U.S. Small Business Administration

Office of Small Business Development Centers

OSBDC FUNDING OPPORTUNITY

FUNDING OPPORTUNITY NO.
OSBDC-2022-05
FOR THE SBDC IN THE STATE OF AMERICAN SAMOA

The purpose of this Funding Opportunity is to fill the vacancy of the Host Institution for the American Samoa SBDC Program serving American Samoa. SBA invite proposals for funding from eligible entities which are institutions of higher education. Only application that are submitted by these entities will be considered for funding. For-profit businesses are not eligible for this award.

Opening Date: August 25 , 2021
Closing Date for Proposals: September 25, 2021

Proposals responding to this program must be posted to www.grants.gov. No other methods of submission will be permitted. Proposals submitted after the stipulated deadline will be rejected without being evaluated.

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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:**	Funding Opportunity No. OSBDC-2022-05
1.1.5.	**CDFA Number**	59.037
1.1.6.	**Closing Date for Submissions:**	September 25, 2021, Proposal due to the OSBDC via www.grants.gov at 11:59 p.m. EDT for Funding Opportunity No. OSBDC-2022-05 the SBDC serving American Samoa for CY 2021.
1.1.7.	**Authority:**	Small Business Act, Section 21 (15 USC § 648))
1.1.8.	**Duration of Authority:**	Permanent
1.1.9.	**Funding Instrument:**	Cooperative Agreement
1.1.10.	**Funding:**	Funding is for a twenty-four 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. The preliminary funding amount for the SBDC Program for calendar year 2022 is approximately $750,000. The Recipient Organization receiving the Cooperative Agreement is required to match funding received on a 1:1 ratio unless otherwise authorized. For the Core SBDC Grant, the Associate Administrator for the Office of Small Business Development Centers will, upon written request, waive the match requirement for the first $199,999.99.
1.1.12.	**Project Duration:**	Awards will be made for a two-year period. SBA intends to continue to fund the 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; or a failure to follow the rules and procedures set forth in the statute regulation and/or Funding Opportunity (see 13 C.F.R. Part 130.700) as incorporated into the Cooperative Agreement; or has been denied Accreditation.
1.1.13.	**Project Starting Date:**	Approximately 90 days after closing date **Funding Opportunity No. OSBDC-2022-05 for CY 2021.**

1.1.14.	**Proposal Evaluation:**	Proposals will be reviewed for sufficiency in meeting the requirements of the Program as defined in 13 C.F.R. Part 130.340. 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, Email: SBDCGrantsq@sba.gov.

1.2 Introduction

The Small Business Development Centers (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 62 Recipient Organizations - one in each state (with the exception of four regional SBDC networks in Texas and five Recipient Organizations comprised of six regional SBDC networks in California), the District of Columbia, Puerto Rico, the Virgin Islands, Guam and American Samoa. The Recipient Organization is responsible for establishing a Lead Center and a network of Service Centers to cover 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, in 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 bears responsibility for administering and overseeing 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 Funding Opportunity to fund an existing statewide or regional SBDC Program. 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 awards under this Funding Opportunity 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), 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 Small Business Development Centers (AA/SBDC) at SBA Headquarters. The SBA will have substantial involvement in the administration, monitoring and oversight of the cooperative agreement. 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 and program service delivery and performance. The SBA District Office will review the proposal for Agency priorities and performance goals and will designate 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. Performance goals are established by OSBDC and are not negotiated by the District Office.

1.7 Changes or Cancellation

SBA reserves the right to amend or cancel this Funding Opportunity, in whole or in part, at the Agency's discretion. Should SBA make material changes to this Funding Opportunity, 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 $750,000 for this award under this Funding Opportunity for the new recipient of the SBDC in American Samoa. Section 21 (a)(4)(C) of the Small Business Act sets forth a formula by which 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 1 fiscal year award under this Funding Opportunity.

2.3 Period of Performance/Budget Periods

The period of performance for this award is two years.

2.3.1 Project Start Dates

The project start dates are:

- Approximately 90 days after closing date
- January 1, 2022, for the SBDC serving American Samoa responding to Funding Opportunity No. OSBDC-2022-05 for CY 2022 Continuation of Funds

2.3.2 Continuation of Funds

SBA intends to award continuation funding to the Recipient under subsequent annual SBDC Cooperative Agreements for future fiscal/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 (programmatic and/or 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 Funding Opportunity. See 13 C.F.R. Part 130.700.

2.3.3 Intent to Renew

SBDCs wishing to exercise a renewal option must email the Letter of Intent to Renew to their assigned OSBDC Program Manager by the date listed on the SBDC Applicant's Timeline in Section 4.4 of this Funding Opportunity.

2.4 Funding Information

- Funds provided under the SBDC Program must be used solely for the purposes stipulated in this Funding Opportunity 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. Non-Federal matching funds may take the form of cash or cash equivalent, in-kind donations provided by a third party 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 additional cash or in-kind contributions, and/or waived indirect costs. See 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 4.1.6.2 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.

