statewide SBDC Advisory Board; Cooperate with SBA and ASBDC reviews (15 points).

**Financial and Administrative Capacity:** Narrative describing the Host’s planned match contribution for the program year and ability to obtain required match; letters of commitment of match for FY 2014; must be at least 50% in cash (\$287,334). Narrative demonstrating in detail the Host’s long-term strategy for securing future match requirements, including letters of support and a plan for future budget periods (minimum 3 year projection). Narrative describing the Host’s ability to administer the SBDC in accordance with the Program Announcement, OMB circulars and other federal policies and guidance; ability to control program resources; ability to interface with complex reporting systems; experience in administering other federal grants; details of a sound financial management system. (30 points).

In addition, as participants in a grant program of the SBA, Applicants should be familiar with overarching Administration and Agency goals. SBA’s strategic goals and the budget that supports those goals are outlined in SBA’s “FY 2016 Congressional Budget Justification and FY 2014 Annual Performance Report” available at: [www.sba.gov/sites/default/files/files/1-FY\\_2016\\_CBJ\\_FY\\_2014\\_APR\\_508.pdf](http://www.sba.gov/sites/default/files/files/1-FY_2016_CBJ_FY_2014_APR_508.pdf). In particular the SBDC network helps SBA achieve Strategic Goal One – Growing Businesses and Creating Jobs, by supporting objective 1.3 “Strengthen entrepreneurial ecosystems through a variety of strategic partnerships to provide tailored training, mentoring and consultation services that support entrepreneurs during every phase of their business growth.” The SBDC network is mentioned throughout the document. In particular, the table on page 58 outlines the national goal targets for the SBDC national network.

Overarching Administration performance is outlined in the Government Performance Results Act available at: <http://www.whitehouse.gov/omb/performance/gprm-act>

## 4.2 Specific Clarification of Criteria for Technical Proposal

### **History of Service (10 points)**

Applicant experience, qualifications, internal organization structure, and demonstrated ability to manage disciplined, results-oriented programs:

The applicant should address the statutory and/or regulatory requirements that fall within this particular evaluation criterion. These would include, but not necessarily be limited to

- Eligibility Requirements (15 USC 648(a)(1)). (See also Section III of this Announcement.)
- Compliance with State/Region SBDC Plan (15 USC 648(b)(1-2)).
- Ability to provide small business problem-solving assistance (15 USC 648(c)(1)).
- Compliance with staff and access requirements (15 USC 648(c)(2)(A-F)).

Include the applicant's experience

- Providing management and technical assistance programs
- Providing economic development support to the small business community.

This section should also address

- Applicant's internal organizational structure, and
- Linkage of the SBDC program to the organization's strategic plan and mission.

### **Statement of Work (15 points)**

A Strategic Plan defining the services and activities to be offered to existing and proposed entrepreneurs as well as the implementation of the plan.

The applicant should address the statutory and/or regulatory requirements that fall within this particular evaluation criterion. These include, but are not necessarily be limited to –

- Ability to provide statutory SBDC services (15 USC 648(c)(3)(A-T) and meet SBA national priorities.
- Ability to upgrade SBDC services to meet evolving small business community needs (15 USC 648(c)(4)).
- Ability to utilize and compensate qualified small business vendors (15 USC 648(c)(5)).
- Identification of resources to be used, the services to be provided and the method(s) for delivering the services (13 C.F.R. §130.410).

The applicant should provide a description of program objectives, proposed outputs and outcomes, as well as programs exemplary projects and/or special activities planned. To facilitate reporting, categorize the information presented using the reporting titles listed in Section 6.3.3 to the extent possible. (Success stories do not need to be included in the proposal.)

The proposal must include a list of the types of assistance, including training to be offered during the budget period. To assist SBA, categorize the types of events to be offered on a quarterly basis by topic (e.g. marketing/sales, accounting/budget, cash flow management, procurement, rural business development, international trade).

### **Service Delivery Model (30 points)**

The ability to establish and operate a network of SBDC service centers and facilities within the State of Utah providing services throughout the entire state; the ability to oversee the SBDC network and to ensure attainment of program goals.

The applicant should address the statutory and/or regulatory requirements that fall within this particular evaluation criterion. These include, but are not necessarily be limited to –

- Ability to provide services throughout the state using service center and satellite locations (15 USC 648(c)(2)).
- Utilization primarily of institutions of higher education and Women's Business Centers to provide services to the small business community. (15 USC 648 (a)(1)).
- Identification of the Lead Center and other SBDC service providers by name, address and telephone number, the geographic areas to be served (13 C.F.R §130.410).

The applicant must state the approach it will use to oversee the SBDC network; discuss the management and coordination of the SBDC service delivery points throughout the State of Utah; provide narrative information on the qualifications and experience of the proposed SBDC network's key personnel; and describe how the SBDC plans to provide total statewide coverage during the project period. The applicant must show how it intends to deliver counseling, training, and other services needed by nascent and existing small businesses. This plan must indicate where the service delivery locations will be established and how the organization will be set up for delivery of the services.

### **Collaboration (15 points)**

Plans for cooperation and coordination with SBA and other community and small business organizations to identify local business; and the use of academic, public and private resources to deliver statutorily required services.

The applicant should address the statutory and/or regulatory requirements that fall within this particular evaluation criterion. These include, but are not necessarily be limited to –

- Cooperation requirements (15 USC 648(a)(2)).
- Compliance with the annual Program Announcement (15 USC 648(a)(3)).
- Ability to collaborate with SBA's local offices, the state small business community as well as state and local agencies (15 USC 648(c)(7)).
- Ability to participate in the SBDC information sharing system (15 USC 648(c)(8)).
- Ability to develop and implement a comprehensive plan with the relevant state agency(ies) and the US Department of Commerce for enhancing the export potential of small businesses within the service area (15 USC 648(d)).
- Ability to cooperate with federal laboratories, the National Science Foundation, the National Aeronautics and Space Administration and respective industrial application centers (15 USC 648(e-g)).
- Compliance with guidance issued by the Associate Administrator for the Office of Small Business Development Centers (AA/OSBDC) (15 USC 648(h)).

- Ability to cooperate with the National SBDC Advisory Board (15 USC 648(i)).
- Ability to establish and operate a Utah SBDC Advisory Board (15 USC 648(j)); (under 13 C.F.R. § 130.410, applicant needs to include in its proposal a list of proposed members of board).
- Cooperation with the conduct of biennial programmatic and financial examinations conducted by SBA (15 USC 648(k)(1)).
- Cooperation with the SBDC Accreditation reviews conducted by the America's of Small Business Development Centers (ASBDC)(15 USC 648(k)(2-3)).

The method of delivering services should include a description of how and to what extent academic, private and public resources will be used (13 C.F.R. §130.410). The applicant should discuss other plans for coordination and collaboration with SBA, SCORE, WBCs, economic development and small business organizations in this section.

**Financial and Administrative Capacity (including the Ability to meet required match) (30 points)**

The applicant should address the statutory and/or regulatory requirements that fall within this particular evaluation criterion. These include but are not necessarily limited to the ability to provide the match requirement. 15 U.S.C. § 648(a)(4).

The applicant must be capable of meeting the non-federal match requirements. The applicant must provide letters of commitment from non-federal sources and eligible federal sources (qualified Community Development Block Grants) specified for the SBDC to certify the ability to match federal funds for **the budget** period. The recipient must report receipt of such contributions no later than the end of each project year.

The applicant must provide a detailed development plan demonstrating how the cash and in-kind match will be raised over the term of the project. In addition, a detailed development plan is also required for continuation of match for no fewer than three future budget periods. The applicant must include letters of support from potential sources for continuation of matching funds and in-kind contributions specified for the SBDC for future budget periods.

Applicants are required to demonstrate matching funds equal to the grant award amount with a cash match of at least 50% of the grant award. Applicants are also encouraged to seek matching funds beyond the established match requirement. While cash matched above 50% and total match beyond 100% are not required, applications with cash and/or total overmatch will receive higher scoring in this area. Host institutions are encouraged, but not required, to contribute a portion of the matching resources.

The applicant must discuss its ability to administer the proposed network in accordance with the program requirements, conduct administrative oversight of the SBDC network, and provide control over program resources as outlined in this Program Announcement and other relevant OMB circulars. This discussion must also detail the applicant's experience in administering federal grants, their financial management system, and strategic planning.. Applicants subject to the federal Single Audit Act (OMB Circular A-133) should also, upon request, provide a complete copy of their most recent Single Audit Act report.

Submissions will only be accepted via [www.grants.gov](http://www.grants.gov).

### 4.3 Additional Application Instructions

Applications must consist of the following elements: (i) concurrence letter from the SBA District Director; (ii) technical proposal; (iii) budget information; (iv) certifications, forms and assurances; and (v) attachments and exhibits.

#### 4.3.1 Technical Proposal (not to exceed 50 pages)

The technical proposal serves as the blueprint for the Applicant's planned project. This information must be provided in a paginated attachment not to exceed 50 pages. It must include the following information:

##### 4.3.1.1 Program Narrative:

- **Organization and Structure**

An organizational chart for the total SBDC network indicating the position of the Lead Center within the Applicant organization and the department/division and person/title to whom the SBDC Lead Center Director will report.

- **Program Management**

A brief description of:

- i) the service area of the SBDC program (must be statewide);
- ii) the methodology, philosophy and justification for the distribution of service area resources, such as Service Centers, satellites and specialty programs, using factors such as population or business census, population/counselor distribution formulas, etc., and any planned adjustments;
- iii) the correlation of resource distribution to needs assessment studies and the applicant's strategic plan for the management and coordination of SBDC services throughout the state of Utah.
- iv) If applicable, description of plans for the addition of new Service Centers or programs, including the staffing plan, management strategy for vacancies (interim measures and acceptable vacancy timeframes), desirable client wait time for counseling assistance, and any changes anticipated in the coming year.

- **Program Objectives**

The applicant must include a brief summary of major program objectives, special projects or activities, with particular reference to planned activities for the program year that seek to address SBA's important priorities as listed in Sections 5.1.3 through 5.1.5.4,

and 5.2.2, below. To facilitate proposal review, categorize the information on planned program objectives and activities using the reporting categories listed in Section 6.3.3 to the extent possible.

- **On-line Client Services**

SBA views the use of web-based technology as a means to increase outreach within existing budgets, to access populations or areas otherwise difficult to reach, and to offer services 24/7 when appropriate. Include the planned operating environment and the process to be taken to achieve it, addressing timelines, benchmarks, anticipated results, resources and budget. Where possible and to reduce duplicative efforts, SBA's Small Business Training Network (SBTN) at [www.sba.gov/training](http://www.sba.gov/training) should be used for on-line training.

- **SBDC Scheduled Closures**

The applicant must be accessible to the public during normal business hours throughout the year except for those times provided in a listing of all scheduled holidays and planned closures for the SBDC. Emergency closures must be reported to the SBA Project Officer as soon as possible.

- **PIMS Contact**

Identify the SBDC contact designated to maintain information in SBA's Partner Identification Management System (PIMS), by name, title, phone number and email address.

- **Advisory Board**

- i) A majority of the advisory board members must be representatives from small businesses or associations representing small businesses located throughout the entire area of service. Veterans, women, minorities and Native Americans should be represented, as appropriate. If a member, the SBA District Director should be a non-voting member.
- ii) There should be regular periodic meetings each year.
- iii) The reasonable cost of travel of any board member for official board activities may be paid out of the SBDC's budgeted funds, and must follow the Recipient Organization's policy for per diem and related travel costs.

- **Conflict of Interest Policy**

Each SBDC network must have a written conflict of interest policy which is signed annually by all employees, consultants, instructors and volunteers of the SBDC network.

The policy must include enforceable elements safeguarding the SBDC program from actual or apparent conflicts in accordance with 2 C.F.R. § 2701.112.

- **Training**

Provide a list of the types of training to be offered during the budget period. The Lead Center will be expected to provide the SBA Project Officer with a quarterly calendar of SBDC trainings, or with electronic access to comparable information.

- **Program Income**

Planned expenditures from Program Income are subject to OMB Uniform Guidance and SBDC program rules and requirements as set forth in 13 C.F.R. § 130.480. Program Income must be used to expand the quantity or quality of services, resources or outreach provided by the SBDC network.

- **Funds Managed Outside the Cooperative Agreement**

Fully describe any other federal or state small business assistance programs, contributions or grant funds (excluding foundation accounts) that are currently managed by the applicant. Include the source and amount of funds provided by each organization and the purpose for which the funds have been provided.

In accordance with [15 USC § 648\(a\)\(5\)](#), once awarded this cooperative agreement, the SBDC must receive approval from the AA/OSBDC before bidding on another federal contract as to the subject and general scope of the project. An awardee may not manage other funds, regardless of funding source, when the scope of activity is inconsistent with this Program Announcement.

An applicant must submit a list of funding sources and amounts for each source of funds received by the applicant including grants, contracts and contributions. In addition, for each source of funds, documentation regarding the name and phone number of the donor/contractor/grantor, the amount of funding, the intended purpose and any requirements, stipulations or deliverables must be maintained and made available during the biennial financial examination process.

Applicants managing other small business programs outside the SBA Cooperative Agreement must maintain separate accounting/financial records to ensure a clear audit trail for the funds provided under the SBDC Cooperative Agreement.

#### 4.3.1.2 **Planned Milestones Worksheet:**

Complete this worksheet and include as an attachment to the proposal. Applicants shall list goals negotiated with SBA, as well as goals the Lead Center has established for each Service Center, and other planned milestones, major project objectives and special projects planned for the upcoming program year.

The Lead Center Applicant must also complete information about matching funds in the section on “Non-SBA Contributions”. The worksheet is available from OSBDC at: [SBDC Forms and Worksheets](#).

#### 4.3.2 **Cost Proposal**

Information on proposed project costs must be provided through the completion or submission of the following through grants.gov:

- i. Application for Federal Assistance (SF-424). Included in Grants.gov package.
- ii. Budget Information—Non Construction Programs (SF424A). Included in Grants.gov package.

In Section B of SF-424A, line 6 g titled “Construction” shall be used for Consultant costs as described in the SBDC Budget Justification Instructions Section 4.3.2.3 below.

- iii. SBDC Budget Justification and Personnel List. Template available from OSBDC at: [SBDC Forms and Worksheets](#).
  - Include a separate budget justification form with required cost detail for the Lead Center and each proposed Service Center or Specialty Program (such as International Trade Center or Technology Program).
  - Applicant may use its own budget justification form, but ALL budget detail required in OSBDC’s template must be included AND Applicant must include a separate 424A for the Lead Center Applicant and any other Service Centers.
- iv. Budget Narrative.

If all required cost detail is not shown on the SBDC Budget Justification and Personnel list, include a separate Budget Narrative for the Lead Center and each Service Center or specialty program.

- v. Indirect Cost Rate (ICR) Agreements, negotiated with the cognizant federal agency.
  - Provide a complete signed copy of the current ICR agreement for the Applicant and any Service Center that plans to claim indirect costs.

- Organizations that have never had an ICR agreement with a federal agency may utilize the 10% de Minimis rate as provided in 2 C.F.R. Part 200.414. The de Minimis rate may not be used by organizations that have an expired ICR agreement.
- vi. Schedule of Indirect Cost Worksheet. Template available from OSBDC at: [SBDC Forms and Worksheets](#).

#### 4.3.2.1 **Budget Preparation**

OSBDC will provide the applicant with projected funding levels to be used in budget preparation.

- Budget information must describe the financial resources contributed by the Applicant. The amount and source of funds provided as match must be clearly indicated, in Box 18 of SF424, and the budget summary SF424A, Lead Center and any proposed Service Center budget justification forms must clearly indicate which program costs will be paid by federal dollars, cash, in-kind and waived indirect. Applicants must show how the value of each in-kind match contribution is determined. This applies to costs incurred by Service Centers as well as recipient costs.
- In addition, matching funds included in the budget information must also be listed by amount and contributor (i.e., state, university, private sector) in Section 5 of the Planned Milestones worksheet required as part of the Technical Proposal (See Section 4.3.1.2).

#### 4.3.2.2 **Service Center Costs**

If an Applicant proposes costs for Service Centers under the contractual budget element (i.e. sub-awards), it must also provide separate Service Center budgets with a line item breakout, including the amount of federal dollars allocated to each Service Center, as well as indirect cost with applicable cost base and rate. If the Service Center proposes sub-contractual costs, supporting budget details such as a statement of work, the number of hours and rate of pay must be provided for each contractor.

