



U.S. Small Business Administration

2012

Small Business Week Awards

Nomination Guidelines and Forms

DEADLINE FOR SUBMISSION OF PACKAGE
DECEMBER 9, 2011

Please submit completed nomination packages to:

**U.S. Small Business Administration
Small Business Awards Committee
Maine District Office
68 Sewall Street
Augusta, ME 04330**

If you have any questions or need additional information please contact
Marilyn Geroux, 207-622-8382



SBA AWARDS NOMINATION CHECK LIST 2012

Please use this easy check-list to help you assemble the necessary information to complete your award nomination. Please call us at (207) 622-8382 if you have any questions.

DEADLINE: December 9, 2011

| OK | Need | Have | Items for All Categories |
|-----------------------|-----------------------|-----------------------|--|
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 1. Cover Page. Prepare a single, typed cover page that includes the name of the award category, nominee's full name, business name (if applicable), business and home addresses with telephone and fax numbers, email address, and the nominator's name, title, place of business, business address and telephone number. Include a one paragraph description of the nominee's business or Champion's profession/occupation and any type of SBA assistance received (e.g., loan, SCORE counseling, SBDC assistance, etc.) |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 2. An original 8" x 10" or 5" x 7" photo of the nominee; or a digital photo – at least 300 dpi; photocopies are not acceptable |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 3. Nomination Letter to include concise statement of the qualities and performance that merit the award, not to exceed four pages.. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 4. Nominee Biography of the nominee, not to exceed one page. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 5. Nomination Business Profile (not to exceed one page). This is information about the nominee's business that includes what they do, market area, number of employees, etc. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 6. Financial Statement including balance sheets, profit and loss statements and financial reports - not to exceed 12 pages. on 8 1/2" x 11" paper - for the last three years. (Note: Required only for Small Business Person of the Year. Exporter of the Year, Home-Based Business of the Year, the Young Entrepreneur and Entrepreneurial Success of the Year Award) |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 7. Other Documentation (not to exceed 10 pages) that you feel is significant including newspaper articles, letters of recommendation, or other evidence of the appropriateness of the nomination. Videos will not be considered. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 8. SBA Form 3300 Award Nomination Form. For "team" nominations for this award a background form is required for each team member. |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 9. SBA Form 2137 Award Nomination Consent Form |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | 10. Four to five additional photos of the nominees company and employees at work |

AWARD CATEGORIES

**Small Business Person Award (State and National)
Jeffrey Butland Family-Owned Business Of The Year
Entrepreneurial Success Award**

**Small Business Exporter Of The Year
SBA Young Entrepreneur Of The Year**

Small Business Champion Awards including

- Financial Services Champion Of The Year
- Minority Small Business Champion Of The Year
- Women In Business Champion Of The Year
- Home-Based Business Champion Of The Year
- Veteran Small Business Champion Of The Year

Small Business Person of the Year Award

This award is the single most prestigious of all SBA Awards. It will be presented to an entrepreneur who has developed an outstanding, growing business. The Maine state winner will compete for the national award.

Who is eligible to be nominated for this Award: Any individual who owns and operates or bears principal responsibility for operating a small business may be nominated. Partners who jointly own and operate a small business may be nominated as a "team," as long as the number of individuals in the team nomination does not exceed four. A nominee for Small Business Person of the Year must own or operate a business defined as "small" under the applicable SBA size standards. Nominees must also be residents of the United States or its territories and will be subject to background checks. Small businesses owned and operated by nominees must comply with federal civil rights laws. While receipt of SBA assistance is not required, it is preferred.