2.7 Insular Area Territory Match Waiver

The SBA has the authority, per U.S. Code Title 48 – Territories and Insular Possessions, Chapter 10 – Territorial Provisions of a General Nature, Section 1469a(d) – Congressional declaration of policy respecting "Insular Areas", to waive any requirement for matching funds otherwise required by law to be provided by

the Insular Area involved. Additionally, § 601 of Pub. L. No. 96-205 and § 6 of Pub. L. No. 98-213 together mandate that "notwithstanding any other provision of law, in the case of the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands, any department or agency shall waive any requirement for local matching funds under $200,000…"

For the Core SBDC Grant, the Associate Administrator for the Office of Small Business Development Centers will, upon written request, waive the match requirement for the first $199,999.99 for American Samoa, Guam and the Virgin Islands Small Business Development Centers (SBDCs).

The Insular Area Territory SBDCs are required to provide a 1:1 match that must include at least 50 percent in cash with the remainder consisting of a combination of cash, in-kind and non-reimbursed Facilities and Administrative costs (i.e., waived indirect costs) on all Core SBDC grant funds of $200,000 and above.

The Core-Grant Insular Area Territory Match Waiver **must be requested in writing**, prior to the submission of the renewal application package, and transmitted through the OSBDC Program Manager. The Core-Grant Insular Area Territory Match Waiver will not apply retroactively to previous, ongoing or expired grants and is not transferable to other non-SBDC funding opportunities from SBA.

3.0 Section III – Eligibility Information

3.1 General

An organization may NOT submit more than one proposal per geographic community in response to this Funding Opportunity.

To the extent that they satisfy all eligibility criteria the same as all other applicant organizations, Religious Organizations are entitled to compete for Federal financial assistance (grants and/or cooperative agreements) used to support government programs. Generally, such organizations are not required to alter their religious character to participate in a government program, nor to cease engaging in explicitly religious activities outside the program, nor effectively to relinquish their Federal statutory protections for religious hiring decisions.

3.2 Eligible Applicants

To be eligible for this Funding Opportunity an Applicant must:

- Be proposing to serve entrepreneurs located in, American Samoa.
- 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)

3.3 Ineligible Applicants

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

- Any organization that is **NOT** proposing to serve entrepreneurs in American Samoa;
- 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 having at least one substantially non-compliant condition within SBA program guidelines occurring while administering or implementing any SBA program, including denial of Accreditation;
- 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 and 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 American Samoa are –

4.1.1 Technical Proposal (not to exceed 30 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 30 pages. It must include the following information:

4.1.1.1 Program Narrative:

- **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 American Samoa; 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 CY 2022 or in the future; Narrative demonstrating in details 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 Funding Opportunity, 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).**

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)).
- 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 VI, Part B 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 American Samoa 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 American Samoa; 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 Funding Opportunity (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 an American Samoa 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 (**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 if possible. 15 U.S.C. § 648(a)(4).

The applicant must be capable of meeting the non-federal match requirements if applicable. 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 if applicable. 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 if applicable. In addition, a detailed development plan is also required for continuation of match for no fewer than three future budget periods if applicable. 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 if applicable.

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 if applicable. 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 Funding Opportunity 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.

4.1.1.2 Planned Milestones Worksheet:

Complete all sections of this worksheet and include as Attachment #3 to the Proposal. In Section 5 include requested information for all matching funds included in the proposed budget. In Section 6, list goals for the SBDC Network for Jobs Supported (JS), New Business Starts (NBS), Unique Clients Served (UCS)-and Capital Infusion (CI) on the last line of the worksheet, and indicate performance goals that the Lead Center has established for each Service Centers and/or specialty programs on the lines above. If the Lead Center does not establish performance goals for Service Centers for JS, NBS, CI, and/or CS please indicate use "not goaled" in each column. Use the last column to indicate other key metrics for each Service Center, if applicable. The worksheet is available from OSBDC at: SBDC Forms and Worksheets.

4.1.1.3 SBDC Network Listing:

Provide a list of all service locations by name, host institution, key contact, physical address, phone number and location code. Identify the Lead Center, and indicate whether each location is a Service Center, specialty center or satellite location. Refer to Definitions in Section 8.1. Each Service Center must have a separate PIMS location. However, do not request PIMS location codes for satellite locations or other part-time service delivery sites. The location ID code for each Center is issued through the PIMS system and directly affects the SBDC's ability to report program activity to the SBA's data collection system (EDMIS-NG); therefore, it is vital to keep the information in this system current. Guidance on maintaining PIMS is in Section 6.3. See Notice of Award, Terms and Conditions.

4.1.2 Cost Proposal

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

a. Application for Federal Assistance (SF-424). Included in Grants.gov package;

b. Budget Information - Non-Construction Programs (SF-424A). 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 4.1.2.3.

c. SBDC Cost Price Analysis and Budget Justifications available from OSBDC's webpage at: SBDC Forms and Worksheets;

   - Include a separate budget justification form with required cost detail for the Lead Center and each subcontracted Service Center.