An Applicant may substitute its own forms or spreadsheets in place of the SBDC Budget Justification Worksheet so long as it includes all of the information requested in Section 4.3.2.3, below.

#### 4.3.2.3 **SBDC Budget Justification Instructions**

The budget cost categories and required cost detail for each category are described below. The direct cost and indirect cost total must agree with the SF-424 and SF-424A.

<b>a. Personnel:</b>	List position title in budget justification or budget narrative. Use the Personnel List to show annual salary, number of months, level of effort in percentage and total amount budgeted for each position, as the basis used to estimate personnel costs charged to the SBDC program.
<b>b. Fringe Benefits:</b>	Indicate the fringe rates approved by your cognizant federal agency for audits when available. If not available provide the schedule used. Do not include fringe cost in the total amount required for personnel.
<b>c. Travel:</b>	For local travel, provide total anticipated mileage and mileage rate.  For out of state/region travel (including foreign travel), provide estimated cost and justification including: i) purpose, ii) destination, iii) mode of transportation and rate (i.e. airfare or mileage and rate), iv) number of trips, and v) number and position description of travelers.
<b>d. Equipment:</b>	List items costing at least \$5,000 and having at least one year of useful life. The Recipient Organization must maintain an inventory of equipment purchased with program dollars including cost, location and detailed description of each item. Equipment inventory must be made available upon request of SBA.
<b>e. Supplies:</b>	Show anticipated cost of supply items such as general office, operational, computer supplies, and other supply items costing less than \$5,000. The Recipient Organization must maintain an inventory of controlled supplies of higher dollar value and high potential for loss such as computers, etc. This must be made available upon request to the SBA.
<b>f. Contractual:</b>	List costs for Contractual services that will support program operations, such as website support, equipment maintenance, or meeting facilitation. If known, provide budget details including: name of contractor, statement of work, number of hours and rate of pay.  If Applicant proposes contractual costs for Service Centers (sub-awards), include separate line item budgets for each Center. Applicants who use their own budget justification template instead of the OSBDC template must also include an SF424A with each

	Center's detailed budget.
<b>g. Consultants:</b>	<p>Provide detail for Consultant costs shown on line 6g of 424A. (Note that form SF424A lists category g. as "Construction", but Applicants are asked to use this line for SBDC Consultant costs only.)</p> <p>Consultant costs include costs for non-employee SBDC advisors, trainers and other staff who will provide client services on an hourly or fee-for-service basis. Provide consultant(s) name(s) if known. Specify purpose, and indicate the number of hours and rate of pay.</p>
<b>h. Other:</b>	<p>List all expenses included in this cost category separately, with planned cost per item.</p> <p>Other Expense items may include, but are not limited to: computer software, copying, postage, printing, publications, subscriptions, dues, telephone, conference fees and office space rental.</p> <p>If rental costs are proposed, provide square footage required for SBDC activities and rate.</p> <p>Do not list other items with zero amounts.</p>
<b>j. Indirect cost:</b>	<p>Show indirect cost amount on <u>line j of the Budget Justification ONLY</u>. (Do <u>not</u> include indirect costs as cash match or as in-kind contributions; or as a contractual cost category.)</p> <p>A rate no higher than that approved by your cognizant agency should be used to estimate indirect costs, except that organizations that have never had an Indirect Cost Rate Agreement with the federal government may use the 10% de Minimis rate provided in 2 C.F.R. Part 200.414. You may obtain the Schedule of Indirect Costs Worksheet from OSBDC at: <u><a href="#">SBDC Forms and Worksheets</a></u>.</p> <p>Reimbursement of indirect costs charged to federal funds will be capped at a maximum of 20%. The amount remaining of the total indirect cost is the waived portion (i.e. indirect match, if any).</p>

### 4.3.3 Certification Forms and Assurances

Consistent with 2 C.F.R. Part 200.415 financial Certifications must be signed by an authorized individual at a level no lower than vice president or chief financial officer of the organization. Each Applicant must complete and submit the following forms.

- Certification Regarding Debarment, Suspension, and Other Responsibility Matters, Primary Covered Transactions (SBA Form 1623)
- Certification Regarding Drug-Free Workplace Requirements
- Certification Regarding Lobbying (SBA Form 1711)
- Cash Match and Program Income Certification Form
- Cost Sharing Proposal (SBA Form 1224)
- Assurances-Non-Construction Programs (SF-424B)\*\*
- Disclosure Form (SF-LLL)\*\*
- Most recent A-133 Audit. Note: if the Applicant's A-133 audit document is large, provide a website link and instructions on where to locate the audit.

\*\* SF424B and SF-LLL are incorporated as part of the electronic application form on Grants.gov. All other required Certification forms can be obtained from OSBDC at: [SBDC Forms and Worksheets](#) and uploaded as Attachments to the Application. See Section 4.1.4 for Attachment order.

### 4.3.4 Attachments and Exhibits

There will be 15 attachment buttons. Please attach documents in the following order, and include "Attachment #" in the document name. See Section 8.4, Checklist of Required Submissions for additional guidance and location of required forms.

- |                       |  |
|-----------------------|--|
| <b>Attachment #1:</b> | List of Attachments submitted through Grants.gov   |
| <b>Attachment #2:</b> | Technical Proposal, including proposed program narrative, organization chart, network listing, position descriptions and other required information  |
| <b>Attachment #3:</b> | Planned Milestones worksheet   |
| <b>Attachment #4:</b> | Cost Proposal, including SBDC budget narrative, detailed budget justification by line item, personnel listing and other required cost detail for each center   |
| <b>Attachment #5:</b> | Additional 424A budget summary forms for Lead Center and proposed Service Centers. These are required only if the applicant does not use OSBDC's budget justification template for each center in Attachment #4. |
| <b>Attachment #6:</b> | Indirect Cost Rate Agreement for Applicant and Subrecipients (if any).   |
| <b>Attachment #7:</b> | Schedule of Indirect Cost  |
| <b>Attachment #8:</b> | Certification Regarding Debarment, Suspension and Other Responsibility Matters (SBA Form 1623)   |

<b>Attachment #9:</b>	Certification Regarding Drug Free Workplace Requirement
<b>Attachment #10:</b>	Certification Regarding Lobbying (SBA Form 1711)
<b>Attachment #11:</b>	Cash Match and Program Income Certification Form
<b>Attachment #12:</b>	Cost Sharing Proposal (SBA Form 1224)
<b>Attachment #13:</b>	A133 Audit Report (or link to a webpage with instructions on how the report can be viewed by SBA).
<b>Attachment #14:</b>	Approval Letter from SBA District Director
<b>Attachment #15:</b>	Additional information or other documentation the Applicant believes is necessary to support its proposal.

#### **4.3.5 Treatment of Proposal Information**

If the SBDC's proposal contains confidential data, the SBDC must follow Part 102 of SBA's regulations ([13 C.F.R. Part 102](#)).

Unless otherwise specified, all financial, statistical, personnel and/or technical information and data furnished, produced or otherwise made available to the SBDC by its small business customers during the performance of this Agreement shall not be used for purposes other than performance of work under this Agreement. The above information received by the SBDC may be privileged and must not be released or disclosed by the SBDC without the prior written consent of the client unless otherwise required by law. If such information is requested in a legal proceeding, the SBDC must take the necessary precautions and legal recourse to protect privileged information.

[Public Law 108-447](#), approved December 8, 2004, provides that client information can only be made available for legal enforcement action or SBA financial audits. However, SBA is also allowed access to client data for obtaining program activity information or conducting client surveys.

No files or records will be removed from the premises of any government agency with which the Recipient may work without the approval of the agency in possession of such documents. Publication of any information will be in accordance with [2 C.F.R.200.333-337](#).

#### **4.3.6 Funding Restrictions**

##### **4.3.6.1 Administrative Requirements and Cost Principles**

SBDCs are governed by the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards, codified at 2 C.F.R. Part 200 et seq.

##### **4.3.6.2 Budget Preparation & Funding**

Specific items of cost may be included in the proposal and considered allowable under the additional conditions and requirements set forth below.

## 1. **Travel**

All travel performed as part of this Agreement must be in accordance with SBDC program objectives and in compliance with the recipient's travel policy and governed by OMB Uniform Guidance at 2 C.F.R. § 200.474. The proposed budget must include a description of the out-of-state (region) travel proposed, indicating estimated costs, number of persons traveling and purpose of travel. (Travel to be completed using vacation time regularly earned is not subject to approval by SBA.)

Refer to Section 8.3.2 for guidelines on requesting unanticipated out of state and out-of-country travel that is necessary to further SBDC objectives, but for which a complete description and/or justification could not be provided in the proposal.

## 2. **Payment of Dues**

The proposed budget must show amounts estimated for payment of memberships, subscriptions and dues for business, technical and professional associations, including the recognized association, America's Small Business Development Centers (ASBDC). Costs proposed for membership in any civic or community organization, however, must be justified in terms of the benefit to the SBDC derived from this expenditure. All other requirements of 2 C.F.R. § 200.454 apply. In addition, all memberships purchased with project funds must be in the name of the SBDC program rather than in the name of an individual.

## 3. **Lobbying**

There is a broad federal restriction on all grantees of the Federal Government, which prohibits the use of federal appropriated funds to lobby Congress or agencies concerning certain specified federal actions ([31 USC § 1352](#) (also known as the Byrd Amendment)). In addition, OMB's Uniform Guidance at 2 C.F.R. § 200.450 provides that lobbying activities are generally unallowable costs, and defines unallowable activities as well as the limited activities that are allowed.

## 4. **Indirect Costs and Overhead**

To propose and subsequently claim indirect costs, Applicants must furnish their current indirect cost rate (ICR) agreement

- as negotiated with their cognizant federal agency,
- certified by their state governmental unit and approved by their cognizant federal agency, or

- a rate approved by SBA.

ICR agreements for participating Service Centers must also be submitted.

Entities currently without an ICR agreement negotiated with a cognizant federal agency may request that the SBA Project Officer provide an SBA indirect cost rate agreement (at 24% of Modified Total Direct Costs) to be used exclusively for the SBDC program. For entities using an SBA-provided ICR Agreement, the following terms apply:

- These terms are to assist in identifying and clarifying those costs considered to be “general administrative and general expenses” noted in 2 C.F.R. § 200. They form the basis for this SBA ICR Agreement and subsequently may not also be included as direct costs against the award when the SBDC ICR Agreement is used.
- Cost pools underlying the ICR Agreement include personnel compensation and benefits for positions or for activities which are not: 1) in direct support of the SBDC program goals and objectives, **and** 2) under the direction or supervision of the key person identified in the Cooperative Agreement as responsible for program performance at the respective host entity.
- Examples include, but are not limited to, those expenditures allocable to human resources and accounting departments, sponsored project staff, corporate marketing staff, controllers, deans, chief executives and presidents of colleges and universities.
- Non-personnel costs such as audits, supplies, materials, insurance, and other services and operating costs allocable to administrative departments and to the activities of the host entity are considered part of the “general and administrative cost pool” and thus may not also be directly charged.

**Any agreements subsequently negotiated with a federal agency will supersede the SBA ICR Agreement.**

When making new sub-awards, administrative costs incurred for establishing technical needs, determining qualified candidates, issuing requests for bids, evaluating replies and selecting an awardee may be claimed as indirect costs according to 2 C.F.R. Part 200, Appendices III and V. The Circular allows these incremental Facilities and Administrative costs on the first \$25,000 to be claimed one time in the indirect cost base for each subcontract or sub-award. It is not appropriate to claim these costs when obtaining annual funding to continue the sub-award. These costs only may be claimed

when an open, competitive bidding process is involved in issuing the sub-award that included the aforementioned administrative costs.

If the applicant or participating Service Center has never had an approved ICR and its budget includes indirect costs, it may utilize a de Minimis rate of 10% of Modified Total Direct Costs (to include Federal and non-Federal) until the non-Federal entity can provide a copy of a current indirect cost rate agreement either through the SBA or from another cognizant federal agency. This new rule does not apply to organizations that have an expired ICR agreement.

The negotiated indirect cost rate in effect at the time of the initial proposal will be used for the budget period covered by the proposal. If a provisional indirect cost rate is in effect at the time the proposal is submitted and it has been more than one year since the date the provisional rate became effective, the SBDC must furnish OSBDC with documentation showing that they have made an effort to negotiate a final rate.

Indirect costs cannot be claimed for the Lead Center Applicant or for Service Centers that do not submit approved ICR agreements for the proposed funding period. Indirect costs cannot exceed the amount allowable under the approved ICR Agreement submitted with the proposal. Facilities & Administration (F&A) costs may not otherwise be charged, directly or indirectly, to the Cooperative Agreement or claimed as non-cash match contributions except as described here.

## **5. Justification of Costs**

All costs proposed require justification and narrative explanation for the Lead Center Applicant and each proposed Service Center. All proposed costs must be included in the specific line items and fully justified. All forms contained in the financial application package must be completed accurately and in full.

## **6. Supplies, Printing and Costs Related To SBDC Logo**

Generally, promotional items are not an allowable expense using SBDC program funds (including program income). Promotional items are objects such as gifts, memorabilia, awards, mugs, and any other item which does not have a specific direct benefit to the SBDC. See 2 C.F.R. § 200.421 e (3). However, costs proposed for printing using the SBDC logo for training supplies such as pens, notepads or flash drives (which contain course material), etc. are allowable. Certain promotional items (shirts) may be charged to program funds on a case-by-case basis and shall be listed in detail in the proposal. These items will be considered on a case by case basis based on reasonableness as determined by OSBDC. Following the award, failure to gain prior approval for items bought after budget approval, except those listed for training, may result in a financial examination

disallowance, suspension or termination of funding. This section does not include advertising materials specifically allowed in OMB Cost Principles at 2 C.F.R. § 200.421.

#### **7. Miscellaneous or Contingency Costs**

No miscellaneous or contingency costs may be included in the budget. Contributions to a contingency reserve or any similar provision made for unforeseen events are unallowable.

#### **8. Subcontracting**

All subcontracting awarded as a result of this Agreement will be in accordance with [2 C.F.R. §§ 200.317-332](#)

#### **9. Proposal Costs**

This request does not commit the Federal Government to pay any costs incurred in the submission of a proposal.

#### **10. State/Regional Advisory Board Compensation**

Compensation other than travel costs for the State/Regional SBDC Advisory Board members is not allowed. This includes compensation reimbursed from federal funds or donated by the Advisory board member and used as non-cash match (in-kind).

#### **11. Improvements to SBDC Facilities**

If minor construction/physical improvement to SBDC facilities is proposed, Applicant must provide justification for use of program funds, estimated costs, and facilities or lease agreement or other documentation from property owner.

### **4.3.7 Financial Guidelines**

#### **4.3.7.1 Carryover Requests**

Funds should be expended in the year awarded; however, carryover requests will be considered on a case-by-case basis. Carryover of unexpended funds is permissible only if the funds are to be used for a project or activity within the scope of the SBDC program and the request is in the best interest of the Program.

The SBDC Lead Center Director must request approval to carry over anticipated unexpended federal funds to the next budget period at least 10 days prior to the close of the current budget period (No later than December 21<sup>st</sup>)

A formal Carryover request, submitted with the final SF-425, must include: (1) SF-424, SF424A, and detailed budget justification forms; (2) narrative indicating why the funds were not expended during the period in which they were awarded and how the funds will be used in the current period to benefit the program; (3) SBA District Office approval; and (4) evidence of match.

The match requirement for carryover funds can be met by using an increase in funds pledged by the SBDC..

Expenditures for the carryover requests must be accounted for separately. . All financial reports, pay requests and other correspondence relating to the carryover funds must reference the federal document number assigned to the funds carried forward.

#### **4.3.7.2 Use of Program Income**

Program income must be used to further the objectives of the SBDC program and cannot be used for other purposes. Expenditures from Program Income are subject to OMB Uniform Guidance and SBDC program rules and requirements as set forth in 13 C.F.R. § 130.480. SBDCs must expend any program income exceeding 25 percent of the SBDC's total budget (SBA federal funds and matching funds) by year end. Any remaining program income may be carried over to subsequent budget periods to be used to further program objectives. SBDC Program recipients are responsible for establishing a separately identifiable program income account to facilitate financial reporting. All program income must be reported on SBA Form 2113 (Program Income Report)..