Concise Statement/Evaluation Criteria:

- Staying power — a substantiated history as an established business; including: # of years in business, sustained expansion, addition of territories, growth in square footage occupied. Steady growth in net worth as evidenced by total assets less total liabilities on fiscal year end annual balance sheets over three years.
- Growth in number of employees — a benchmark to judge the impact of the business on the job market. Sustained over a minimum of three years. Increase over the three years must be in excess of the growth in the Gross National Product.
- Increase in sales and/or unit volume — an indication of continued growth over the last three years. Consistent growth in net income as evidenced by fiscal year annual profit-and- loss statements for a minimum of three years.
- Current and past financial performance — financial reports substantiate an improved financial position of the business. Profit-and-loss statements for the last three years, reflecting sustained upward growth. Balance sheets for the last three years, showing consistent increase in net worth and/or partners' return.
- Innovativeness of product or service offered — an illustration of the creativity and imagination of the nominee. Specific description of uniqueness of product or service. Explanation of how product or service fits a niche not being adequately addressed by the competition.
- Response to adversity — examples of problems faced in the nominee's business and the methods used to solve them, including: Specific description of financial, physical, legal or other crisis. Substantiation of the threat to the continuity of the business. Defined actions taken by the nominee to resolve the crisis.
- Contributions to community-oriented projects — evidence of the use of his/her personal time and resources, including: Listing of specific contributions of money, time, or resources to charitable causes. Membership in councils, boards and clubs providing support and services to the community.

Small Business Champion Awards

Young Entrepreneur of the Year Award - To be considered a young entrepreneur, the individual must serve as a majority owner and operate or bear principal responsibility for operating a small business with a three year track record, and who will not have reached the age of 30 by June 1, 2012.

Concise Statement/Evaluation Criteria:

- Evidence of success as measured by sales and profits. (The nomination package must include profit-and-loss statements and balance sheets for the past three years.). Increased employment opportunities created by the nominee's business.
- Increased employment opportunities created by nominee's business.
- Development and/or utilization of innovative or creative business methods.
- Demonstrated entrepreneurial potential necessary for long-term business success and economic growth.

SBA Jeffrey Butland Family-Owned Business of the Year Award - This award honors a family owned and operated business which has been passed on from one generation to the next. The owners must serve as a majority owner and operator or bear principal responsibility for operating a small business with at least a 15-year track record.

Concise Statement/Evaluation Criteria:

- Evidence of success as measured by sales and profits. (Note: The nomination packet must include P & L Statements and Balance Sheets for the last three fiscal years.)
- Increased employment opportunities for family members and non-family members for the nominee's business.
- Demonstrated potential necessary for long-term business success and economic growth.
- Voluntary efforts to strengthen family-owned businesses within the community.

Financial Services Champion of the Year Award -

An individual who assists small businesses through advocacy efforts to increase the usefulness and availability of accounting or financial services for small businesses may be nominated. Nominees may or may not be small business owners.

Concise Statement/Evaluation Criteria:

- Outside of regular business duties, the amount and quality of assistance given small businesses to obtain financing.
- Advocacy of changes in the financial services industry to assist small companies.
- Encouragement of the flow of investment capital to small ventures.
- Active support for legislative or regulatory action designed to help small firms.
- Other significant contributions through the advocacy effort of the financial services or accounting industries to advance small business interests.

Home-based Business Champion of the Year Award - An individual who assists small businesses through advocacy efforts to increase the usefulness and availability of accounting or financial services for small businesses may be nominated. Nominees may or may not be small business owners.

Concise Statement/ Evaluation Criteria:

- Volunteering time and energy to improve the conditions for home-based businesses.
- Engaging in entrepreneurial training, policy development efforts, or financial or business planning specifically tailored for home-based businesses.
- Demonstrated interest in home-based businesses as an owner or former owner.
- Measurable accomplishments in advancing home-based businesses, such as adoption of public policy or expansion of a program.

Minority Small Business Champion of the Year Award - an individual who has fulfilled a commitment to support minority business entrepreneurship may be nominated. Nominees may or may not be small business owners.

Concise Statement/Evaluation Criteria:

- Volunteer efforts beyond business/professional responsibilities to advance minority small business interests within the community, state and/or nation.
- Demonstrated efforts to improve conditions in the minority small business community as a whole, not solely for individual personal advancement.
- Voluntary provision of professional services to the minority small business community in a legal, legislative, managerial or financial capacity.
- Demonstrated accomplishments in advising minority small business groups of opportunities within the overall business community.
- Other accomplishments demonstrating the nominee's merit as an effective advocate for minority small business interests.