- Personnel lists must include each person's name, position, salary and percent time budgeted to the SBDC Program. When listing a person's position, please clearly indicate if such people serve as technology, international trade or other specialty advisors/trainer for the SBDC (e.g., Trade Center Director, Trade Advisor, Technology Consultant, General Business Consultant, etc.).
- Applicant may use their own budget justification form, as long as the Applicant's format includes ALL budget detail required in OSBDC's template and the guidance herein. If the Applicant chooses to use their own budget justification format (i.e., not the OSBDC form) it must ALSO include a separate 424A for the Lead Center and each subcontracted Service Center.

d. 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 subcontracted Service Center.

e. Indirect Cost Rate (ICR) Agreements, negotiated with the cognizant Federal Agency;

- Provide a complete signed copy of the current ICR Agreement for the Lead Center and each subcontracted 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.

f. Schedule of Indirect Cost Worksheet; and,

OSBDC recommends the use of the updated template available at on OSBDC's webpage at: SBDC Forms and Worksheets which includes space to indicate whether each Center is on campus or off campus, and to list the name of the Center's host institution including those not identified as institutions of higher education, and

g. Cost Price Analysis

OSBDC recommends the use of the updated template available at on OSBDC's webpage at: SBDC Forms and Worksheets which includes a template for the SBDC Network's Cost Price Analysis.

4.1.2.1 Budget Preparation

OSBDC will provide SBDCs 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 SF-424, and the budget summary SF-424A, Lead Center and each subcontracted 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 4.1.1.2.

- Applicants must NOT include SBDC program income, nor unspent program funds from prior budget periods (carryover requests) on the Application SF424, Budget Information SF-424A or SBDC budget justification forms submitted in response to this Funding Opportunity. Planned program income expenditures should be described instead as part of the Technical Proposal. See Section 4.1.1.1 for guidance. Specifically:
    - Leave BLANK and do not include program income on the line f in Box 18, "Total Estimated Funding" of the SF-424;
    - Leave BLANK line 7 for "Program Income" on the SF-424A; and
    - Do NOT include program income costs in the detailed budget justification.

4.1.2.2 Subrecipient Costs (Subcontracted Service Centers)

An Applicant may contract with other entities to deliver SBDC services and must include a provision in the subrecipient agreement to comply with the Uniform Guidance in 2 CFR 200 and all appropriate flow-down provisions.

If an Applicant proposes to use subrecipients for delivery of SBDC client services (also referred to herein as subcontracted Service Centers), it shall include the subrecipient costs in the Contractual budget element on the SBDC Network's SF-424A Budget Summary form, and provide separate detailed budget justifications, with a line item breakout for Federal dollars, cash match, in-kind and indirect costs associated with the SBDC services to be provided by the proposed subrecipient organization. If the subcontracted Service Center proposes its own contractual costs (sub-subcontracts), it must provide supporting budget details such as a statement of work, the number of hours and rate of pay must be provided for each contractor.

For those SBDCs operating separate International Trade Centers (ITCs), Technology Centers or other specialty centers as part of the Cooperative Agreement, the Proposal must identify each Service Center's specialty designation. 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 4.1.2.3.

4.1.2.3 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.

Category	**Description**
a. Personnel:	List name and title of all personnel charged to federal and non-federal funds (direct costs). For vacancies, show position title in budget justification. If additional space is needed to explain the cost, include a 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. Fringe Benefits:	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.

c. Travel:	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: a.) Purpose, b.) Destination, c.) Mode of transportation and rate (i.e., airfare or mileage and rate), d.) Number of trips, and e.) Number and position of travelers.
d. Equipment:	List items costing $5,000 or greater 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.
e. Supplies:	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. and it must be made available upon request of the SBA.
f. Contractual:	List costs for contractual services that support program operations, such as website support, equipment maintenance or meeting facilitation. Provide budget details including: a.) Name of contractor, b.) Statement of work, c.) Number of hours and d.) rate of pay. If Applicant proposes to contract with another entity to provide SBDC client services (i.e., a subrecipient), costs for the subrecipient contract may be included on the Contractual line for the Network SF-424A Budget Summary, but the Applicant must also include a separate budget justification with cost detail by line item for each subrecipient. Please be reminded that if the Applicant uses a budget format other than OSBDC template, the Applicant must also include a separate SF-424A Budget Summary form for each subrecipient along with its detailed budget justification form.
g. Consultants:	Provide detail for Consultant costs shown on line 6g of SF-424A. (Note that form SF-424A lists category g. as "Construction", but Applicants are asked to use this line for SBDC Consultant costs only.) Consultant costs include costs for non-employee SBDC advisors, trainers and other staff who provide client services on an hourly or fee for service basis. Provide consultant(s) name, if known, specify purpose and indicate the number of hours and rate of pay.
h. Other:	List all expenses included in this cost category separately, with planned cost per item. 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. If rental costs are proposed, provide square footage required for SBDC activities and rate. If nominal costs for meals and hospitality expenses associated with client workshops or related events are proposed, include a justification that demonstrates such costs are reasonable and necessary to support the SBDC program mission and goals. Details may be included on the budget justification form, budget narrative or in a clearly marked section of the technical narrative. Do not list other items with zero amounts.

j. Indirect cost:	Show indirect cost amount on line j of the Budget Justification ONLY. (Do not include indirect costs as cash match or as in-kind contributions; or as a contractual cost category.) 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 (ICR) 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: SBDC Forms and Worksheets. 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).

4.1.3 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);** and
- 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.

** SF-424B 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 the order of Attachments.

Applicants need to provide a current assertion that the Network has included all of the forms, certifications, and assurances required by SAM.

4.1.4 Attachments and Exhibits

There will be 13 attachments. Please attach documents in the following order and include "Attachment #" in the document name. See Section 8.4 for additional guidance and location of required forms.