#### **4.3.7.3 Cash Match Requirement**

Each SBDC Applicant must ensure that no less than 50% of the required match funding will be in cash. Cash match contributed to the Applicant organization or proposed Service Center must be committed as part of specific direct cost line items (e.g. personnel services, fringe benefits, consultants) must be verified by the Certifying Representative prior to funding. This cash outlay may not be allocated to indirect costs.

Further, the cash match shall not include: (1) funds contributed from other federal sources [see exception below]; (2) program income or fees collected from recipients of assistance, whether collected by the Lead Center, Service Centers or any other participants in the SBDC network; or (3) amounts committed by the Applicant organization for unidentified and/or contingent costs in the cost proposal.

There is one exception to the disallowance of federal funds as cash match. Community Development Block Grant (CDBG) funds received from the Department of Housing and Urban Development are allowed when: (1) the SBDC activities are consistent with the

authorized CDBG activities for which the funds were granted; and (2) the CDBG activities are identified in the Consolidated Plan of the CDBG grantee or in the agreement between the CDBG grantee and the sub recipient of the funds.

**The cash match must be committed up front and identified by source and amount in the SBDC cost proposal.** The cash match account (as well as SBA federal funds) allocated to the SBDC program, must be under the direct management of the SBDC Lead Center or Service Center Director. However, SBDC organizations are not required to establish separate bank accounts solely for SBDC purposes. The availability of this cash contribution for SBDC program operations must be certified by the official from the Applicant organization who signs the Federal Assistance Form (SF-424).

If the state is providing part of the cash match, the Certifying Representative must verify that these funds have been appropriated prior to award of the Cooperative Agreement. However, in situations where state appropriation cycles prohibit total compliance prior to award of the Cooperative Agreement, the Certifying Representative shall verify that sufficient upfront cash match will be available from the state or other sources, prior to any withdrawal of federal funds.

**Allocation of Federal Funds to Direct Costs:** SBA requires that at least 80 percent of federal dollars provided through the Cooperative Agreement be allocated to the direct costs of the program.

#### 4.4 Submission Instructions

An electronic copy of the proposal must be provided to the SBA District Office for review and negotiation at least 5 business days before submission to grants.gov. All proposals (narratives and forms) must be submitted electronically via the government-wide financial assistance portal [www.grants.gov](http://www.grants.gov). **NO OTHER FORMS OF SUBMISSION WILL BE ACCEPTED.** All required forms are provided in the grants.gov application package for this funding opportunity. Specific instructions for obtaining, completing, and submitting an application via grants.gov, including animated tutorials, may be found at [http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp).

In order to submit an application via grants.gov, an organization is first required to:

- have a DUNS number,
- be registered with the System for Award Management (SAM), and
- have a grants.gov username and password.

The process for meeting these three pre-submission requirements may take several days to complete. Additionally, Applicants may have to download or upgrade their software in order to utilize grants.gov.

Applicants should not wait until the closing date to begin the submission process in order to avoid unexpected delays that could result in the rejection of an application.

Information about the grants.gov registration process can be found at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Applicants must register as organizations, not as individuals. Please note that organizations already registered with grants.gov do not need to re-register. However, all registered organizations must keep their SAM registration up-to-date.

As part of the grants.gov registration process, an Applicant must designate one or more Authorized Organizational Representatives (AORs). AORs are the only individuals who may submit applications to grants.gov on behalf of an organization. If an application is submitted by anyone other than a designated AOR, it will be rejected by grants.gov and cannot be considered for funding.

Once an application is submitted, it undergoes a validation process through which it will be accepted or rejected by the grants.gov system. The validation process may take 24 to 48 hours to complete. Applicants should save and print written proof of an electronic submission made at grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. The first email will confirm receipt of the application. The second email will indicate that the application has either, been successfully validated by the system and assigned an SBA tracking number, or it has been rejected due to errors. An Applicant will receive a third email once SBA has downloaded its application from grants.gov for review in accordance with.

If grants.gov notifies an Applicant via email that its application contains an error, the Applicant must correct the noted error(s) before the system will accept and validate the application. Applicants that choose to submit on or close to the closing date are advised they may not receive email notification of an error with their applications until after the submission deadline, and thus will not have an opportunity to correct and resubmit their applications.

**APPLICATIONS THAT ARE REJECTED BY GRANTS.GOV WILL NOT BE FORWARDED TO SBA AND CANNOT BE CONSIDERED FOR FUNDING.** It is the Applicant's responsibility to verify that its submission was received and validated successfully at grants.gov. To check on the status of your application and see the date and time it was received, log on to grants.gov and click on the "Track My Application" link from the left-hand menu.

If you experience a technical difficulty with grants.gov (i.e., system problems or glitches with the operation of the grants.gov website itself) that you believe threatens your ability to submit your application, please (i) print any error message received; and (ii) call the grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with grants.gov. NOTE: Problems with an Applicant's own computer system or equipment are **not** considered technical difficulties with grants.gov. Similarly, an Applicant's failure to: (i) obtain a DUNS number or complete the SAM or grants.gov registration process; (ii) ensure that an AOR submits the application; or (iii) take note of and act upon an email from grants.gov rejecting its application due to errors, are **not** considered technical difficulties. A grants.gov technical difficulty 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 an unexpected volume of traffic or failure of information technology systems, both of which are rare occurrences.

Applicants should use the following link to obtain assistance in navigating grants.gov and access a list of useful resources: [http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp). If you have a question that is not addressed under the “Applicant FAQs,” try consulting the “Applicant User Guide” or contacting grants.gov via email at [support@grants.gov](mailto:support@grants.gov) or telephone at 1-800-518-4726. The grants.gov Contact Center is open 24 hours a day, seven days a week.

#### 4.5 Required Proposal Submission Date

**All applicants must submit their proposals by Thursday, November 19, 2015.** Because of the pre-conditions for submitting applications via grants.gov and the potential for encountering technical difficulties in using that site, Applicants are strongly encouraged to log on to grants.gov and review the submission instructions early. **DO NOT WAIT UNTIL THE CLOSING DATE TO BEGIN THE SUBMISSION PROCESS.** Applicants bear sole responsibility for ensuring their proposals are submitted and received before the closing date.

SBA will consider the date and time stamp on the validation generated by grants.gov as the official submission time. A proposal that is not received by grants.gov before the closing date of this Announcement will be rejected without being evaluated, unless the Applicant can clearly demonstrate through documentation obtained from grants.gov that it attempted to submit its proposal in a timely manner but was unable to do so solely because of grants.gov systems issues. Additionally, SBA will not accept any changes, additions, revisions or deletions to applications made after the closing date.

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 (i) print any error message received; and (ii) contact grants.gov for immediate assistance. Applicants may obtain advice and assistance with the grants.gov submission process by visiting <http://www.grants.gov/help/help.jsp> or by calling 1-800-518-4726.

#### SBDC Applicant’s Timeline

November 19, 2015	Proposals are uploaded to the grants.gov website by 11:59 p.m. EDT
January 1, 2015	Official Beginning of Recipient Project Period
July 1, 2016	SBDC Recipient Organization must submit a Letter of Intent to apply for renewed funding to your Program Manager.

## 5.0 Section V - Application Review Procedures

### 5.1 General

Applications for the Small Business Development Center (SBDC) Program for the State of Utah follow a four tier competitive review and selection process.

#### Tier One:

Only eligible applicants (e.g. institutions of higher education and nonprofit 501(c) organizations housing a currently funded SBA Women's Business Center) that are physically located and solely operating within the State of Utah), which meet the requirements for participation in the SBDC program, and submit a complete application in response to the specifics contained in this Program Announcement will be considered.

#### Tier Two:

An Objective Review Committee (ORC) is formed, composed of at least three individual independent SBA evaluators. The ORC will score each eligible proposal narrative against the evaluation criteria stated in the Program Announcement on an individual level. As required by 2 C.F.R. § 200.205(b), Applicants will be evaluated to assess the possible risks they may pose to accomplishing the objectives of the award and to maintaining compliance with the terms and conditions of the award.. In assessing the possible risks posed by individual applicants, OSBDC will include in its consideration the following:

- a) Financial stability;
- b) Financial Management systems quality and its ability to meet the management standards prescribed in 2 C.F.R. § 200.302;
- c) History of performance in managing other Federal awards, including: timeliness of providing required reports; compliance with the terms and conditions of the award; ability to meet matching funds requirements; and the extent to which the applicant has failed to fully expend funds provided under prior awards; Results, reports, and findings from any of its available audits or programmatic reviews and its responses to them; and
- d) Ability to effectively implement statutory, regulatory, or other requirements.

SBA may decline to issue an award under this announcement based on this risk assessment.

After each individual ORC member has reviewed his/her proposals independently, then the ORC will meet together as a group to come to consensus on a final score for each applicant, and will rank the applicants in order, based on the scores. The ORC will then provide a recommendation to the Associate Administrator of the Office of Small Business Development Centers (AA/OSBDC) to accept or reject the proposals based on the ORC's cumulative score. The ORC's review of grant applications is intended to be **advisory** and does not replace the delegated authority of the AA/OSBDC..

#### Tier Three:

As a result of the ORC recommendation, the AA/OSBDC or his/her designee may review the full proposal for financial as well as programmatic sufficiency.

Tier Four:

For those entities which successfully pass the first three tiers of the proposal review, a Sufficiency Site Review (SSR) will be conducted by senior SBA management at the applicants physical locations (*in this case, the state of UT*) to analyze and determine the applicant's ability to provide the programmatic and financial administrative services contained within their proposals. In addition, SBA's Financial Examination Unit will establish a recommendation to the AA/OSBDC as to each prospective new host's financial capability to successfully operate an SBDC. This is also a final opportunity for the applicant to clarify any outstanding concerns or issues. The findings of the SSR are intended to validate the recommendation of the ORC.

The AA/OSBDC will make a final selection following the SSR(s).

After identifying the highest scoring application, SBA reserves the right to engage in negotiations with that Applicant and issue an Award that is conditional upon the Applicant's agreement to make changes to its technical proposal and/or budget to address any potential noncompliance due to its organizational structure, service delivery model, or similar technical matters. In the event that the highest scoring Applicant is unable or unwilling to make the required changes, SBA will issue an Award to the next highest scoring Applicant subject to the same conditions.

### **5.1.1 SBA Duties and Responsibilities**

OSBDC and the District Office are responsible for:

- Notifying all eligible entities when the Program Announcement is posted on [www.grants.gov](http://www.grants.gov).
- Marketing and conducting a bidder's conference.
- Conducting Tier 4, a sufficiency review of top scoring proposals (over 80 points)

#### **5.1.1.1 OSBDC is responsible for:**

- Answering all policy related questions regarding the solicitation
- Conducting Tiers 1-3, including the selection and monitoring the ORC review..
- Notifying the all Applicants of their status at the time of final selection.
- Issuing the Notice of Award.
- Conducting programmatic and financial reviews.
- Ensuring the SBDC PIMS information related to the opening or closing of Service Centers is updated upon submission from the SBDC Lead Center offices.

**5.1.1.2 SBA District Office is responsible for:**

- Negotiating the proposal with the Applicant incorporating District Office and Agency priorities, including performance goals.
- Submitting a letter of approval of the proposal by the District Director in the proposal via [www.grants.gov](http://www.grants.gov).

**5.1.1.3 All District Office communications must be run through the Lead SBDC Center unless all parties agree to an alternative communications plan.**

**5.1.2 Intergovernmental Review**

The SBDC program does not involve the mandatory payment of any matching funds from the state or local government and does not affect directly any state or local government. As appropriate, SBDC programs should comply with [Executive Order 12372](#), “Intergovernmental Review of Federal Programs.”

**5.1.3 SBDC Program Objectives and Required Services**

The SBDC Program is sponsored and partially funded by the U.S. Small Business Administration (SBA). The SBDC Program is governed by Section 21 of the Small Business Act, 15 USC § 648, and federal regulations, 13 CFR Part 130. Although SBA is responsible for the general management and oversight of the SBDC program, a legal partnership exists between SBA and the Recipient Organization for the delivery of assistance to the small business community.

SBDCs, under Section 21 of the Small Business Act (15 USC § 648), are required to provide counseling and training to small businesses including working with the SBA to develop and provide informational tools to support business start-ups and existing business expansion. In addition, pursuant to 13 CFR Part 130.340(c), SBA has identified certain Special Emphasis Groups (as defined in Section 8.1., “Definitions”), to be targeted for assistance by SBDCs.

The SBDC Program is governed by a binding legal instrument between the Recipient Organization and the SBA known as a Notice of Award or Cooperative Agreement. The purpose of the Cooperative Agreement is to ensure the delivery of high quality business and economic development assistance (as defined by [13 CFR Part 130.340](#) and the Small Business Act) to small businesses and prospective small businesses in the state of Utah.

The SBDCs must ensure that their economic development and technical assistance services are available to all small business populations, including special emphasis groups [[13 CFR Part 130.340\(c\)](#)].

The services provided must include those required by statute and shall include the activities of the Lead Center (Applicant) and all participating network members. Each Applicant will be accountable to SBA for performing all services included in its proposal.

#### **5.1.4 Statutorily Required Services**

The Applicant is required to provide the following services:

##### **5.1.4.1 On a non-fee basis, one-on-one confidential counseling/consultation/ advising/ guidance:**

- Working with individuals or businesses to increase awareness of basic credit practices and credit requirements;
- Working with individuals or businesses to develop business plans, financial packages, credit applications and contract proposals;
- Working with the Administration to develop and provide informational tools to assist individuals with pre-business startup planning, existing business expansion and export planning;
- Working with individuals or businesses referred by the SBA District Offices and SBA participating lenders (Note: Providing any preferential treatment to clients of any specific lender is prohibited, as is the SBDC's acceptance of payment for the provision of counseling services.); and
- The Applicant must have counselor resources available to meet the needs of entrepreneurs throughout the state of Utah.

##### **5.1.4.2 Technology transfer, research and development:**

Assisting in technology transfer, research and development, including applied research and coupling from existing sources to small businesses, such as:

- Working to increase the access of small businesses to the capabilities of automated flexible manufacturing systems;
- Working through existing networks and developing new networks for technology transfer;
- Encouraging partnerships between the small business and academic communities to help commercialize university-based research and development;
- Introducing university-based engineers and scientists to their counterparts in small technology-based firms; and
- Exploring the viability of developing shared production facilities under appropriate circumstances.

#### 5.1.4.3 Rural Assistance:

- Assisting small businesses in rural areas in an effort to increase their participation in exporting, government procurement, tourism, access to credit, incubators, innovation and technology and other small business programs, in cooperation with the U.S. Department of Commerce (DOC) and other relevant federal agencies; and
- The Applicant may develop marketing and production strategies that will enable the rural businesses to better compete in the domestic market, provide technical assistance needed by rural small businesses, make available managerial assistance to rural small business concerns and provide information and assistance in obtaining financing for business startups and expansion.

#### 5.1.4.4 Export Assistance:

- Proposals should contain a plan by which a minimum number of certified export assistance counselors will be available to assist clients, developing export and international trade opportunities by meeting the requirement in Section 22(i) of the Small Business Act: After award, at least five (5) counselors or ten percent (10%) of the total number of full time small business counselors in the network, whichever is the least, should achieve certification as export assistance counselors. Compliance with the requirement shall be reported in the Semi-annual and Annual Reports by providing the counselor name, certification type and date of certification as well as the number of full-time counselors employed and the number certified. Applicants must include a plan for attaining compliance with the law in their proposal narrative, including an implementation timeframe. Recipients may refer to **SBA Policy Notice 6000-800** for further guidance regarding export and trade counselor certification.
- Reporting client data for export assistance as required on SBA Form 641, including numbers of small businesses new to export; numbers of new markets entered; export revenues; referrals to a USEAC or SBA; referrals to the Department of Commerce, Department of Agriculture, Department of State, Ex-Im Bank, OPIC or the USTDA; number of jobs created or retained in the exporting aspect of the business.
- Cooperating with SBA's Office of International Trade, the Department of Commerce and other relevant federal agencies to assist small business to:
  - identify and develop potential export markets;
  - facilitate export transactions;
  - obtain export financing;
  - develop trade linkages between U.S. and foreign small business firms;
  - participate in international trade shows;

- access export assistance in rural areas;
- develop or reorient marketing and production strategies for international markets
- obtain referrals to appropriate resources for trade adjustment and trade remedy assistance;
- conduct Export Trade Assistance Partnership (E-TAP) programs;
- make translation services more readily available where possible to small firms doing business, or attempting to develop business, in foreign markets;
- establish hyperlinks between SBDCs, U.S. Export Assistance Centers, the Department of Commerce ([www.export.gov](http://www.export.gov)).