Veteran Small Business Advocate of the Year Award - an individual who has fulfilled a commitment to advancing small business opportunities for veterans of the U.S. armed forces may be nominated. Nominees may or may not be veterans.

Concise Statement/Evaluation Criteria:

- Active support for legislative or regulatory action designed to help small businesses.
- Evidence of increased business opportunities for veterans as a result of the nominee's actions.
- Advisory activities to improve awareness among veterans' groups of small business opportunities.
- Advocacy of special consideration for veteran-owned small businesses in government policymaking.
- Demonstrated accomplishment in obtaining support within the community for the establishment of veteran-owned small businesses.
- Other accomplishments demonstrating the nominee's effective advocacy of and support for veteran-owned small businesses.

Women in Business Advocate of the Year Award - an individual who has fulfilled a commitment to the advancement of women's business ownership may be nominated. Nominees may or may not be small business owners.

Concise Statement/Evaluation Criteria:

- Active support for legislative or regulatory action designed to help small businesses.
- Efforts to increase business and financial opportunities for women.
- Legal, financial or managerial assistance provided to enhance women's business ownership.
- Volunteer efforts to strengthen the role of women business owners within the community.
- Advocacy of the women-owned business community as a whole, not solely for individual personal advancement.
- Other accomplishments demonstrating effectiveness in improving the environment for the creation and expansion of businesses owned and operated by women.

Small Business Exporter - An individual who owns and operates a small business engaged in exporting may be nominated.

Concise Statement/Evaluation Criteria:

- Increased sales, profits and/or growth of employment because of exporting. (The nomination package must include profit-and-loss statements and balance sheets for the past three years.)
- Creative overseas marketing strategies, with a description of the products exported and markets served.
- Effective solutions to export-related problems.
- Demonstrated encouragement of other small businesses to export.
- Volunteer assistance to other small businesses entering the export market.
- Cooperation with other businesses in the creation of export trading companies and/or introduction of unique trading relationships, products or services.

Entrepreneurial Success Award - Must be an individual who owns and operates or who bears principal responsibility for operating a business. Partners who jointly own and operate a business may be nominated as a "team," so long as the number of individuals in the team nomination does not exceed four. A nominee for this award must own or operate a business that initially was defined as "small" under the applicable SBA size standards, developed into a large business and must have received SBA assistance to help the business grow. Nominees must also be residents of and employed in the United States or its territories and will be subject to background checks.

Concise Statement/Evaluation Criteria:

- Staying power — a substantiated history as an established business; including: number of years in business, sustained expansion, addition of territories, growth in square footage occupied, steady growth in net worth as evidenced by total assets less total liabilities on fiscal year end annual balance sheets over three years.
- Growth in number of employees — a benchmark to judge the impact of the business on the job market, sustained over a minimum of three years, increase over the three years must be in excesses of growth in Gross National Product.
- Increase in sales and/or unit volume — an indication of continued growth over the last three years. Consistent growth in net income as evidenced by fiscal year annual profit-and loss statements for a minimum of three years.
- Current and past financial performance — financial reports substantiate an improved financial position of the business. Profit-and-loss statements for the last three years, reflecting sustained upward growth, balance sheets for the last three years, showing consistent increase in net worth and/or partners' return.
- SBA Assistance – documentation of the type(s) and amount(s) of SBA assistance received by the business and the year(s) in which it was received.
- Innovativeness of product or service offered — an illustration of the creativity and imagination of the nominee. Specific description of uniqueness of product or service, explanation of how product or service fits a niche not being adequately addressed by the competition.
- Response to adversity — examples of problems faced in the nominee's business and the methods used to solve them, including: specific description of financial, physical, legal or other crisis, substantiation of the threat to the continuity of the business and defined actions taken by the nominee to resolve the crisis.
- Contributions to community-oriented projects — evidence of the use of his/her personal time and resources, including: listing of specific contributions of money, time, or resources to charitable causes, membership in councils, boards and clubs providing support and services to the community.