1. Attachment #1: List of Attachments submitted through Grants.gov;
2. Attachment #2: Technical Proposal, including program narrative, organization chart, Network listing, resumes and other required information;
3. Attachment #3: Planned Milestones worksheet;
4. Attachment #4: Cost Proposal, including SBDC budget narrative, detailed budget justification by line item, personnel listing and other required cost detail for each Center and the Cost-Price Analysis Worksheet;
5. Attachment #5: Indirect Cost Rate Agreement for Lead and Service Centers (if any);
6. Attachment #6: Certification Regarding Debarment, Suspension and Other Responsibility Matters (SBA Form 1623);
7. Attachment #7: Certification Regarding Drug-Free Workplace Requirements;
8. Attachment #8: Certification Regarding Lobbying (SBA Form 1711);
9. Attachment #9: Cash Match and Program Income Certification Form;
10. Attachment #10: Cost Sharing Proposal (SBA Form 1224);
11. Attachment #11: A-133 Audit Report (or link to a webpage with instructions on how the report can be viewed by SBA);
12. Attachment #12: Letter of Support from SBA District Director; and
13. Attachment #13: Additional information or other documentation the Applicant believes is necessary to support its Proposal. If the Lead Center has any contracts greater than $10,000 (excluding the Service Center contracts) they should provide a statement as part of Attachment #13. That would include a list of each contract above $10,000, the three quotes for each contract and a justification if they do not go with the lowest bidder.

4.1.4.1 Treatment of Proposal Information

If the SBDC's Proposal contains confidential data, such information will be treated in accordance with Part 102 of SBA's regulations. See 13 C.F.R. Part 102.

4.1.4.2 Treatment of Client Information (Privacy Requirements)

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.

15 U.S.C. § 648(a)(7) provides that client information can only be made available to SBA for legal enforcement action and financial audits. However, SBA is also allowed access to client data for obtaining program activity information or conducting client surveys. For clients who have responded "yes" to Question 11 in Part I of SBA Counseling Information Form 641, the SBDC shall provide the information and data contained in Part I along with the small business name every 90 days. SBA will safeguard client and customer Personal Identifiable Information (PII).

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.

Except where a client consents in writing or as directed by SBA per the statute cited above, SBDCs are not permitted to disclose any client information to a third party (or share such information with other units of your organization not directly involved in the conduct of this project).

4.1.5 Funding Restrictions

4.1.5.1 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.

4.1.5.2 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. To obtain Prior Approval through this Proposal for travel outside of the Service Area, all pertinent details must be provided as indicated under Section 4.1.2.3(c).

Prior approval for travel is limited to the following types of trips:

- Any travel by state/local/tribal government officials; and
- Out-of-state travel by SBDC employees only if they will be providing assistance to businesses in that other state.

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 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 U.S,C § 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. This prohibition includes lobbying during the ASBDC Spring Conference.

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 another Federal Agency may request that the SBA Project Officer provide an SBA ICR 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 listed herein 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: a.) In direct support of the SBDC Program goals and objectives, and b.) 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; and,
- 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.

Only SBDC Program funds allocated for direct costs may be used to determine the allowable reimbursed or waived indirect cost. Any Agreements subsequently negotiated with a Federal Agency will supersede the SBA Indirect Cost Rate Agreement.

If the Applicant or participating subcontracted 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 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.

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 (F&A) 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 was involved in issuing the sub-award that included the aforementioned administrative costs.

Indirect costs cannot be claimed for the Lead Center or for subcontracted 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. 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. Applicants must indicate the name of the host institution and whether the on or off campus indirect cost rate should be applied for each center where indirect costs are claimed. Please use the updated OSBDC Schedule of Indirect Costs worksheet to provide this information. The worksheet is available on OSBDC's webpage: SBDC Forms and Worksheets.

5. Justification of Costs

All costs proposed require justification and narrative explanation for the Lead Center and each subcontracted 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

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 the SBDC logo on SBDC training supplies such as pens, notepads or flash drives (which contain course material), etc. are allowable. Certain promotional items (e.g., clothing imprinted with the SBDC logo) may be charged to Program funds on a case-by-case basis and should be listed in detail in the Proposal. OSBDC will review such proposed costs on a case-by-case basis to determine reasonableness and allowability. The OSBDC Grants Management Specialist may request further information if required to make this determination. 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

With the exception of travel costs, compensation 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.

4.1.6 Financial Guidelines

4.1.6.1 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) and the SF-425. The SBDC will include as an attachment to the SF-425, the SBA Form 2113 and Form 2113 Worksheet and a narrative description of how program income was used to further program objectives.

4.1.6.2 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 by the Applicant organization or 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: a.) Funds contributed from other Federal sources [see exception below]; b.) 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 c.) 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 (HUD) are allowed when: a.) The SBDC activities are consistent with the authorized CDBG activities for which the funds were granted; and b.) The CDBG activities are identified in the

Consolidated Plan of the CDBG grantee or in the Agreement between the CDBG grantee and the subrecipient 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 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.

4.1.6.3 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.

4.2 Submission Instructions

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: www.grants.gov.

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

- Have a Data Universal Numbering System (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 www.grants.gov. Applicants must register as organizations, not as individuals. Organizations already registered with Grants.gov do not need to re-register. However, all registered organizations must keep their SAM registration up to date. The legal name, including Doing Business As (if any), and address on the Application and in SAM must be the same.

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 Section 5.3.