Where appropriate, the SBDC and the SBA may work collaboratively with state governments to establish a state international trade center for these purposes.

#### **5.1.4.5 Base Closure Assistance:**

Developing and implementing strategic business plans to effectively respond to the planned closure or reduction of a Department of Defense (DOD) facility within the community, or actual or projected reductions in such firms' business base due to the actual or projected termination or reduction of a DOD plant or a contract in support of such facility.

#### **5.1.4.6 Regulatory Compliance:**

- Maintaining current information concerning environmental, energy, health, safety and other federal, state and local regulations that affect small businesses and counseling small businesses on methods of compliance with such regulations.
- Developing information publications, establishing resource centers of reference materials, making appropriate referrals to the SBA's Office of the National Ombudsman, and distributing compliance guides published under section 212(a) of the Small Business Regulatory Enforcement Fairness Act of 1996, Public Law 102-121.

#### **5.1.4.7 Specific Informational needs:**

Provide specific informational needs and assistance, including but not limited to:

- Coordinating and conducting research into technical and general small business problems for which there are no ready solutions.
- Providing access to comprehensive physical and/or electronic libraries that contain current information and statistical data needed by small businesses.
- Maintaining a working relationship and open communications with financial and investment communities, legal associations, local and regional private consultants

and local and regional small business groups and associations in order to help address the various needs of the small business community.

- Conducting in-depth surveys for local small business groups in order to develop general information regarding the local economy and general small business strengths and weaknesses in the locality.
- Identifying and referring qualified small business vendors, including but not limited to, private consulting engineers and private testing laboratories to provide services to small businesses.
- Maintaining lists of local and regional private consultants to which small businesses can be referred.

### **5.1.5 SBA Required Services**

It is acknowledged that SBDCs receive funding from and must meet the mandates of its other funding sources. Despite these mandates, SBA District Directors and SBDC Lead Center Directors should negotiate services that meet local needs identified by a periodic needs assessment and integrate the SBDC strategic plan into the proposal, including:

#### **5.1.5.1 Entrepreneurial Development Services**

- Expanding international trade assistance to meet the requirements of the Small Business Act as amended by the Small Business Jobs Act of 2010 for the SBDC program.
- Assisting manufacturing workers interested in starting their own business and working closely with the U.S. Department of Commerce, National Institute of Standards and Technology's Manufacturing Extension Partnership (MEP) Program to assist small manufacturers.
- Providing programs focused on existing businesses to assist them with growth and expansion.
- Developing, facilitating and/or leveraging appropriate distance learning programs and/or initiatives that can be utilized by small business clients and, where appropriate, other SBA resource partners.
- Using market research tools such as the SBDC Clearinghouse, also known as SBDC Net, to serve the needs of the small business community.
- Developing economic recovery programs and plans that include counseling small business owners on ways and means to strengthen business recovery and continuity.
- Economic development involvement.
- Participating in and actively supporting community development in the state of Utah, including coordination with all levels of government – federal, state and local in support of initiatives that strengthen the infrastructure of the community and

ensure stability and equality in community-based economic growth and development. The private sector, including business and professional organizations, should be invited to become stakeholders with the SBDC acting as catalysts to initiate development projects beneficial to the community as a whole.

#### **5.1.5.2 Government Contracting Assistance**

- Providing information and assisting small business owners interested in pursuing federal, state and local prime contract and subcontract opportunities, including promoting SBA's SBIR and STTR programs.
- Advising and assisting small business owners to develop and execute effective marketing and sales plans for targeting federal prime contracts.
- Working cooperatively with the Procurement Technical Assistance (PTAC) program.
- Helping 8(a) firms either directly or through the Applicant's affiliate in the area of contract education and assistance.
- Working with the SBA District Office to assess the needs of 8(a) firms through SBA's Business Developing Management Information System (BDMIS) and other means to provide the 8(a) firm with business management and other education, training and information.

#### **5.1.5.3 Access to Capital and Other SBA Programs**

- Providing financial packaging and other financial counseling assistance; including assistance for SBA loan products and services.
- Providing access to tools and initiatives offered by SBA's Office of Veterans Business Development (OVBD).
- Informing small business contractors about SBA's Surety Bond Guarantee Program.
- Supporting the SBA Center for Faith-Based and Community Initiatives, as appropriate.

#### **5.1.5.4 Underserved Markets**

Providing outreach and service delivery to entrepreneurs of all demographic, background and locations, inclusive of urban and rural populations, new immigrant populations, and members of Reserve Components of the U.S. Military and National Guard and their spouses.

### **5.1.6 Program Overview**

The Applicant must provide planned services as geographically close as possible to small businesses by using a variety of service delivery mechanisms, including satellite locations, traveling counselors and electronic means, as appropriate. The facilities and staff of each SBDC shall be located in places that will provide maximum accessibility and benefits to the small businesses which the SBDC is intended to serve. The SBDC will develop a plan as part of the proposal specifying the extent to which SBDC statutory and program duties will be delivered to address the needs of the small business community in the area to be served. In doing so, Applicants must ensure that statutory and regulatory requirements are met.

The Recipient organization must establish and maintain a program control center or Lead Center to provide administrative services to the SBDC network within the state of Utah. These administrative services shall include, but not be limited to, (1) program development; (2) program management; (3) approved promotional and public relations outreach; (4) financial accounting; (5) reports management; and (6) internal quality control. Records shall be maintained in the Lead Center indicating the federal, state, local government, academic and private sector resources available to the SBDC network and the types of services provided to clients.

The Lead Center must have its own full-time staff, must have a separate budget and identity and, if part of a larger unit, must be a clearly distinguishable sub-unit. Staffing must include a full-time (100%) Lead Center Director who will operate and administer the operations of the SBDC network and must have full authority to make expenditures under the Center's budget as well as to manage the program activities. At least 75% of the SBDC Lead Center Director's time must be dedicated to the functions of the SBA SBDC Cooperative Agreement. Other statutory requirements for the SBDC are outlined in [15 USC § 648](#) (c) (2)

### **5.1.7 Required Reporting Lines for SBDC Lead Center Director**

The SBDC Director must report to the school or college dean or an equivalent or higher level administrator.

### **5.1.8 Program Organization and SBDC Name**

The specific identification "Small Business Development Center" shall be a part of the name of every SBDC organization within the SBDC network. No other name designations or variations will be accepted.

### **5.1.9 Prior Approval:**

Actions requiring prior approval by SBA shall be listed in the Notice of Award, Terms and Conditions and include but are not limited to, the following:

#### **5.1.9.1 Travel Outside the U.S.**

Travel outside the United States and its territories which is either: (1) charged to the Cooperative Agreement; or (2) performed while on duty for the Recipient Organization must be submitted to the Project Officer or District Director who shall submit a recommendation to the AA/OSBDC or his/her designee for his/her approval or denial no less than 30 days before departure on a case-by-case basis. (Travel to be completed using vacation time regularly earned is not subject to approval by the AA/OSBDC.) Failure to obtain 30 day prior approval from the AA/OSBDC or his/her designee may result in suspension or termination of funding.

#### **5.1.9.2 Improvements to SBDC Facilities**

If minor construction/physical improvement to SBDC facilities is proposed, Applicant must provide justification for use of program funds, estimated costs, and facilities or lease agreement or other documentation from property owner.

#### **5.1.9.3 Use of Carryover of Funds**

Recipients should expend program funds in the year awarded; however, Recipients may request to carryover and use unexpended funds in the next budget period, and requests will be considered by SBA on a case by case basis. The SBDC Lead Center Director must request approval to carry over anticipated unexpended federal funds at least 10 days prior to the close of the current budget period (December 21<sup>st</sup>). See Section 4.3.7.1 for further guidance.

#### **5.1.9.4 Recruitment for a Lead Center Director**

Prerequisite to filling a Lead Center Director position, the Recipient Organization must submit recruitment and selection plans for an SBDC Lead Center Director position to the SBA District Director and to the OSBDC Program Manager for approval of the plan's adequacy. Whenever possible, another SBDC State/Regional Director should be a part of any selection panel for such a vacancy. Recruitment plans for filling the vacancy in excess of 120 days beyond the Director's departure date must have prior approval of the AA/OSBDC. If a Lead Center Director is subject to removal or replacement, the Recipient Organization is strongly encouraged to notify the SBA District Director and the AA/OSBDC (at least) 10 days before taking such action, if possible. SBA also requests a written explanation of such action, if allowed by the Recipient Organization. The Host institution should require another SBDC State or Region be included in the hiring process.

## 5.2 Evaluation Criteria

### 5.2.1 Performance Measurements

SBA is focused on strategic planning, performance, and proven results as measured by each SBDC's achievement of negotiated and agreed upon short- and long-term outputs and outcomes. SBDCs are expected to provide in-depth, substantive, longer-term, outcome-oriented counseling and training for greater economic impact measured by the creation and retention of businesses and jobs, capital infusion and increased company revenues.

SBA has identified the following performance goals for the SBDC program:

- Number of Single-year, Long-Term Clients (5 hours or more of counseling, contact and prep time);
- Number of new businesses created; and
- Dollar Amount of Capital Infusion, which includes SBA loans, non-SBA loans and equity investment.

Additional performance measures that will be reported to SBA but not goaled:

- Number of jobs created, and
- Number of jobs retained.

Data integrity, and the verification and validation of performance results are an SBA priority, as well as provide the ability to attest to the quality and impact of the program.

Performance goals are negotiated annually between the SBDC and the District Office. If the goals are in alignment with appropriate indices, they will be accepted by OSBDC and incorporated into the SBDC Notice of Award. When circumstances warrant, OSBDC will work with the District Director and the SBDC to adjust performance goals.

### 5.2.2 Important Priorities for SBDC Recipients in CY 2016:

- Promoting an inclusive vision of entrepreneurship, one that draws entrepreneurs of all demographics, backgrounds and locations into the SBDC for business assistance.
- Providing both new-to-export and ready-to-export training and assistance.
- Providing contracting and procurement assistance, e.g., 8(a).
- Providing assistance to veterans including:
  - marketing SBA's Military Reservist Economic Injury Disaster Loan program;
  - participating in the Department of Defense (DOD) Yellow Ribbon Reintegration and Transition Assistance Programs: and

- working in collaboration with the SBA District Office and Office of Veterans Business Development, to support the Boots to Business training initiative.
- Assisting small businesses to prepare business continuity/disaster readiness plans.
- Participating with SBA/ASBDC to develop and assess counselor core competencies nationwide.

## **6.0 Section VI - Award Administration Information**

### **6.1 Future Award Notification**

Recipient Organizations will be notified of annual funding status.

### **6.2 Administrative and National Policy Requirements**

All successful Applicants will be required to comply with the requirements set forth in Section 21(a)(4)(C)(viii) of the Small Business Act (15 U.S.C. § 648(a)(4)(viii)) and 13 CFR Part 130 et seq.; 2 C.F.R. Part 200; the Assurances for Non-Construction Programs (SF-424B); and the terms and conditions set forth in their Notices of Award. SBA may advise Applicants under this Announcement of new legal requirements and/or statutorily authorized policy initiatives with which they must agree to comply.

### **6.3 Reporting**

#### **6.3.1 Required Data Collection System - EDMIS**

All SBDC's are required to report program data through SBA's data collection system (currently EDMIS). EDMIS serves as a centralized data collection system. While SBDCs may, if they feel the system meets all of their MIS needs, use EDMIS as their primary MIS, they may also choose to maintain existing or complementary systems should they individually require more extensive data collection needs than that of the SBA.

All SBDCs must be fully capable of either manually entering data or uploading batch files to SBA's data collection system (EDMIS). SBDCs are required to upload all data they have collected via the SBA approved data collection tools (Form 641 and Form 888) except as precluded by statute.

### **PIMS Maintenance:**

SBA requires Lead Center SBDCs to maintain their Lead Center and Service Center information in SBA's Partner Identification Management System (PIMS), which interfaces with EDMIS. OSBDC will use PIMS to validate the network listing. Further information regarding the PIMS system will be given to the selected Applicant.

### **6.3.2 Required SBA Reports**

All SBDC recipients must provide the required reports to SBA by the established deadlines. Failure to file timely reports may result in withholding of reimbursements.

The required reports are:

1. SBDC Quarterly Counseling and Training Reports (EDMIS submission)
2. Financial Reports, including SF-425 with required attachments
3. Performance Reports
4. Economic Impact Data Report (EDMIS submission)
5. Program Income Report (SBA Form 2113 and required attachments).

#### **6.3.2.1 SBDC Quarterly Counseling and Training Reports (EDMIS Submission)**

Due no later than one month plus 5 working days after the close of each quarter.

All data collected from the Form 641 (except as precluded by statute) are to be reported through EDMIS as part of this quarterly reporting requirement.. Files must contain complete information for all fields. The EDMIS system stores this client specific information and is capable of generating reports on the data.. The 641 is designed to collect client specific data. As such, it is recommended that all fields be as complete as possible. Non-mandatory fields must be completed when data is available, including but not limited to job creation and retention data, gross sales, export sales, government contracting and other economic impact data. Economic Impact data that is collected on the 641 should also be included in the Economic Impact Report in EDMIS. The most current version of approved client definitions is available on [www.sba.gov/edmis](http://www.sba.gov/edmis). Other documentation regarding EDMIS is also available at this site.

### **6.3.2.2 Financial Reports**

Lead Centers must submit the SBDC Financial Report including Standard Form 425, signed by the authorized representative of the Recipient Organization, concurrently to their SBA Project Officer, Program Manager, and Grants Management Officer electronically, in PDF format. A Recipient's failure to comply with this requirement in a timely manner can result in delayed processing of payment requests. .

#### **1. Quarterly Financial Reports.**

The Utah SBDC Recipients will be required to submit quarterly reports for the first three years of operation. Quarterly reports are due no later than 30 days after the close of the first, second and Quarterly Performance and Financial Report must include:

- i) SF-425 signed by authorized official of the Recipient organization;
- ii) Spreadsheet in support of the SF-425;
- iii) Budget vs. Actual Expenditures
- iv) Schedule of indirect cost reporting, federal portion and waived indirect on the SF-425 – showing actual indirect costs.

#### **2. Final Financial Reports**

Due no later than 90 days after the end of the calendar year cycle for the SBDC Recipient.

The Final Financial Report must include:

- i) SF-425, signed by authorized official of the Recipient Organization;
- ii) Spreadsheet in support of the SF-425;
- iii) Schedule of indirect cost reporting, federal portion and waived indirect on the SF-425;
- iv) Budget vs. Actual Expenditures (see description below under Annual Performance Report, Section 6.3.2.3 item 2 (ii))
- v) SBA Form 2113
- vi) Spreadsheet in support of the SBA Form 2113

The SBDC must report all unliquidated obligations (if any) on Form 425 and obligations must be liquidated no later than 90 days after the end of the annual budget period. The total amount of unliquidated obligations must include:

- Recipient share - Cash match disbursements and non-cash indirect match.  
**Note:** The SBDC must report all Recipient shares of outlays; cash, in-kind and waived portion of indirect. The waived portion of indirect cost should not be included as in-kind match.
- Federal share – Federal direct disbursements and indirect claimed as federal reimbursement.

Any documentation the SBDC submits, in addition to what is required, must be cited in the remarks section on Form 425, indicating what is being submitted and why. Extraneous documentation not cited will be discarded and not included in the official grant file.

### 6.3.2.3 Performance Reports

Performance Reports must address the SBDC's progress towards meeting the major activities, objectives and performance goals from the approved proposal in a brief narrative. It should also include a discussion of issues the SBDC believes may impair its ability to achieve these items by the end of the budget period accompanied with proposed actions for improvement. These Reports must be a summary of the activities, events or achievements in these reporting categories with accompanying management analysis. They must not be a recitation of actual events, center-by-center.

#### 1. Quarterly Performance Report.

Due within 30 days after the end of the quarter for the first three years of operation.