| | | | | | |
|---|--|---|---------------------|-------|-------|
|  <p>United States of America SMALL BUSINESS ADMINISTRATION</p> <p>Award Nomination Form</p> | <p style="text-align: center;">Please Read Carefully - Print or Type</p> <p>This form must be completed by: (1) Each individual nominated for an award (2) All Members of teams nominated for an award (3) The official representative of a small business nominated for an award</p> <p>The completed form must be submitted with the nomination package as noted in the award guidelines. Answer each question as fully as possible, if it is not applicable, state N/A. Use additional sheets if necessary.</p> | | | | |
| <p>1. State name in full, if no middle name, state (NMN), or if initial only, indicate initial. List all former names used, and dates each name was used. Use separate sheet if necessary.</p> <p>First Middle Last</p> <p>_____</p> | <p>List all forms of SBA funded assistance received (e.g., SBDC, SCORE, WBC, guaranteed loan, contract, etc.) and the city and state where assistance was received.</p> <p>_____</p> | | | | |
| <p>2. Name and Address of small business company</p> <p>Firm Name : _____ Street : _____ City, State and Zip Code : _____ Business Telephone No. (Include A/C): _____ Cell No. (Include A/C): _____ Fax No. (Include A/C): _____ E-Mail Address: _____</p> <p>Job Title: _____</p> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount and date of financial assistance received or applied for (if applicable)</td> <td style="width: 40%;">File No. (if known)</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> </table> <p>5. Give the percentage of ownership or stock owned in the small business</p> <p>_____</p> <p>6. Date of Birth (Month, Day, and Year)</p> <p>_____</p> <p>7. Place of Birth (City & State or Foreign Country)</p> <p>_____</p> | Amount and date of financial assistance received or applied for (if applicable) | File No. (if known) | _____ | _____ |
| Amount and date of financial assistance received or applied for (if applicable) | File No. (if known) | | | | |
| _____ | _____ | | | | |
| <p>3. Present residence address:</p> <p>From: _____ To: _____</p> <p>Address:</p> <p>_____</p> | <p>8. U.S. Citizen? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>If No, are you a Lawful Permanent resident alien: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>If non-U.S. citizen provide alien registration no.: _____</p> <p>9. Congressional District:</p> <p>_____</p> | | | | |
| <p>IT IS IMPORTANT THAT THE NEXT THREE QUESTIONS BE ANSWERED COMPLETELY. AN ARREST OR CONVICTION RECORD WILL NOT NECESSARILY DISQUALIFY YOU; HOWEVER, AN UNTRUTHFUL ANSWER WILL CAUSE YOUR NOMINATION TO BE DENIED.</p> <p>IF YOU ANSWER "YES" TO 10, 11, OR 12, FURNISH DETAILS ON A SEPARATE SHEET. INCLUDE DATES, LOCATION, FINES, SENTENCES, WHETHER MISDEMEANOR OR FELONY, DATES OF PAROLE/PROBATION, UNPAID FINES OR PENALTIES, NAME(S) UNDER WHICH CHARGED, AND ANY OTHER PERTINENT INFORMATION.</p> | | | | | |
| <p>10. Are you presently under indictment, on parole or probation?</p> <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>(If yes, indicate date parole or probation is to expire).</p> <p>_____</p> | | | | | |
| <p>11. Have you ever been charged with and/or arrested for any criminal offense other than a minor motor vehicle violation? Include offenses which have been dismissed, discharged, or not prosecuted. (All arrests and charges must be disclosed and explained on an attached sheet).</p> <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> | | | | | |
| <p>12. Have you ever been convicted, placed on pretrial diversion, or placed on any form of probation, including adjudication withheld pending probation, for any criminal offense other than a minor vehicle violation? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> | | | | | |
| <p>13 I authorize the Small Business Administration Office of Inspector General to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for a small business recognition award and to participate in the related activities, including programs authorized by sections 4(h) and 8(b)(1)(A)(iv) of the Small Business Act, 15 U.S.C. 633(h) and 637(b)(1)(A)(iv).</p> | | | | | |
| <p>CAUTION: Knowingly making a false statement on this form is a violation of Federal law and could result in criminal prosecution, significant civil penalties, and a denial of program participation or other benefits awarded by the agency. A false statement is punishable under 18 USC 1001 by imprisonment of not more than five years and/or a fine of not more than \$10,000; under 15 USC 645 by imprisonment of not more than two years and/or a fine of not more than \$5,000; and, if submitted to a Federally insured institution, under 18 USC 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.</p> | | | | | |
| <p>Signature</p> <p>_____</p> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Title</td> <td style="width: 50%;">Date</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> </table> | Title | Date | _____ | _____ |
| Title | Date | | | | |
| _____ | _____ | | | | |