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 complete, 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 a.) Print any error message received; and b.) 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 a.) Obtain a DUNS number or complete the SAM or Grants.gov registration process; b.) Ensure that an AOR submits the application; or c) 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://Grantswww.grants.gov/web/grants/applicants/applicant-faqs.html. 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 help@Grants.gov or telephone at 1-800-518-4726. The Grants.gov help desk is available 24/7 Eastern Standard Time (EST) except for Federal holidays.

4.3 Required Proposal Submission Dates

Each Federal fiscal year funded Applicants is required to submit its proposal electronically via www.grants.gov no later than 11:59 p.m. Eastern Daylight Time on September 25, 2021. 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. 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 Funding Opportunity 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 a.) Print any error message received; and b.) Contact Grants.gov for immediate assistance. Applicants may obtain advice and assistance with the Grants.gov submission process by visiting **www.grants.gov** or by calling 1-800-518-4726.

5 Section V – Application Review Information

5.1 General

Proposal Evaluation

A. Applicant Screening

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

Tier One:

Applications will first be screened to determine if the Applicant meets stated mandatory eligibility requirements. SBA will not evaluate Applicants that do not document in their application that they meet the requirements for participation in the SBDC program**.** Only eligible applicants that are physically located and solely operating within the State of American Samoa), which meet the requirements for participation in the SBDC program and submit a complete application in response to the specifics contained in this Funding Opportunity will be considered. **Submissions will only be accepted via www.grants.gov.** Proposals will be rejected without being evaluated if they are submitted by ineligible organizations or they are illegible or materially incomplete due to an Applicant's failure to include all required forms and/or provide the required level of detail.

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 Funding Opportunity 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. (Must be 80 or above). 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 review will be virtual)*** 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.

5.1.1.1 SBA Duties and Responsibilities

SBA Agency Officials and Offices will coordinate and communicate through the SBDC Lead Center.

5.1.1.2 OSBDC responsibilities include, but are not limited to:

- Emailing the continuation letter to the SBDC Lead Center Director;
- Notifying the SBDC Lead Center Director when the Funding Opportunity is posted on www.grants.gov;
- Reviewing the Proposal and resolving any outstanding issues raised by the District Office under the Disputes Policy (See 13 C.F.R. Part 130.);
- Approving the Proposal and issuing the Notice of Award;

- Conducting programmatic and financial reviews; and
- Ensuring the SBDC information related to the opening or closing of Service Centers is updated upon submission from the SBDC Lead Center offices.

5.1.1.3 SBA District Office responsibilities include, but are not limited to:

- Reviewing the Proposal with the SBDC Lead Center Director,
- Issuing Letters of Support 13 CFR part 130.410 requires written recommendation for approval by the SBA District Director for new applicants and 13 CFR part 130.420 for current applicants,
- Collaborate on District Office and SBDC goals, as well as other SBA program priorities, and
- Coordinating communications with the SBDC Lead Center.

5.1.1.4 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."

5.1.2 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 U.S.C. § 648, and Federal regulations, 13 C.F.R. 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 U.S.C. § 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 C.F.R. Part 130.340(c), SBA has identified certain special emphasis groups, as defined in Section 8.1.36 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 C.FR. Part 130.340 and the Small Business Act) to small businesses and prospective small businesses.

The SBDCs must ensure that their economic development and technical assistance services are available to all small business populations, including special emphasis groups [13 C.F.R. 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.

5.1.3 Statutorily Required Services

SBDCs are required to provide the following services:

5.1.3.1 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, other SBA Resource Partners, and SBA participating lenders (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,
- SBDCs must have counselor resources or referrals available to meet the needs of entrepreneurs throughout the SBDC's designated Service Area.

5.1.3.2 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.

5.1.3.3 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, the U.S. Department of Agriculture and other relevant Federal Agencies; and
- The SBDCs 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.

5.1.3.4 Export Assistance:

- Maintain a minimum number of certified export assistance counselors available to assist clients develop export and international trade opportunities by meeting the requirement in Section 22(i) of the Small Business Act. SBA has interpreted the legislation to mean that the certification standard is based on the total number of full time equivalent (FTE) counselors in each SBDC Network. The minimum number of certified counselors for an SBDC Network is the <u>lesser</u> of:

  a. Five counselors; or
  b. Ten percent of the total number of FTE counselors in the Network.

  Example: If an SBDC has a total of thirty FTE counselors in its Network, the minimum number of counselors who must attain SBA's export and trade certification is three (3) since 10% is the lesser number. The minimum number of certified counselors required for SBDC Networks with 50 or more FTE counselors is five (5).

- 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 (FTE) counselors employed and the number certified. SBDCs not meeting this requirement shall include a plan for attaining compliance with the law in their proposal narrative, including an implementation timeframe.

- Report client data for export assistance as required on SBA Form 641, including 1.) Numbers of small businesses new to export 2.) Numbers of new markets entered 3.) Export revenues; 4.) referrals to a USEAC or SBA 5.) Referrals to the Department of Commerce, Department of Agriculture, Department of State, Ex-Im Bank, OPIC or the USTDA; and 6.) Number of jobs created or retained in the exporting aspect of the business.

- Make qualified referrals to SBA's Office of International Trade of small businesses that need help obtaining financing: 1.) For export development activities; 2.) To expand export operations; or 3.) To facilitate export transactions.