The SBDC must submit an electronic version of the Quarterly Performance Report in Word format to the SBA Project Officer and Program Manager. Reports **must not exceed 25 pages if at all possible** and must include all attachments and data set forth below and in the Notice of Award. To avoid problem with electronic email size limitation, transmission of electronic reports should not be over 5MB.

The Project Officer must complete the Grant/Cooperative Agreement Monitoring Statement and furnish a copy to the OSBDC Program Manager.

#### 2. Annual Performance Report:

Due within 90 days after the close of the SBDC budget period.

Failure to submit this Report accurately and in a timely manner could jeopardize future funding. This Report **must not exceed 50 pages in length if at all possible**

and must include all attachments and data set forth below and in the Notice of Award.

A complete annual report includes an overall summary of the Network's efforts in delivering core services set forth in the approved proposal as incorporated in the Cooperative Agreement for the full budget period, in the form of a brief narrative description and management analysis. A summary of specific achievements in each of the reporting categories listed in section 6.3.3 is also required. The Annual Report should provide a cumulative analysis of overall performance measurements achieved as well as an explanation of those objectives or measurements not fully met along with recommendations for improvement. The Report must **NOT** be a recitation of actual events, center by center and does not substitute for a 4<sup>th</sup> quarter report. Other elements to be included are:

- i) A comparison of actual accomplishments to approved plans and performance goals set forth in the approved proposal as incorporated in the Cooperative Agreement.
- ii) A comparison of actual financial expenditures by budget category to the approved budget. Explain any instance where actual costs exceeded budgeted amounts.
- iii) A description of any new resources developed by the SBDC.
- iv) Changes in key personnel, Service Centers and sub-recipients that occurred during the program year.
- v) Economic impact data (e.g. jobs created and retained, taxes paid, growth in sales and customer satisfaction).

The SBDC must provide an electronic version of the Annual Performance Report to the SBA Project Officer and Program Manager in Word format within 90 days of completion of the budget period. *(Unless otherwise notified by SBA, this Report should be in the same format as the Quarterly Report and should represent the consolidated effort of the entire SBDC network. Third and fourth quarter information should be included as necessary).*

#### **6.3.2.4 Economic Impact Data Report**

Report is due within 30 days of the close of the SBDC budget period. Calendar year-end impact data reporting is required to be collected from the SBDC Lead Center and reported through the appropriate data entry screen in EDMIS.

A summary table and narrative discussion of annual economic impact results must also be incorporated in the Annual Performance Report. See "Reporting Category Definitions, Category 1700," below for more information.

### 6.3.2.5 Economic Impact Reporting

	<b>Quarterly Economic Impact Data Reporting to EDMIS</b>	<b>Annual Economic Impact Data Report</b>	<b>Quarterly Performance Report</b>	<b>Annual Performance Report</b>
How to Submit	Uploads to EDMIS from Form 641	Input via EDMIS Impact Screen*	Include Summary Table and discussion under Category 1700 Economic Impact	Include Summary Table and discussion under Category 1700 Economic Impact
Date Due	30 days after close of each Quarter through EDMIS	30 days after close of budget period	30 days after the end of a quarter for SBDCs in their first 3 years of operation	90 days after the close of the budget period
Updates on counseled clients who opened a business	√		√	
SBA Guaranteed Loan Data	√	Include 641 data	√	
Non-SBA Loan Data	√	Include 641 data	√	
Equity Capital Data	√	Include 641 data	√	
Jobs Created	√	Include 641 data	√	
Jobs Retained	√	Include 641 data	√	

Growth in Sales	√	Include 641 data	√	
Tax Revenue (State)		√	√	
Tax Revenue (Federal)		√	√	
Export Sales	√	Include 641 data	√	

\*Impact data at a minimum should reflect what was included on the 641 but may be greater based upon additional impact from training efforts provided to clients.

### 6.3.3 Reporting Category Definitions

It is recognized that a new recipient of the SBDC award in the state of Utah will not be able to complete this requirement at the outset. However, any information should be attempted to be gathered.

SBDC Performance Reports must summarize accomplishments in each of the following categories of activity. It is recommended that each report present data in the order listed below. All Performance reports must include a summary of SBDC program accomplishments in each of the categories below. Information on specific information to be included for each category is presented below. When reporting on any item, you must include results/impact of activities. (Example: *Provided procurement contract matches to 100 clients, of which 50 received awards totaling \$50 million. This moved the state from 49th place to 45th place in receipt of government contracts.*)

Category	Definition
0100 CAPITAL FORMATION	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• Develop or assist in developing capital for small businesses (e.g., loans, microloans, grants, Community Express).</li> <li>• Developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.</li> </ul>
0200 INNOVATION, TECHNOLOGY TRANSFER AND	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• Identifying innovation and technology developed by the Federal</li> </ul>

<p>TECHNOLOGY ASSISTANCE</p>	<p>Government and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability.</p> <ul style="list-style-type: none"> <li>• Transferring expertise and equipment available from the Federal Government to the private sector.</li> <li>• Transferring innovation and technology from business to business, SBIR activities, etc. Note in particular, any collaboration with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act and other environmental assistance activities.</li> <li>• Providing information and education on the use of technology in everyday business activities or processes.</li> </ul>
<p>0300 INTERNATIONAL TRADE</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Current # of SBDC staff that have attained certification for export assistance at intermediate or advanced level (CGBP). Include employee name, level and date of certification.</li> <li>• Promoting increased exports by small businesses such as: supporting US Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance including co-partnership events; providing rural export assistance; partnering with public and private sector organizations involved in export development; data base development; match services and market research; rural exporting and participating in World Trade Week.</li> <li>• Data reported for the following categories (from Form 641/EDMIS): <ul style="list-style-type: none"> <li>○ # of small businesses receiving export assistance from the SBDC.</li> <li>○ # of small businesses that started to export (New to Export) after receiving SBDC assistance and to what markets.</li> <li>○ # of small business exporters that entered new foreign markets (New to Market) as a result. result of SBDC assistance</li> <li>○ Increase in export revenues attributed to SBDC assistance</li> <li>○ Jobs created or retained as a result of exporting assistance.</li> <li>○ # of small businesses referred to Departments of Commerce, Agriculture, State, Ex-Im Bank, OPIC, USDA for trade assistance.</li> </ul> </li> </ul>

0400 PROCUREMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>Fostering opportunities for increasing small businesses' share of procurement dollars spent by the government and private sector through conferences, computer matching services such as SBA's "Business Matchmaking," assistance to Certificate of Competency businesses and prime contractor outreach.</li> </ul>
0500 MANUFACTURING	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>Assistance to manufacturing companies or their employees, including displaced manufacturing workers. Can include efforts and support to troubled companies, companies challenged by foreign competition, NAFTA and foreign labor alternatives. This may also include cooperation efforts with other local organizations or government units concerned with manufacturing issues such as the National Institute of Standards and Technology's (NIST) Manufacturing Extension Partnership (MEP) Program.</li> </ul>
0600 SPECIAL EMPHASIS GROUPS	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>Assistance to: people with disabilities; Native Americans; young entrepreneurs; older adults, targeted associations; industry groups and other groups identified by SBA and/or the SBDC. (Note: Report minority, veteran and service connected-disabled veteran and women's efforts separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business and Women Owned Businesses.)</li> </ul>
0700 MINORITY SMALL BUSINESS DEVELOPMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>Helping minorities participate in the free enterprise system such as: working on Asian American initiatives; Black or African-American initiatives; Hispanic American initiatives; Native American initiatives; Native Hawaiian or Pacific Islanders initiatives; assisting 8(a) clients in the developmental stage and other stages; and, linking minority clients with other assistance opportunities and conferences.</li> </ul>
0800 WOMEN-OWNED BUSINESSES	<p>Describe briefly collaboration the Women's Business Centers (WBCs) and any seminars or specialized counseling approaches or other activities aimed at women entrepreneurs.</p>

<p>0900 VETERANS, RESERVISTS, SERVICE-DISABLED VETERAN-OWNED BUSINESSES AND ALL OTHER MEMBERS OF THE U.S. MILITARY</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Assistance targeted toward veteran and service connected-disabled veteran owned businesses, as well as Reservists and National Guard members called to active duty, such as: Veteran Entrepreneurial Training Programs; coordination with Veteran Business Outreach Centers; providing Veteran Entrepreneurial Training Programs, include marketing the availability of the EBV, V-WISE and Operation Endure and Grow programs managed by the SBA Office of Veterans Business Development; summits for veteran business owners; activities in conjunction with the Department of Veterans Affairs Vocational Rehabilitation and Employment Services; Employer Support of the Guard and Reserve (E.S.G.R.) and National Guard State Adjutants; DELTA Program; marketing and assistance for the Military Reservist Economic Injury Disaster Loan program; Patriot Express program; base closings and RIF counseling; and, DOD or DOL Transition Assistance Program (TAP) seminars and DOD Yellow Ribbon Reintegration Program events.</li> </ul>
<p>1000 RURAL ASSISTANCE</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Marketing, technical assistance and service delivery strategies that will enable rural businesses to better compete in the domestic market, including information and assistance in obtaining financing for business startups and expansion in rural areas</li> <li>• Assistance to increase participation of rural businesses in exporting, government procurement, tourism, access to credit, incubators, innovation and technology and other small business programs, in cooperation with the U.S. Department of Commerce (DOC) and other relevant federal agencies</li> </ul>
<p>1100 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory.</li> <li>• Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators.</li> <li>• Activities aimed toward assisting small business and community economic development organizations such as providing counseling, training and outreach to community organizations, churches or other such entities with a significant focus on supporting the needs of small</li> </ul>

	businesses.
1200 RESEARCH	Demonstrate delivery of the following:  Research efforts aimed toward assisting small business and economic development such as database development and needs analysis.
1300 ON-LINE ACTIVITY	Demonstrate delivery of the following:  Activities and accomplishments which demonstrate use of web-based technology to enhance direct client service delivery such as: the use of on-line counseling (e-mail and real-time) and training; on-line expert systems or diagnostic tools to identify needed services; audio or video streaming; electronic registrations and scheduling; webinars; and other targeted uses of the Internet to facilitate delivering information to clients more cost effectively.
1400 OTHER ACTIVITY	Provide information regarding any efforts that do not fit in the categories above. Describe and provide information about any SBDC “best practices” to be used by SBA and archived in the Clearinghouse. This also may include dissemination of basic business information as well as any specific information requested by the SBA Project Officer and mutually agreed upon with the SBDC Lead Center Director.
1500 SUCCESS STORIES**	Report at least three examples of assistance provided in which tangible results occurred. Include a description of the business, the problems encountered, the assistance provided, the resources used, and the actual or expected results including economic impact. A signed statement from the success story client(s) of his/her consent for use of the success story by SBA must be kept on file. (SBA can provide a sample form if one is not available locally.)
1600 ADVOCACY	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• Support for small business interests within the SBDC's jurisdiction to improve the climate for small business and contribute to the vitality of the small business sector.</li> <li>• Include, as appropriate: public speeches, testimonies before state and/or federal legislatures and small business week activities.</li> </ul>

1700 RESOURCE DEVELOPMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Collaborating with funding or other partners to assist the SBDC in its mission through recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training and outreach efforts.</li> <li>• Any increase in match funding or other new program resources achieved during the reporting period</li> </ul>
1800 COLLABORATION AND LEVERAGING	Address key partnerships and collaborations throughout the network and the type of interaction or relationship enjoyed. Include participation in federal interagency collaboration efforts such as E3, Regional Innovation Cluster (RICS) or broadband efforts.
1900 UNPLANNED TRAVEL**	Provide a description of any unanticipated or unbudgeted out-of-state travel for Lead and Service Centers not disclosed in the Cooperative Agreement. Note that prior approval is required for out of state and foreign travel that exceeds or was not included in approval budget.
2000 KEY PERSONNEL CHANGES**	Provide description of new key personnel (Lead Center Director, Associate Director, Center Directors, and PIMS designee) not included in the proposal, including name, position, date of hire and resume. Also indicate any key personnel vacancies and anticipated fill date.
2100 PROBLEMS**	Provide a description of any and all problems that have significant impact on the program or program objectives.
2200 BUDGET TO ACTUAL COMPARISON**	<p>Provide a comparison of actual program expenditures to date to the approved budget, by budget category, and an explanation for any significant variances.</p> <p>Note that SBDC must also furnish copies of SF-425, SBA Form 2113 and any requested attachments as required.</p>
2300 ECONOMIC IMPACT**	<p>Provide a table showing comparison of negotiated performance goals for Long Term Clients, New Business Starts and Capital Infusion to actual accomplishments achieved during the reporting period, and include a management analysis of results.</p> <p>SBDC Annual Report must also include in this section the most recent economic impact survey data generated from the assistance you have given your clients using the following format.</p>

	<ul style="list-style-type: none"> <li>• # of New Businesses Created: _____</li> <li>• Loans: SBA # _____ \$ _____  Non-SBA # _____ \$ _____)</li> <li>• Equity Capital \$ _____)</li> <li>• Jobs: Created _____  Retained _____</li> <li>• Customer Satisfaction: _____ %</li> <li>• Growth in Sales: \$ _____</li> <li>• New Tax Revenue: State \$ _____  Federal \$ _____</li> </ul>
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**\*\* Reporting categories only; do not use for proposal narrative**

#### 6.4 Recordkeeping Requirements

Applicants and their proposed Service Centers are required to maintain complete and accurate records and supporting documentation to facilitate a thorough SBA and ASBDC program reviews and examination. All significant clients counseling, training and other activities shall be fully documented. Applicants will support SBA’s required data collection and reporting system.

In addition to the performance, financial and program reports already mentioned in this Announcement, SBDCs must maintain the following reports:

##### 6.4.1 Counseling Activity

All SBDCs are responsible for reporting all counseling activities on SBA Form 641, "Counseling Information Form" or an equivalent form that supports SBA’s management information database. A client will be counted once in a federal fiscal year with reporting to include both the number of sessions and the number of hours spent with the client. Copies of these forms or an electronic signed copy must be available for review by the SBA when requested.

On-line counseling must meet the standards identified in the client definitions and there must be a signed SBA Form 641 or its equivalent that supports SBA’s management information database.

#### **6.4.2 Agreement**

Each client is required to sign a request for assistance, SBA Form 641 or equivalent, and must be shown the following statement:

"I request business counseling service from the Small Business Administration (SBA) or an SBA Resource Partner. I agree to cooperate should I be selected to participate in surveys designed to evaluate SBA services. I permit SBA or its agent the use of my name and address for SBA surveys and information mailings regarding SBA products and services (Yes/No). I understand that any information disclosed will be held in strict confidence. (SBA will not provide your personal information to commercial entities.) I authorize SBA to furnish relevant information to the assigned management counselor(s). I further understand that the counselor(s) agrees not to: 1) recommend goods or services from sources in which he/she has an interest, and 2) accept fees or commissions developing from this counseling relationship. In consideration of the counselor(s) furnishing management or technical assistance, I waive all claims against SBA personnel, and that of its Resource Partners and host organizations, arising from this assistance."

These forms shall be retained in accordance with current OMB and SBA requirements. SBDCs may use a computerized version of this Form.

#### **6.4.3 Transactions with Suspended or Debarred Entities**

SBDCs are responsible for verifying that entities (such as employees, consultants, contractors or other service providers) that are paid with program funds and clients receiving counseling assistance supported by program funds are not currently under suspension or debarment by a Federal agency. SBDCs may require clients to certify that they are not currently suspended or debarred prior to receiving counseling assistance and should retain certification records with client files.

#### **6.4.4 Training Activity**

The SBDC must use SBA Form 888 or its equivalent to document and report SBDC training activities. The agenda and/or program content, attendee list and evaluations are required for each training event. SBDC's will submit all training information from the SBA Form 888 or equivalent form quarterly to SBA's data collection system (currently EDMIS). The training information will be considered certified by the Lead Center Director when uploaded into EDMIS. The SBA Form 888 or similar program developed form must be maintained at the SBDC for review by the SBA when requested.

##### **6.4.4.1 Multi-Session Training:**

For courses with multiple sessions, each session may count as one course. Sessions must correspond with the minimum training duration identified in the definitions listed in Section 8.1.36 below. SBA's management information system collects both the number of sessions and hours for the course.