NOTICES REQUIRED BY LAW

Paperwork Reduction Act (44 U.S.C. 3501 et seq.)

SBA will use the information collected on this form, along with other information submitted by award nominees, to determine the nominee's eligibility for a particular small business award; to identify any actual or apparent conflict of interest and, to make eventual award determinations.

The estimated burden for completing this form is 15 minutes per response. However, the total estimated time for completing the nomination package, including the time for reviewing the instructions, gathering and compiling data, and completing the package is 2 hours. You are not required to respond to any collection of information unless it displays a currently valid OMB control number. Comments on these burden estimates should be sent to the U.S. Small Business Administration, Chief, AIB 409 3rd St., SW, Washington, DC 20416, and Desk Officer for the U.S. Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, DC 20503. **DO NOT SEND FORMS TO OMB.**

Privacy Act (5 U.S.C. § 552a)

Any person can request to see or get copies of any personal information that SBA has in his or her file when that file is retrieved by individual identifiers, such as name or social security number. SBA will protect an individual's personal information to the extent permitted by law, including the Freedom of Information Act, 5 U.S.C. § 552, and the Privacy Act of 1974, 5 U.S.C. § 552a. However, as a routine matter information collected may be disclosed as follows: (a) to the news media for public disclosure of the name, address, and biography of award recipients; (b) to communicate with State and local governments about the status of a particular nominee; (c) to an individual nominee's Congressional office when that office is inquiring on the individual's behalf; (d) to Agency volunteers, interns, judges, experts and contractors who need access to the records in order to perform an award related activity; and (e) to the Department of Justice (DOJ); the court, adjudicative body, or a dispute resolution body when any of the following is a party to litigation or has an interest in such litigation:

- (1) The agency or any of its components;
- (2) An agency employee in his or her official capacity;
- (3) An agency employee in his or her individual capacity where DOJ has agreed to represent the employee; or
- (4) The United States Government, where the agency determines that litigation is likely to affect the agency or any of its components.

Before making any disclosures SBA must determine that the use of the records is relevant and necessary to the litigation, and disclosure of the records is for a purpose that is compatible with the purpose for which the records were collected.

Additional information regarding the retention and disclosure of this collection of information is listed in the systems of record notice published in the Federal Register at 69 FR 58597,58624(9/30/2004).



SMALL BUSINESS WEEK
CONSENT FOR DISCLOSURE OF INFORMATION

The undersigned herewith agrees and consents to the disclosure by the Small Business Administration (SBA) of the information in its file concerning his/her nomination for the Small Business Person of the Year, Advocate of the Year, or Special Award winners (Phoenix Award) to those persons chosen by the SBA as judges for these awards.

This consent is given with the understanding that disclosure shall be limited to the information contained in that file, and that no disclosure shall take place after the selection of the Small Business Person of the Year and Advocate and Special Award winners is made.

Signature: _____ Date: _____