- Cooperate 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;
  - 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;
  - Make translation services more readily available where possible to small firms doing business, or attempting to develop business, in foreign markets; and
  - Establish hyperlinks between SBDCs, U.S. Export Assistance Centers, and the Department of Commerce (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.

5.1.3.5 Base Closure Assistance:

Develop and implement 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 facility or a contract in support of such facility.

5.1.3.6 Innovation Protection

In accordance with PL 115-259, the Small Business Innovation Protection Act of 2017, SBDCs shall provide services to individuals to include training in person or through a website relating to:

- Domestic and international intellectual property protections, and
- How those protections should be considered in the business plans and growth strategies of small businesses.

5.1.3.7 Small Business Employee Ownership and Cooperatives Promotion

In accordance with the John S. McCain National Defense Authorization Act for Fiscal Year 2019, SBDCs shall provide access to information and resources on employee ownership through cooperatives or qualified employee trusts as a business succession strategy. SBDCs must provide

services encouraging and assisting the provision of succession planning to small business concerns with a focus on transitioning to cooperatives, as defined in section 7(a)(35) of the Small Business Act, and qualified employee trusts (collectively referred to in this subparagraph as 'employee-owned business concerns'), including by—

- Providing training to individuals to promote the successful management, governance, or operation of a business purchased by those individuals in the formation of an employee-owned business concern;
- Assisting employee-owned business concerns that meet applicable size standards established under section 3(a) with education and technical assistance with respect to financing and contracting programs administered by the Administration;
- Coordinating with lenders on conducting outreach on financing through programs administered by the Administration that may be used to support the transition of ownership to employees;
- supporting small business concerns in exploring or assessing the possibility of transitioning to an employee-owned business concern; and
- Coordinating with the cooperative development centers of the U.S. Department of Agriculture, the land grant extension network, the Manufacturing Extension Partnership, community development financial institutions, employee ownership associations and service providers, and local, regional and national cooperative associations."

5.1.3.8 Regulatory Compliance:

- Maintain 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; and
- Develop information publications, establish resource centers of reference materials, make appropriate referrals to the SBA's Office of the National Ombudsman, and distribute compliance guides published under section 212(a) of the Small Business Regulatory Enforcement Fairness Act of 1996, Public Law 102-121.

5.1.3.9 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; and
- Maintaining lists of local and regional private consultants to which small businesses can be referred.

5.1.4 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 identify services that meet local needs based on periodic needs assessments. SBDC Lead Center Directors should integrate the SBA strategic plan into the Proposal, including, but are not limited to:

- Maintaining 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 (NIST) 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 programs in conjunction with the SBA Regional Administrator and SBA District Office; coordinating with their state, local and tribal economic development officials, chambers of commerce, lenders and other public and private entities to maximize business development in underserved areas.
- Developing economic recovery programs and plans that include counseling small business owners on ways and means to strengthen business recovery and continuity; and
- Participating in and actively supporting community economic development in the SBDC's stated area of geographic coverage, 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 SBDCs acting as catalysts to initiate development projects beneficial to the community as a whole.

5.1.4.1 Government Contracting Assistance

- Provide information and assistance to small business owners interested in pursuing Federal, state and local prime contract and subcontract opportunities;
- Advise and assist small business owners to develop and execute effective marketing and sales plans for targeting Federal prime contracts;
- Work cooperatively with the Procurement Technical Assistance (PTAC) program;
- Help 8(a) firms either directly or through the Applicant's affiliate in the area of contract education and assistance; and
- Work with SBA District Offices to assess the needs of 8(a) firms to provide the 8(a) firm with business management and other education, training and information.

5.1.4.2 Access to Capital and Other SBA Programs

- Provide financial packaging and other financial counseling assistance; including assistance for SBA loan products and services;
- Provide access to tools and initiatives offered by SBA's Office of Veterans Business Development (OVBD);

- Inform small business contractors about SBA's Surety Bond Guarantee Program, as appropriate.

5.1.4.3 Emerging Markets

Provide outreach and service delivery to entrepreneurs of all demographics, backgrounds 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.

5.1.4.4 Historically Black Colleges and Universities

Given the importance of Historically Black Colleges and Universities (HBCU) in American higher education and the ever-increasing growth and interest in entrepreneurship and small business throughout the HBCU community, it is a natural fit for SBDCs and the SBA to also increase its services, partnerships and outreach to HBCUs.

According to the U.S. Department of Education, states with HBCUs include Alabama, Arkansas, Delaware, the District of Columbia, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Missouri, North Carolina, Ohio, Oklahoma, Pennsylvania, South Carolina, Tennessee, Texas, the U.S. Virgin Islands, Virginia and West Virginia.

SBDCs with HBCUs in their states or regions, will partner with their respective SBA Regional and District Offices and respective HBCU leadership (the university president, dean, chancellor, etc.) to enhance collaboration.

5.1.4.5 Cybersecurity

Each SBDC Lead Center network is responsible for creating a formal cybersecurity training program for its state or regional network. The training will be designed to provide a broad mix of small businesses with a variety of training programs that range from introductory familiarization to intermediate and even advanced cybersecurity training. Cybersecurity training outlines, programs, classes and metrics should be included in the EDMIS-NG. In FY21, the annual and semi-annual reports must include a formal section on a Network's cybersecurity training program and the results and impact of its cybersecurity program.