#### 6.4.4.2 On-line Training:

An SBA Form 888 is required for all on-line training events. At a minimum, the following fields should be completed on a registration form for on-line training: i) Client Name or approved client-coded name/number; ii) E-mail Address; and iii) Zip Code.

In addition, every attempt should be made to collect these data:

- Race.
- Ethnicity.
- Gender.
- Disability.
- Veteran Status.
- Military Status

#### 6.4.4.3 Co-hosted (Collaborative) training:

When reporting training numbers for a co-hosted training, the hosts (SBA and ED resource partners) must work together to determine how to equitably divide the number of clients among themselves.

*Examples involving multiple resource partners contributing to a single training event:*

- If each resource partner contributes a significant amount of presentation time (defined as one hour or more per partner), then each host could count all attendees.

Accordingly, if five partners co-hosted a training event with five hours of total presentation time (each partner delivering training for at least one hour) and 15 persons attended the event, each partner could count fifteen persons trained for one hour each.

- If each partner puts in less than one hour (per partner) of presentation time, the attendee count would be divided among the hosts based on mutual agreement.

Accordingly, if five partners co-hosted a training event with 1.5 hours of total presentation time (each partner delivering training for less than one hour) and fifteen persons attended the event, the partners would negotiate how to divide the number of attendees (e.g. each partner could count three persons trained for 1.5 hours).

#### 6.4.5 SBDC Client Evaluation Forms

Evaluations must be solicited from SBDC clients who receive continuous counseling or attend an SBDC training event. All SBDCs should develop internal procedures to ensure that these evaluations

are performed on a regular basis and retain these documents on file. Client satisfaction rate data must also be reported in Annual Report and Economic Impact Report field in EDMIS. See Sections 6.3.2.5, Economic Impact Reporting, and 6.3.3, Reporting Category Definitions, 1700 Economic Impact, for guidance.

#### 6.4.6 Financial Recordkeeping

An SBDC must maintain the documentation for year-end Standard Form 425 Financial Report as required by OMB Circulars and SBA Regulations. SBDC Lead Centers and Service Centers that manage other non-SBDC funds (i.e. not included in the Proposal or SBA Cooperative Agreement) must maintain separate ledgers and transaction journals for the SBDC financial activity to ensure a clear audit trail of the financial resources used under the SBDC Cooperative Agreement as required by 2 C.F.R. §200.302. SBDC expenditures of federal, matching and program income must be accounted for separately from other center resources. In addition, funds must be identifiable to the program year for which they were provided. Funds that were approved as a “carryover” from a previous program year also must be maintained and reported separately. SBDCs must maintain support documents for SBA Form 2113 and SF-425s. This support should consist of at a minimum:

- A spreadsheet that reconciles the SF-425 and the disbursement journals at the Lead Center and Service Center(s). This applies to the Lead Center only.
- Support for all charges to the Cooperative Agreement, but not limited to the disbursement ledger, vendor invoices, canceled checks and journal entries.
- The expense reimbursement invoices submitted from the Service Centers and any related supporting documentation (i.e. disbursement ledgers, comparison of actual to budgeted expenditures). This applies to Lead Center only.
- Any agreement(s) related to matching costs.
- Support for program income receipts and expenditures including receipt and disbursement journals.
- Salary and wage records for SBDC employees charged to the Cooperative Agreement (Both Recipients and Sub-recipients must maintain the appropriate standard per 2 C.F.R. Part 200) to document costs for full-time and part-time personnel allocated to the program. This may include, but is not limited to, time and effort certification, appointment letters or contracts, performance reviews, payroll journals and/or activity reports. The records should be incorporated into the official records of the institution.)
- **Support for in-kind costs:** Contributions, when used as match, must be documented showing the name of donor, phone number, signature of donor, date of donation, justification of the value of goods or services (hours with labor rate of services) and narrative description of service provided or item donated. OSBDC implemented the following policy regarding in-kind contributions:

- Contributions may include, but are not limited to, cost items such as time and materials, office space and equipment.
- A bona fide contribution exists and may be claimed when the source of the donation has no reasonable expectation of compensation such as a requirement that the contribution be made as a provision in a contract or purchase order for the products or service.
- Paid SBDC staff (i.e., host employees) are not eligible sources of in-kind contributions over and above the remuneration of salaries and benefits provided by the Host Organization.
- SBDC support documentation must include the following: dated and signed statement from the donor identifying the specific nature of the donation, contact information and indicating that no additional remuneration is expected. Donor documentation may resemble an invoice with those provisions.
- The SBDC must document the annual basis for valuing the donation in a clear manner such as the following: three bids or quotes in response to a competitive procurement process for similar cost items; sales literature, price catalogs; published schedules; or documented pricing for similar cost items previously paid for by the Host Institution.
- The total value of paid and donated services from each donor must represent a reasonable value to the government and be consistent with the procurement policies and standards of the Host Institution.

## 7.0 Section VII - Agency Contacts

### 7.1 Small Business Development Center's Program Point of Contact

Questions concerning general information, budgetary matters or the technical aspects of this Program Announcement should be directed to the SBA Office of Small Business Development Centers at 202-205-6766 or [. osbdc@sba.gov](mailto:osbdc@sba.gov).

**Only eligible entities should contact the SBA. See Section 3.2 of this Program Announcement for eligible entities.**

### 7.2 Grants.gov Technical Support

For technical support with filing an electronic application in response to this Announcement, contact the Grants.gov help desk at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). **Grants.gov is not a system owned or operated by the SBA.**

**See Section 3.2 of this Program Announcement for eligible entities.**

## 8.0 Section VIII - Other Information

### 8.1 Definitions

The following definitions apply to awards made under this Announcement (see 13 CFR Part 130 et seq. for additional definitions relating to the Small Business Development Center):

#### 8.1.1 Applicant

An eligible organization within the boundaries of the state of Utah only that applies for funding under this Program Announcement.

#### 8.1.2 Budget Period

The 12-month period, in which expenditure obligations are incurred by an SBDC network, coinciding with either the calendar year. For the purposes of this Announcement, the initial budget period will be from d January 1, 2016 to December 31, 2016.

#### 8.1.3 Businesses Created, Number of (Reporting)

Computed by EDMIS, businesses are considered “Created” if, at the previous session (whether in the current fiscal year or a past one), the client was not “in business,” and at a subsequent session or update (in the fiscal year being reported) was “in business” (Form 641). See 8.1.6 for definition of “in business”.

#### 8.1.4 Capital Infusion

- *Dollar Amount of SBA Loans*
- *Dollar Amount of non-SBA Loans*
- *Dollar Amount of Equity Capital (to include private investment)*

Capital infusion includes all forms of debt and investments from all sources (i.e. lines of credit, consumer debt products used specifically for the business, angel investors, owner’s capital contributions, etc.). Credit lines and other revolving debt facilities/instruments are to be recognized for the full amount of the line of credit when established and not to be based on individual draw-downs.

#### Reporting Capital Infusion

Capital infusion will be tracked throughout each fiscal year and compiled from year-to-year to collect aggregate data. Capital infusion is the aggregate amount from Form 641, \$ Total Amount of SBA Loans, \$ Total Amount of non- SBA loans and \$ Amount of Equity Capital Received. Capital

infusion shall be reported, client-by-client, once it is known as an update on Form 641 and uploaded to EDMIS on a quarterly basis.

#### **8.1.5 Contact Hours**

The amount of time spent directly counseling/interacting with a business or individual client.

#### **8.1.6 Client**

The client is the business, if it exists. In the case of a prospective business, the client is the individual (i.e. nascent entrepreneur or pre-venture) receiving SBDC services. Each client will be counted only once in a fiscal year, and the reporting will include both the number of sessions and the number of hours spent with the client. There are three types of clients:

- a. Nascent (Pre-venture) Entrepreneur: those individuals who have taken one or more active steps to form a business, according to the Kauffman Foundation ([www.kauffman.org](http://www.kauffman.org)). This includes individuals seeking assistance from SBA and/or one of its resource partners.
- b. In-Business: An “in business client” is defined as one that has completed required registration(s), if applicable, with the local, state, and/or Federal Government (e.g., DBA registration, get a business license, agency issued tax identifications, etc.) AND at least one of the following:
  - Has documented a transaction from the sale of a product or professional or personal service for the purpose of gain or profit;
  - Has contracted for or compensated an employee(s) or independent contractor(s) to perform essential business functions;
  - Has acquired debt or equity capital to pursue business operations (e.g., to purchase inventory, equipment, building, business, etc.); or,
  - Has incurred business expenses in the operation of a business.
- b. Start-up: those individuals (entities) who have been in business up to 12 months.

#### **8.1.7 Contributions/Donations**

Funds received by the SBDC may be used as match or overmatch in the year expended. Federal funds or amounts reported as match may not be used as contributions to others.

#### **8.1.8 Consultation/Counseling/Advising/Guidance**

**Services provided to an individual and/or business that are:**

- a) substantive in nature and require assistance from a resource partner or District Office personnel in the formation, management, financing, and/or operation of a small business enterprise; AND
- b) 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.

**Counseling is one-on-one, in person (face-to-face), on the telephone or electronic. To allow for reporting of time invested in a client, preparatory time will be tracked separately from contact time but attributed toward counseling time in data reporting. Travel time will not count toward counseling time but will be tracked separately.**

- SBDCs must provide counseling to both current and nascent entrepreneurs (pre-venture).
- An SBDC's counseling clients should be reflective of its area's demographics. SBDCs must assist small businesses in solving problems concerning operations, manufacturing, engineering, technology exchange and development, personnel administration, marketing, sales, merchandising, finance, accounting, business strategy development and other disciplines required for small business growth and expansion, innovation, increased productivity, management improvement and maintaining the industrial base.
- Fees for counseling may not be charged, including in-kind.
- Each client will be counted once in a fiscal year, with the reporting to include both the number of sessions and the number of hours spent with each. If multiple people participate from one business, only one person will complete SBA Form 641. The counselor will note how many people were in attendance so that the number of people served can be tracked. This will only be collected on the initial SBA Form 641.

**8.1.8.1 Face-to-face Counseling (in person):** Meets the definition of "counseling" and includes any counseling session thereafter regardless of time. The recipient of the counseling must acknowledge, through an SBA Form 641 or an SBA approved "electronic substitute," the requirements imposed by accepting counseling assistance from the SBA or its resource partner(s). The initial face to face counseling session must be no less than 60 minutes.

**8.1.8.2 On-line Counseling (electronic):** Meets the definition of "counseling" and the recipient of the counseling must acknowledge, through an SBA Form 641 or an SBA approved "electronic substitute," the requirements imposed by accepting counseling assistance from the SBA or its resource partner(s). Initial on-line counseling must be no less than 30 minutes (can include prep time in this initial consultation).

- Reporting On-line Counseling: At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute:
  - Client Name or approved client-coded name/number

- Email Address
- Zip Code

- SBA Form 641 or an equivalent form that supports SBA’s management information database may be completed electronically by the client in SBDC programs with the capability to accept verified electronic signatures. In states that do not accept electronic signatures, the SBDC must obtain a form with the client’s original signature.

8.1.8.3 **Telephone Counseling:** Meets the definition of “counseling” and the recipient of the counseling must acknowledge, through an SBA Form 641 or an SBA approved “electronic substitute,” the requirements imposed by accepting counseling assistance from the SBA or its resource partner(s). The initial telephone counseling session must be no less than 30 minutes (can include prep time in this initial consultation).

- Reporting Telephone Counseling: At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute:
  - Client Name or approved client-coded name/number.
  - Telephone Number.
  - Zip Code.

8.1.8.4 **Long-Term Counseling (contact and prep time):** Meets the definition of “counseling” and requires the SBDC to provide five or more counseling hours of contact and prep time per individual or business during the fiscal year being reported.

### 8.1.9 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.

### 8.1.10 Distance Learning

Distance learning is the process of connecting clients with remote and multiple resources. The technologies used include video, audio, computer, satellite, audio-graphic and print technologies.

### 8.1.11 Electronic Commerce (e-Commerce)

Electronic commerce refers to all aspects of business and market processes enabled by the Internet and other digital technologies.

### 8.1.12 Employee

For purposes of the export counseling certification requirement, this definition consists of all professional (counseling and training) staff. This includes contractors (consultants) hired for counseling and training purposes. SBDCs shall use the full time equivalent total for counseling and training staff as the basis for calculating the minimum number of export certified staff required.

#### **8.1.13 Equity Capital**

Equity contributions to the business as reported on Form 641. Includes all funding (except loans) obtained by clients attributed to SBDC assistance including: grants, SBIR awards, equity investments (private and owner), etc.

#### **8.1.14 Goals and Initiatives**

Goals are negotiated between the SBA District Office and the SBDC and approved by OSBDC in the Cooperative Agreement. Initiatives are shorter term items of interest or may include populations designated by SBA for special emphasis.

#### **8.1.15 Grants Management Officer (GMO)**

The OSBDC official with delegated authority to obligate federal funds by signing the Notice of Award is the GMO. Also referred to herein as the Grants Management Specialist

#### **8.1.16 In Business**

See also definition of *Client*.

#### **8.1.17 In-Kind**

A non cash match contribution based on the value of goods and services that are provided to the project, which may include office equipment and office space.

#### **8.1.18 Key Personnel**

Key personnel include Lead Center and Service Center directors or managers, including personnel for specialized SBDC programs focusing on technology, designated International Trade center personnel and contact designated to maintain PIMS information. It does not include trainers, consultants, counselors or support staff.

#### **8.1.19 Loan Package**

A collection of documents required by a lender used to make a business loan approval decision.

#### **8.1.20 Nascent Entrepreneur (Pre-Venture)**

An individual that has taken one or more active steps to form a business is a nascent entrepreneur. An individual who seeks assistance from SBA and/or one of its resource partners meets this definition. See Client.

#### **8.1.21 Pre-business Workshop**

A training program designed for individuals interested in owning and managing a small business or small business owners who have been in operation up to 12 months.

#### **8.1.22 Prep Time**

The amount of time spent preparing and researching information for a business or individual client. To allow for reporting of time invested in a client, preparatory time will be tracked separately from contact time but attributed toward counseling time in data reporting.

#### **8.1.23 Program Funds**

Includes all SBA/SBDC federal funds, all match contributions, cash and non-cash, and program income. It does not include other funds managed by the SBDC outside the SBA Cooperative Agreement.

#### **8.1.24 Program Income**

Gross income earned by the recipient that is directly generated by an activity supported with project funds or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award and license fees and royalties on patents and copyrights.

#### **8.1.25 Project Period**

The total annual period of performance for an award made under this Program Announcement.

#### **8.1.26 Recipient Organization**

An Applicant organization for which federal funding is approved to establish a SBDC network Lead Center and which enters into a cooperative agreement with SBA.

#### **8.1.27 Reporting Cycle**

The reporting cycle for performance data is based on the Federal Government's fiscal year. Data must be reported to SBA based on the four quarters that occur during October 1 – September 30.

#### **8.1.28 SBDC Satellite Locations**

A geographic point of service delivery that operates on a part-time basis under direct management of an SBDC Lead Center or Service Center Director and usually is not set in a fixed location.

#### **8.1.29 SBDC Network/SBDC Program**

The “network” is the combination of the Lead Center, SBDC Service Centers and satellite locations.

#### **8.1.30 SBA Resource Partners**

Organizations that provide services through SBA funding or through another recognized relationship with SBA. Resource partners include SBDCs, Service Corps of Retired Executives (SCORE), Veterans Business Outreach Centers (VBOCs), Women’s Business Centers (WBCs), U.S. Export Assistance Centers (USEACs), the SBA Microloan Program micro-lenders and non-lender technical assistance providers and SBA Co-sponsorship and Memorandum of Understanding partners.

#### **8.1.31 SBDC Service Center**

An entity authorized by the Lead Center to perform SBDC counseling and training services.

#### **8.1.32 Small Business**

##### **A business entity:**

- a. that is independently owned and operated, is not dominant in its field of operation, is organized for profit with a place of business located in the United States, and operates primarily within the United States; and
- b. that does not exceed the applicable size standard for its industry as established under 13 C.F.R. § 121. In general, the most common size standards are:
  - 500 employees for most manufacturing and mining industries.
  - 100 employees for all wholesale trade industries.
  - \$33.5 million in average annual receipts for most general & heavy construction industries.
  - \$14 million in average annual receipts for all specialty trade contractors.
  - \$7 million in average annual receipts for most retail and service industries.
  - \$0.75 million in average annual receipts for most agricultural industries.

#### **8.1.33 Special Emphasis Groups**

Groups whose members are underrepresented in the population of business owners compared to their representation in the overall population. Special Emphasis Groups may include: disabled

individuals, Native Americans or Alaska Natives, Black or African Americans, Asian Americans, Native Hawaiians or other Pacific Islanders, Hispanics, women, veterans, service connected-disabled veterans, self-employed Reserve and Guard members, transitioning military personnel and spouses, individuals in rural areas, individuals in HUBZones and individuals in low to moderate income urban and rural areas as determined by Census Bureau information, among others.

#### **8.1.34 Start-Up Business**

A business entity that has been in business up to 12 months is considered a start-up business. See also definition for Client.

#### **8.1.35 Technical Assistance**

Counseling or training services provided to an individual and/or business in accordance with the terms of this Program Announcement and a Recipient's Notice of Award.

#### **8.1.36 Training (Including long-term training)**

An SBDC training workshop or seminar is defined as an activity or event in which a counselor from the SBDC, another resource partner, District Office, and/or a third party actively 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 clients in attendance.

##### **8.1.36.1 On-line training (or webinars):**

Is a structured program of knowledge, information or experience on an entrepreneurial or business-related subject. It must be of a quality and substantive nature, and include a registration process as well as an evaluation process (e.g. 1-5 star ranking). On-line training can be synchronous or asynchronous. The training must be for a minimum of 30 minutes and a course evaluation must be made available, e.g., a resource partner provides a registration and link to the training; it can count as on-line training. (Note: must meet other criteria listed above.)

*Synchronous:* A group of clients proceed through the training module(s) or program as a group.

*Asynchronous:* A client individually proceeds through the training module(s) or program individually and is self-paced.

##### **8.1.36.2 Co-hosted Training (Collaborative)**

Meets the definition of "training" and is further defined as an activity where each host organization actively participates and contributes substantially to the training.

### **8.1.37 Training Hours (Total Number of Training Hours)**

Total hours of training are the number of hours that the trainer spends teaching the training session.

### **8.1.38 Travel Time**

The amount of time spent traveling to/from a location (separate from assigned post-of-duty) to meet with business or individual clients. If meeting with more than one client, travel time is only counted once. Travel time will not count toward counseling time, but will be tracked separately.

### **8.1.39 SBDC Lead Center**

The entity established by the SBDC Recipient Organization that has a current Cooperative Agreement with SBA to administer and operates the SBDC network. The Lead Center is responsible for establishing an SBDC network for a defined area and for overall program development, service coordination, financial management, reporting, promotion and public relations, evaluation, assessment and internal quality control over network services.

## **8.2 Guidelines**

### **8.2.1 Business Matchmaking**

SBDC's are encouraged to participate in SBA Business Matchmaking events. Business Matchmaking provides a means for small businesses to be matched with procurement representatives from government agencies and major corporations with actual contract opportunities. Business Matchmaking is offered at no cost to its participant - buyers or sellers. The events combine education and counseling by pairing expert small business advisors and topical experts with networking and matchmaking through face-to-face events. In addition to the face-to-face events, there is also the Business Matchmaking On-line Network.

### **8.2.2 Faith-Based & Neighborhood Partnerships**

SBDC's are encouraged to coordinate activities through either a contractual or partnership relationship with faith-based and other neighborhood organizations. SBDC's are also encouraged to coordinate their efforts with SBA's Faith-Based and Neighborhood Partnership initiatives designed to open government programs to these organizations to improve their communities. There are no grant funding set-asides for faith-based organizations. Instead, the Faith-Based and Neighborhood Partnership creates a level playing field for faith-based as well as other neighborhood organizations to work with the government to meet the needs of America's communities.

Lead Centers should be aware that many sectarian colleges and universities are eligible to participate in the SBDC program. In assembling and maintaining their statewide/region-wide SBDC networks, Lead Centers should be mindful of not imposing any unnecessary conditions which could

prohibit or discourage otherwise eligible faith-based or other neighborhood organizations from seeking to act as Service Centers. If a Lead Center has any question regarding particular entity's eligibility to function as a Service Center, it should contact SBA for further assistance.

### **8.2.3 Environmental Assistance**

Environmental assistance includes any activity that encourages, supports and enables small businesses to develop, market, and/or adopt environmental technologies (including pollution prevention) to achieve economic growth and environmental compliance. SBDCs are encouraged to consult with appropriate state and/or local providers of environmental technical assistance programs.

### **8.2.4 FCC Broadband Plan**

For information on the FCC broadband plan click [The National Broadband Plan: Connecting America](#) or enter <http://www.broadband.gov/> in your browser.

### **8.2.5 Financial Assistance**

SBDCs should work with their SBA District Offices to provide services that increase small businesses' access to capital. SBDCs are encouraged to develop linkages with lenders, Small Business Investment Companies (SBICs), venture capital firms, Certified Development Companies (CDCs), SBA micro-lending intermediaries and state and local finance programs.

SBDCs will assist small businesses with business plan development, financial statement preparation and analysis, cash flow preparation and analysis, source and application of funds. In addition, SBDCs, in cooperation with SBA District Offices, are expected to offer service to new SBA clients and to assist delinquent SBA borrowers who are referred to them by SBA and/or lenders to assist in problem solving, business restructuring, cost analysis, market penetration and other similar subjects.

### **8.2.6 Financial Packaging Assistance Guidelines**

SBDCs are encouraged to provide counseling services that increase a small business concern's access to capital, such as business plan development, financial statement preparation and analysis and cash flow preparation and analysis.

SBDCs should help prepare their clients to represent themselves to lending institutions. While SBDCs may attend meetings with lenders to assist clients in preparing financial packages, they may not take a direct role in representing clients in loan negotiations.

SBDCs should inform their clients that counseling assistance or financial packaging assistance does not guarantee receipt of a loan.

### **8.2.7 Financial Assistance Restrictions**

SBDCs cannot make loans, service loans or make credit decisions regarding the award of loans.

The SBDCs must not take a direct role in representing clients in loan negotiations. They should, however, help prepare their clients to represent themselves to lending institutions and may attend meetings with lenders to assist clients in preparing financial packages.

SBDCs must not advocate, recommend approval or otherwise attempt in any manner to influence SBA to provide financial assistance to any of its clients. SBDCs may not charge fees for providing assistance for financial packaging. Providing any preferential treatment to clients of any specific lender is prohibited, as is the SBDC's acceptance of payment for the provision of counseling services.

### **8.2.8 Innovation Clusters**

The Interagency Regional Innovation Clusters Taskforce (the "Taskforce") has been charged with developing a replicable and sustainable model for coordinated federal and regional efforts that foster and use regional innovation clusters to develop and demonstrate sustainable and efficient models for attaining national strategic objectives; create and retain jobs; eliminate gaps between the supply and demand for workers in specialized fields through training and education; increase regional gross domestic product (GDP); promote innovation in science and technology; and enhance the economic, technological, and commercial competitiveness of the United States on the global stage. SBDCs should participate where practical.

### **8.2.9 International Trade Services**

SBDCs will provide international trade finance and market development assistance to small businesses throughout the SBDC network. Where appropriate and to the extent possible, SBDCs will offer special programs. SBDCs shall maintain a minimum number of certified export assistance advisors in their network, as required by the Small Business Act and further defined in [SBA Policy Notice 6000-800](#). Such international trade services will be conducted in conjunction with the SBA representative at the local U.S. Export Assistance Center and other relevant federal, state and local agencies providing small business export and trade assistance.

### **8.2.10 International Trade Center (ITC)**

Where appropriate, SBDCs will establish International Trade Centers (ITCs) to focus on export assistance to small businesses. ITCs are specialty centers within the SBDC network dedicated specifically to providing international trade services. A list of these centers/locations shall be included with the proposal. ITCs must have a separately designated and full-time Director and qualified professional staff. They must have a separate budget within the SBDC and there must be

separate international trade related counseling and training milestones established in the SBDC Cooperative Agreement. Separate brochures marketing the SBDC's international services must be developed and distributed.

The ITC will coordinate and use public and private resources to provide assistance to small businesses, and particularly to those small businesses new to exporting or with export finance packaging needs.

ITCs will provide a broad range of services as appropriate and needed by the small business community, including the following:

- Assist SBA by supporting Export Assistance Centers sponsored by SBA, the Department of Commerce, the Export-Import Bank and other federal agencies.
- Assess client's export-related financing needs and assist clients in structuring and compiling necessary documentation, (i.e., business plan development, financial statement and analysis, cash flow preparation and analysis, source and application of funds, letters of credit, etc.) for export financing and particularly for SBA's Export Working Capital Program.
- Develop linkages with local lenders, SBA District Export Finance Officers, Ex-Im Bank personnel and U. S. Export Assistance Center personnel.
- In cooperation with SBA, develop an Export Trade Assistance Partnership (E-TAP) program on an annual basis for new exporters. Create an E-TAP Task Force for its development and cooperation with other appropriate private and public sector partners to provide counseling and training for this program.
- Develop and conduct seminars on opportunities and procedures involved in exporting, export finance, joint ventures, licensing, ISO 9000 and other International Standards Registration, metric conversion and so forth.
- Identify and analyze client's international trade needs, capabilities and problems and provide in-depth counseling in international trade techniques, procedures and opportunities.
- Use services available through the Federal Bar Association/SBA Agreement to assist in the resolution of client's international trade/legal problems, the Export Legal Assistance Network (E-LAN).
- Assist SBA in promoting and recruiting participants for SBA cosponsored events including those with the Department of Commerce, the Overseas Private Investment Corporation, the Agency for International Development and the Export-Import Bank.
- Assist SBA in disseminating information on trade promotion, trade finance, trade adjustment and trade remedy assistance.

#### **8.2.11 Manufacturing Assistance**

Many SBDCs partner with the Department of Commerce, National Institute of Standards and Technology's Manufacturing Extension Partnerships (MEPs) to provide specialized services to small

manufacturers. Through this partnership, a small manufacturer can receive business management assistance from the SBDC and engineering assistance from the MEPs.

All SBDCs that are partnering with the NIST MEPs are encouraged to continue this valuable assistance to small business manufacturers. SBDCs without a working partnership with the NIST MEPs may wish to pursue one. The nature of any participation with MEPs must be reported in the semiannual and annual reports to SBA.

#### **8.2.12 Military Base Closings and Reductions-in-Force**

In those states where base closing or realignments have occurred or will occur, the SBDC must provide a full range of business development and technical assistance services in the affected areas. These services should be specifically designed to meet the particular small business needs that arise as these closings and realignments occur, including services specifically targeted toward existing and former military personnel.

#### **8.2.13 Minority Enterprise Development**

The SBDC should work with their SBA District Office to provide training and counseling to firms in all stages of participation in the 8(a) Program. The SBDC must make all of its economic development and technical assistance services available to 8(a) firms in all stages, other minority business owners and prospective minority business owners. SBDCs are encouraged to make special efforts to assist SBA's Minority Enterprise Development 8(a) Program. These efforts include community-based seminars and workshops concerning the SBA's 8(a) Program application process.

SBDCs should inform their 8(a) clients that counseling assistance does not guarantee receipt of a contract.

#### **8.2.14 Native American Assistance**

Each SBDC must make its economic development and technical assistance services available to Native Americans. Local initiatives for Native Americans shall be supported when appropriate, and to the extent possible, by the appropriate SBDC where it is determined that this assistance is needed. Where appropriate, SBDCs shall provide support to initiatives of SBA's Office of Native American Affairs (ONAA).

#### **8.2.15 Procurement Assistance**

SBDCs are encouraged to provide services that provide basic information needed by small business concerns interested in procurement opportunities in the Government arena. These services should include, but not be limited to:

- Providing information on government buying methods.

- Identifying the role of SBA Area Directors for Government Contracting located in SBA field offices and Procurement Center Representatives (PCRs) located at Federal Government purchasing activities.
- Educating small businesses about the Federal government's move toward doing business by Electronic Data Interchange, marketing techniques and placement on agency bidders' lists.
- Assisting with the preparation of bids and proposals.
- Identifying subcontracting opportunities.
- Providing counseling and referral information concerning bidders' rights and obligations, appeal procedures, termination and default actions, and size criteria (business advice, not legal advice).
- Providing assistance on contractual, financial and contract administration issues.
- Identifying and facilitating access to computerized systems that identify federal, state and local procurement opportunities.
- Assisting eligible small business firms to complete and submit of the HUBZONE Empowerment Contracting Program electronic application.
- Working cooperatively with the Procurement Technical Assistance (PTAC) program.

#### **8.2.16 Rural Development**

SBDC Applicants must make a full range of business development and technical assistance services available to small businesses located in rural areas. These services will be designed to increase rural small business participation in exporting, government procurement, tourism, access to credit, incubators, innovation and technology and other small business programs.

#### **8.2.17 SBDC Lead Center Director**

The SBDC Lead Center Director must be a full-time (100%) senior manager who shall direct and monitor the program activities and financial affairs of the SBDC network to deliver effective services to the small business community, ensure the SBDC's compliance with applicable laws, regulations, OMB circulars and Executive Orders, implement the Cooperative Agreement and serve as the principal contact point for all matters involving the SBDC network. For these purposes, full-time is defined as 100% of time allocated between this grant and other grants that provide management and technical assistance to small businesses. These would include technical assistance programs that the Lead Center may be conducting to fully utilize the resources of other federal, state and local government, academic and private sector programs concerned with aiding small businesses in order to provide seamless but not duplicate business development assistance. These other activities must be in accordance with the description above and must not be outside of the scope of management and technical assistance to small businesses. Of that, at least 75% of the SBDC Lead Center Director's time must be dedicated to the functions of the SBA SBDC Cooperative Agreement. SBDC Lead Center Director may not receive additional compensation for managing these programs.

The SBDC Lead Center Director has the responsibility for negotiating the annual Cooperative Agreement with SBA, keeping in mind that national, state and local needs are to be addressed. Once an SBDC receives its approved budget and program funding from SBA, the SBDC Lead Center Director must have full authority to manage and implement the budget without restrictions from the host entity, including the management and oversight of all statutorily required areas of statewide/regional coverage.

#### **8.2.18 Surety Bond Guarantee Assistance**

SBDCs are encouraged to educate their resources and small business contractors about the Surety Bond Guarantee (SBG) Program. This includes making available program information at counseling and training sessions and at business, professional and trade association meetings. SBDCs should develop an outreach program and actively promote the SBG program to special emphasis contractors. SBDCs should refer small business contractors to the SBG specialist in one of the two SBG Area Offices (Denver and Seattle) for detailed information about the program. The Office of Surety Guarantees in SBA Headquarters will provide a power point presentation for this purpose. An SBDC should contact The Office of Surety Guarantees in SBA (202)205-6540 for answers to questions and for more information. The SBA OSG website is located at: [www.sba.gov/about-offices-content/1/2891](http://www.sba.gov/about-offices-content/1/2891).

Many contractors are able to leave the program and obtain bonding on their own while others remain in the program for several years. One reason small contractors continue in the program is that they lack management expertise and have ongoing cash flow problems. SBDCs are encouraged to work with the SBG specialist in the appropriate Area Office to identify such contractors and give them the needed business management assistance. Among other areas, this may include business plan development, cash flow preparation and analysis, bid preparation, marketing and financial statement preparation and analysis.

#### **8.2.19 Technical Assistance for Research and Innovation**

The Lead Center must make technical assistance for research and innovation available, directly or through other relationships, to small businesses including, but not limited to: new product development; assisting inventors and high technology firms to research, develop and market their ideas and inventions; assisting non-technological firms to gain access to existing technologies; SBIR-related assistance; and facilitating the transfer of technology and technical data from federal and university laboratories.

#### **8.2.20 Training**

Applicants must provide quality training designed to improve the skills and knowledge of existing and prospective small business owners/managers throughout the SBDC network.

Training planned by SBDCs must be shared with the SBA Project Officer to avoid duplication with training efforts offered by other local organizations and SBA. In addition, all training materials developed in an electronic format shall be made available to the SBA Project Officer, and the SBDC Clearinghouse.

SBDCs may charge reasonable fees to cover program costs associated with this training. These fees are considered program income and shall be used to expand services and further SBDC program objectives.