5.1.4.6 Intellectual Property - USPTO:

Each SBDC Lead network is responsible for creating a formal Intellectual Property (IP) training program for its state and regional network. The training will be designed to provide a broad mix of small businesses with a variety of training programs that range from introductory familiarization to intermediate and even advanced Intellectual Property training. To fulfill this important training requirement, SBDCs are encouraged to contact the SBA SBIR/STTR office and the SBA Office of International Trade (OIT). More so, the US Patent and Trademark Office (USPTO) will also provide a mix of online, webinars and in-person IP training to the SBDCs through their regional and national offices. Requests for SBA and USPTO training-assistance can be made directly to these offices or through the Network's OSBDC Program Manager. IP training outlines, programs, classes and metrics should be included in the EDMIS-NG. In FY21, the annual and semi-annual reports must include a formal section on a network's IP training program and the results and impact of its IP program.

5.1.4.7 Additional SBA Service Groups

While the core purpose of the SBDC program remains the provision of direct assistance to small businesses, SBDCs may also, under certain circumstances, provide technical assistance to non-profit organizations. Specifically, where a significant portion of a non-profit organization's activities involve providing aid to small business concerns, it is permissible for an SBDC to provide counseling or training to such non-profits on the ground that such action still results in the provision of technical assistance to small business concerns, albeit in an indirect "train the trainers" type of approach rather than in a direct manner.

5.1.5 Program Overview

SBDCs operate under a plan to provide assistance within a state or designated geographical area. As a condition of any SBA grant award made, SBDC Applicants are required to provide at least an equal amount of matching funds from sources other than the Federal Government. SBDCs operate under the provisions of the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards, 2 C.F.R. Part 200, a Notice of Award (the Cooperative Agreement) issued by SBA and the provisions of this Funding Opportunity.

The SBDC Network must provide 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, SBDCs 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 or territory. These administrative services shall include, but not be limited to, a.) program development; b.) program management; c.) promotion and public relations; d.) financial accounting; e.) reports management; and f.) 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 U.S.C. § 648(c)(2).

5.1.6 Required Reporting Lines for SBDC Lead Center Director

The SBDC Director, if an employee of an SBDC Lead Center hosted by an educational institution, must report to the school or college dean or an equivalent or higher-level administrator. In a non-educational organization, the SBDC Director must report to an individual who is no lower than the third level of management or administration within a state agency.

5.1.7 Program Organization and SBDC Name

The specific identification "Small Business Development Center" or "Small Business and Technology 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. The entity established by the Recipient Organization to manage statewide Small Business Development Center operations and activities is referred to

as the SBDC "Lead" Center. The Lead Center manages and administers a comprehensive small business assistance network, consisting of the Lead Center and its Service Centers, under the terms of a Cooperative Agreement between the U. S. Small Business Administration and the Recipient Organization. This Network is part of the Small Business Development Center Program.

5.1.8 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:

5.1.8.1 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 District Office who shall recommend to the AA/SBDC 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/SBDC.) Failure to obtain 30-day prior approval from the AA/SBDC or his/her designee may result in suspension or termination of funding.

5.1.8.2 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.

5.1.8.3 Changes in Service Delivery Plan

If a Recipient proposes to add or close a Service Center, including adding a new contracted service provider (subcontracted Service Centers), the Lead Center must request prior approval in writing or by email to the Project Officer and OSBDC Program Manager. The Recipient may also be required to submit modifications to the technical proposal and/or cost proposal and supporting documents to effect this change.

5.1.8.4 Recruitment for a SBDC State/Regional Director

a. Prerequisite to filling the SBDC State/Regional Director position, the Recipient Organization must submit recruitment and selection plans for the SBDC State/Regional Director position to the SBA District Director (or Lead District Director when there is more than one District Office) and to the OSBDC Program Manager for approval of the plan's adequacy. The final three candidates will be forwarded to the AA/SBDC for review. After the final candidates are interviewed and a potential candidate is selected, the SBA District Director will review the SBDC State/Region Director selection and will provide feedback and recommendation to the AA/SBDC and the SBDC Recipient Organization. The AA/SBDC provides the final concurrence before an offer is made.

b. Recruitment plans for filling the vacancy in excess of 120 days beyond the Director's departure date must have prior approval of the AA/SBDC. If the SBDC State/Regional Director is subject to removal or replacement, the Recipient Organization must notify the SBA District Director and the AA/SBDC (at least) ten days before taking such action, if possible. SBA also requests a written explanation of such action, if allowed by the Recipient Organization.

5.1.8.5 Entering into Contracts

Entering into a contract calling for the expenditure of $250,000 or more in project funds, with the exception of subrecipient agreements or entering into a contract that, when combined with other contracts held by a single individual or organization (including affiliates, subdivisions, and subsidiaries), would result in that entity receiving $250,000 or more in aggregated project funds unless included in the proposal. The contracts must be awarded via competition. Noncompetitive contracting at this level is only allowed if the Host Organization can demonstrate to SBA's satisfaction either: (i) there is only one possible source for a particular good or service or (ii) there is an emergency involving the risk of imminent damage to property or injury to people. For contracts between $10,001 and $250,000, you do not need to submit copies of the proposed contracts to the GOR for approval before executing them. However, the Host Organization must obtain price quotes (either orally or in writing) from at least three qualified sources and inform SBA of these quotes in the corresponding payment requests/financial reports. If the Host Organization does not choose to go with the lowest quote, the Host Organization must explain why. For contracts of $10,000 or less, the Host Organization does not need to submit copies of the proposed contracts to the GOR for approval before executing them and the contracts are not required to be awarded via competition if the Host Organization considers their prices to be reasonable.