#### **8.2.20.1 SBDC Co-hosted Training**

SBDCs are encouraged to enter into co-hosted training arrangements with the private sector and other organizations to extend outreach and productivity. (Cooperation between members of the SBDC network (i.e. Lead Center with Service enters or other organizations funded through the Cooperative Agreement with SBA is not considered a co-hosting).

In order for an SBDC to receive credit for a co-hosted training event, it must actively participate (i.e., provide speakers, materials, publicity) with the organization assuming primary responsibility for financing the training session. Final responsibility for the quality of the training rests with the SBDC. When reporting training numbers for a training session co-hosted by the SBDC and another SBA resource partner (e.g., WBC, SCORE) and the training session is of such duration that each partner is training for less than one hour each, the partners must work together to determine how to equitably divide the number of clients among themselves. The number that the partners report must equal the total number of attendees at the event. However, in the case where there are breakout sessions lasting one hour or more given individually by the resource partners, then each resource partner can count any attendees participating in their breakout sessions as long as there is a sign-in sheet, an evaluation, and an SBA Form 888 is prepared. Where the training is of such duration that its length is equal to more hours than the number of ED partners co-hosting the event (i.e. one hour per partner), all partners can report the full number of attendees for the training, e.g., three hour training and three co-hosts.

For all co-hosted training among ED resource partners where there will be a distribution of receipts in whole or in part to the co-host, the training file for the activity must document clearly the role and responsibility of the SBDC and each participant receiving a share of the receipts. How the receipts were distributed must also be documented in the training file.

SBDCs are reminded that income received by the SBDC network for all co-hosted programs is considered program income and cannot be used for match funding; it must be used to further support the SBDC program. Note that SBDC programs involving the SBA District Office and one or more third party organizations as co-hosts (such as lenders or chambers

of commerce) are subject to the Agency's co-sponsorship requirements, and may require a different treatment of program income receipts.

#### **8.2.21 Veteran and Service-Connected Disabled Veteran Business Ownership**

SBDCs must support the Entrepreneurship track of the Department of Defense's Transition Assistance Program (TAP) known as Boots to Business. The Boots to Business program is offered to service members and their spouses at military installations worldwide as a two-day Introduction to Entrepreneurship. The SBDCs are integral to the Boots to Business program, which uses a multi-phase approach to introduce transitioning service members to the fundamentals of small business ownership and highlights follow-on training and counseling opportunities with a focus on the eight-week online Foundations of Entrepreneurship course offered by Institute for Veterans and Military Families (IVMF) at Syracuse University. SBDCs must provide Boots to Business instructors, preferably veterans or those with knowledge of military culture, and assist with program marketing and outreach activities. Selection of instructors and the delivery of Boots to Business will be coordinated by SBA district offices and their designated Veterans Business Development Officer. As an extension of Boots to Business, SBA also offers Boots to Business: Reboot. This program offers the same tailored curriculum to veterans of all eras and their families, and is also delivered collaboratively by all SBA partners.

Each SBDC must make available all of its economic development and technical assistance services to veterans, including service-connected disabled veterans and their immediate families as well as Reservists and National Guard members called to active duty as appropriate. Both national and local initiatives for veterans shall be supported by the appropriate SBDC as needed. If not actively involved with the Boots to Business initiative, each SBDC network will establish a minimum of one Veteran Entrepreneurial Training (VET) Program for veterans, service-connected disabled veterans, Reservists and National Guard members as well as active duty military personnel who are pending discharge. The program may include feasibility and marketing studies, preparation of business plans and loan packages including Patriot Express and formation of support groups to provide follow-up and encouragement to participants.

SBDCs should contact their state National Guard Adjutant General and all units of the Military Reserves to identify Reservists and National Guard members who are operators of small businesses; are otherwise self-employed, or are essential employees in small businesses and who have been or may be mobilized pursuant to Title 10 USC for active duty. SBDCs should offer and provide business interruption counseling and training as needed to minimize adverse financial and operational problems. Such counseling could include, but is not limited to, the offering advice on the best feasible means of winding up business operations and the utilization of federal and state laws (including the Soldiers and Sailors Civil Relief Act) enacted to protect small business persons who are subject to mobilization to active duty. Additionally, business assistance for self-employed Reserve and National Guard members following their release from active duty will be critical to mitigate

expenses, secure legal assistance, engage in significant marketing efforts and otherwise minimize the negative effects of the member's mobilization on their small business or practice.

Each SBDC should identify veterans on its staff. Each SBDC should also encourage development of a veterans' business network and work with strategic partners to develop a local summit for veteran business owners and service-connected disabled veterans business owners as well as Reservists and National Guard members who are subject to be called to active duty. Each SBDC will contact its local VA regional office and engage VA Vocational Rehabilitation Counselors with clients.

SBDCs should highlight veteran's needs at small business seminars, conferences and outreach Program Announcements. SBDCs should develop close working relationships with their respective State Department of Veterans Affairs to explore collaborative outreach and referrals.

Pursuant to the Military Reservist and Veteran Small Business Reauthorization and Opportunity Act of 2010, SBDCs shall, as part of the SBA's Outreach and Technical Assistance Program, market and provide technical assistance for SBA's Military Reservist Economic Injury Disaster Loan program including website linkages to assistance programs offered by SBA, the Department of Veterans Affairs and the Department of Defense.

#### **8.2.22 Women's Business Services**

Each SBDC will make available all of its economic development and technical assistance services to women business owners and prospective women business owners. SBDCs will also provide referrals to the Women's Business Centers (WBCs) for women business owners when appropriate.

#### **8.2.23 Yellow Ribbon Reintegration Program**

Pursuant to [Public Law 110-181](#), passed January 28, 2008 – The Secretary of Defense initiated the Yellow Ribbon Reintegration Program which provides information, services, referral and proactive outreach programs to National Guard and Reserve members and their families with sufficient information, services, referral and proactive outreach opportunities through the 4 phases of the deployment cycle:

1. Pre-Deployment
2. Deployment
3. Demobilization
4. Post-Deployment-Reconstitution

The goal of the Yellow Ribbon Reintegration Program is to prepare soldiers and families for mobilization, sustain Families during mobilization, and reintegrate soldiers with their families, communities and employers upon redeployment or REFRAD.

Relevant portions of the "Act" are:

*(b) Outreach Services- As part of the Yellow Ribbon Reintegration Program, the Office for Reintegration Programs may develop programs of outreach to members of the Armed Forces and their family members to educate such members and their family members about the assistance and services available to them under the Yellow Ribbon Reintegration Program. More information is available at [http://www.benefits.va.gov/gibill/yellow\\_ribbon.asp](http://www.benefits.va.gov/gibill/yellow_ribbon.asp)*

### **8.3 Advance Understandings**

If any portion of this Program Announcement conflicts with Section 21 of the Small Business Act, Part 130 of the SBA's regulations (13 C.F.R.), relevant OMB circulars or SBA's policy notices, all of the above will control and take precedence.

Services and programs provided through the Cooperative Agreement should not wholly duplicate or replace any existing programs. Federal funds shall not be used to supplant or wholly duplicate existing programs.

#### **8.3.1 Hours of Operation**

The Lead Center and Service Centers services shall be accessible to the public during normal business hours throughout the year except as granted by prior approval. In addition, provision should be made to provide evening and weekend assistance, both on-line and in Service Centers, as appropriate to meet local community demands and needs. Anticipated closings shall be included in any annual renewal application. Emergency closures shall be reported to the SBA Project Officer as soon as possible.

#### **8.3.2 Travel**

The travel charged to the Cooperative Agreement must be in accordance with provisions of the grant and utilized in conformance with [13 C.F.R. Part 130.460\(g\)](#), and must be used under the same formula for travel reimbursement as provided by the host institution. Award funds are not available for the payment of per diem, lodging, meals or other subsistence expenses associated with local travel. However, award funds may be used to pay transportation expenses for local travel.

SBDCs are authorized to include a certain amount of funds in the proposal for "unanticipated" travel. Unanticipated travel is defined as "travel which is necessary to further SBDC objectives, but for which a complete description and/or justification could not be provided in the proposal." Requests for out-of-state travel exceeding the amount approved in the proposal must be submitted no less than 20 days for prior approval to the SBA Project Officer or District Director. (International travel must be submitted to the AA/OSBDC no less than 30 days before scheduled departure for prior approval). SBDCs are required to notify the SBA Project Officer of any unanticipated (not in the approved budget) out-of-state travel and report after the fact in the Semi-annual or Annual report and must follow the guidelines for Prior Approval (See 5.1.9).

Travel funds are authorized for the SBDC Lead Center Director and/or his/her designee to attend two America's Small Business Development Center meetings per year. Travel funds may also be authorized for additional SBDC staff to attend meetings designed for professional development purposes. Further, one trip per year, as approved by the AA/OSBDC, is authorized to allow the SBDC Lead Center Director and/or his/her designee to meet with national SBA officials to discuss local program initiatives. (Also see Section 5.1.9.1 "General –Prior Approvals")

### **8.3.3 Small Business Week**

SBDCs are encouraged to promote, support, plan, implement and participate in Small Business Week activities in cooperation and coordination with local and national SBA officials. SBDC Lead Center Directors and other SBDC personnel, with their strong links to prominent entrepreneurs and small business advocates in their communities, should nominate individuals for Small Business Week awards. SBDCs are encouraged to submit nominees for the SBDC Service Center of the Year Award.

### **8.3.4 Legal Services Restrictions**

No costs associated (either directly or indirectly) with civil, criminal or administrative litigation are allowable under an award made pursuant to this Announcement. Project funds may be used to pay the cost of non-litigation legal counseling services either to the recipient of this award or project beneficiaries. However, all parties receiving such services must agree in writing to waive any claims of privilege over such services with regard to SBA to the extent necessary for the Agency to perform its monitoring and oversight function.

SBDCs may offer training courses on business law issues, provided that legal topics are presented by individuals qualified by training and experience to address such topics. In furtherance of their educational mission, SBDCs may negotiate arrangements with law schools to offer clients access to supervised student legal clinics that are approved by the state attorney licensing entity. The SBDC must make appropriate disclosures and disclaimers to that effect.

### **8.3.5 Conflict of Interest Policy**

Each SBDC network must have a written conflict of interest policy which is signed annually by all employees, consultants, instructors and volunteers of the SBDC network. The policy must include enforceable elements safeguarding the SBDC program from actual or apparent conflicts in accordance with 2 C.F.R. § 2701.112.

### **8.3.6 Disaster Operations Plan**

Each Lead Center and its Service Centers must have in place disaster plans which are coordinated with the host institution to ensure delivery of services to small businesses in its area of operations.

Such plans must be kept on file and available for review by SBA officials. Plans should be reviewed annually by the Center Directors and updated as needed. SBDCs individually, and in cooperation with SBA and other federal agencies as well as state and local entities are encouraged to provide disaster recovery assistance to support impacted small businesses in local economies.

#### 8.4 Checklist of Required Submissions

Complete?			
	<b>TECHNICAL PROPOSAL</b>		
<input type="checkbox"/>	SBA Attachment Form	<ul style="list-style-type: none"> <li>There will be 15 attachments buttons. Include Attachment # in document name.</li> </ul>	Obtain template from <a href="#">OSBDC webpage</a> Upload as ATTACHMENT1
<input type="checkbox"/>	Program Information Narrative. Include the following: <ul style="list-style-type: none"> <li>✓ Organizational Chart</li> <li>✓ Program Management Strategy</li> <li>✓ Program Objectives – including outcomes planned for each of the reporting categories in section 6.3</li> <li>✓ Online Services overview</li> <li>✓ Scheduled SBDC closures</li> <li>✓ PIMS contact info</li> <li>✓ Advisory Board information</li> <li>✓ Conflict of Interest Policy</li> <li>✓ SBDC Planned Training</li> <li>✓ Resumes for new Personnel</li> <li>✓ Program Income plan</li> <li>✓ List of Other funded activity</li> </ul>		Follow guidance on content and preferred presentation in this Program Announcement. Upload as ATTACHMENT2
<input type="checkbox"/>	SBDC Network Listing	<ul style="list-style-type: none"> <li>Identify which locations are Service Centers, Specialty Centers (including ITCs) and Satellite locations.</li> <li>Include Center name, host institution, address, phone, website and key contact. List PIMS location code if applicable.</li> <li>Validate data using PIMS.</li> </ul>	Include as part of Technical Proposal (Attachment 2).

<input type="checkbox"/>	Planned Milestones Worksheet	<ul style="list-style-type: none"> <li>Complete information on match funding sources in Section 5</li> <li>List goals for Network (negotiated with SBA) and established for each Service Center</li> </ul>	Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a> . Upload as ATTACHMENT3
	<b>COST PROPOSAL</b>	<u>Instructions</u>	<u>Document Location</u>
<input type="checkbox"/>	SF424 Application for Federal Assistance	<ul style="list-style-type: none"> <li>Do not include Program Income on this form. Leave line f in Box 18 BLANK.</li> <li>Provide a complete street address for Applicant. Do not use PO Box.</li> </ul>	Grants.gov application package
<input type="checkbox"/>	SF424A Budget Information – Non-Construction Programs	<ul style="list-style-type: none"> <li>Submit for Lead Centers (and each Service Center) if standard SBDC Budget Justification format is not submitted).</li> <li>In Section B, leave line 7 blank. Do not include Program Income on this form. Program Income should be addressed in the proposal’s program narrative.</li> <li>In Section B, Include direct costs for Contracts with Service Center Contracts (subawards) on line f. Include indirect costs for subaward recipients on line j, only.</li> </ul>	Grants.gov application package
<input type="checkbox"/>	SBDC line-item Budget Justification with cost details and Personnel List	<ul style="list-style-type: none"> <li>Submit for Lead and each Service Center.</li> <li>Information should be submitted using SBA’s SBDC budget justification form. Required cost detail may be included in the worksheet or on a separate budget narrative. If SBA’s template is not used, Applicant’s format must include same cost detail, AND separate 424A for each center.</li> <li>Sum of Direct and Indirect Cost on Budget Justification forms must match network total on 424 and 424A</li> </ul>	Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a> . Upload as ATTACHMENT4

<input type="checkbox"/>	Additional 424A for Lead and Service Centers. (Include <u>ONLY IF NOT</u> using SBA Budget justification template in Attachment 5)	<ul style="list-style-type: none"> <li>If <u>not</u> using SBA budget justification template for SBDCs, include a separate 424A for Lead and each Service Center in addition to Applicant's detailed line item budget.</li> </ul>	Obtain additional 424A forms from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a> Upload as ATTACHMENT5
<input type="checkbox"/>	Indirect Cost Rate Agreements	Submit for lead and Service Centers claiming indirect costs.	Provided by the Cognizant Federal Agency.  An SBA ICR Agreement may be requested from the SBDC Project Officer at the District Office.  Upload as ATTACHMENT6
<input type="checkbox"/>	Schedule of Indirect Costs Worksheet		Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a> Upload as ATTACHMENT7
<input type="checkbox"/>	Certification of Cash Match and Program Income	<ul style="list-style-type: none"> <li>Include a list of sources for cash match by source and amount</li> </ul>	Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a>  Upload as ATTACHMENT11
<b>SUPPORTING DOCUMENTS</b>			
<input type="checkbox"/>	SF 424B Assurances for Non-Construction Programs		Grants.gov application package
<input type="checkbox"/>	SF LLL		Grants.gov application package
<input type="checkbox"/>	SBA Form 1623 - Certification Regarding Debarment, Suspension, and Other Responsibility Matters, Primary Covered Transactions		Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a>  Upload as ATTACHMENT8
<input type="checkbox"/>	Certification Regarding Drug-Free Workplace Requirements		Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a>  Upload as ATTACHMENT9

<input type="checkbox"/>	SBA Form 1711 - Certification Regarding Lobbying		Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a>  Upload as ATTACHMENT10
<input type="checkbox"/>	SBA Form 1224 - Cost Sharing Proposal		Obtain template from OSBDC webpage at: <a href="#">SBDC Forms and Worksheets</a>  Upload as ATTACHMENT12
<input type="checkbox"/>	A133 Audit Report	Provide Applicant's most recently completed report, or link to a webpage with instructions on how the report can be viewed by SBA.	Upload as ATTACHMENT13
<input type="checkbox"/>	Approval Letter from SBA District Office		Request from District Office  Upload as ATTACHMENT14