5.2 Evaluation Criteria

All timely, materially complete applications received from eligible organizations will be reviewed in accordance with the criteria listed below.

In addition, as participants in a grant program of the SBA, SBDCs 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 2022 Congressional Budget Justification and Annual Performance Report"

Overarching Administration performance is outlined in the Government Performance Results Act.

Performance Measurements

SBA is focused on strategic planning, performance and proven results as measured by each SBDC's achievement of negotiated 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 Jobs Supported;
- Number of New Businesses Starts;
- Number of Unique Clients Served; and
- Amount of Capital Infusion.

Data reporting performance goals/measurements are collected through SBA's centralized data collection system (currently EDMIS-NG). 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. For accountability and transparency, reports on goal achievement will be disseminated quarterly to the SBDC

State/Regional Directors, the Deans of the host universities, the SBA District Directors, the Associate Administrator for Entrepreneurial Development and the SBA Administrator.

5.2.1 Important Priorities for SBDC Recipients in FY/CY 2021:

- 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 guidance and training to small business on cybersecurity;
- Providing increased services to small businesses on intellectual property in conjunction with USPTO;
- Counseling and training to rural entrepreneurs and small business owners;
- Providing assistance to veterans; and
- Assisting small businesses to prepare business continuity/disaster readiness plans.

5.2.2 Organizational Experience and Capacity

Applications will first be screened to determine if the Applicant meets stated mandatory eligibility requirements.

5.2.3 Collaboration and Leveraging of Resources

Applicants will be reviewed on the breadth of their plans for coordinating their proposed activities and working to expand the scope and reach of their project in collaboration with entities such as SBA's District Offices, other Federal, state, local and tribal government agencies, other SBA grant Recipients/resource partners (e.g. SCORE, WBCs), trade associations, business/industry groups, institutions of higher education and/or private organizations. Additionally, Applicants should note the availability of any non-award funds and/or in-kind resources that will be pledged to the performance of their projects.

5.2.4 Risk Assessment

As required by 2 C.F.R. § 200.205(b), Applicants will be further evaluated by OSBDC 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:

e. Financial stability;
f. Financial Management systems quality and its ability to meet the management standards prescribed in 2 C.F.R. § 200.302;
g. 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
h. Ability to effectively implement statutory, regulatory or other requirements.

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

5.3 Review and Selection Process

All SBDC funding proposals must be reviewed by and receive a letter of support from the SBA District Office(s) (District Director and/or designee) in their geographic territory prior to submission of the final proposal to

Grants.gov; a letter of support from the SBA District Director should be included in the proposal submission. If multiple SBA District Offices are in the geographic service area of the SBDC, one SBA District Office Project Officer serves as the designated primary point of contact for the SBDC. The letter of support should outline agreed upon areas of collaboration such as: Rural Initiatives, Small Business Week, HBCU outreach, and other collaborative events.

After the Proposal has been received by OSBDC, all submissions and/or revisions (if any) will be reviewed for programmatic and financial content and sufficiency by the appropriate OSBDC Program Manager and Grants Management Specialist. SBDCs will be contacted by either the Project Officer or OSBDC if the Proposal/submission has issues that require resolution. The SBA Program Manager recommends approval for funding to the Grants Management Specialist once the programmatic review of the Proposal has been completed. The Grants Management Specialist reviews the budget and all fiscal documentation to ensure that costs are in compliance with applicable OMB cost principles and issues the Notice of Award.

6.0 Section VI – Award Administration Information

6.1 Award Notification

Recipient Organizations will be notified of annual funding award status.

6.2 Administrative and National Policy Requirements

All successful Applicants will be required to comply with the requirements set forth in Section 21 of the Small Business Act 15 U.S.C. § 648 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. In addition, SBA may, from time to time, advise Recipients of awards made under this Funding Opportunity 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-NG

All SBDCs are required to report program data through SBA's data collection system (currently EDMIS-NG). EDMIS-NG serves as a centralized data collection system. While SBDCs may use EDMIS-NG 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-NG). 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.

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. If all required Reports are not submitted on-time, completed and accurate they will not be accepted by OSBDC and will be returned to the Recipients for required revisions.

The required Reports are:

a. SBDC Quarterly Counseling and Training Reports (EDMIS-NG submission);
b. Financial Reports, including SF-425 with required attachments;
c. Program Income Report (SBA Form 2113 and required attachments);
d. Performance Reports;
e. Annual Economic Impact Data Report (EDMIS-NG submission); and
f. For FY 2021, a planned milestones worksheet is to be included in the Semi-Annual and Annual Report which shows Network total results by quarter for Jobs Supported (JS), New Business Starts(NBSs), Unique Clients Served (UCS), and Capital Infusion (CI) for each Network entity listed in the Notice of Award.

6.3.2.1 SBDC Quarterly Counseling and Training Reports (EDMIS-NG Submission)

Due no later than 30 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-NG as part of this quarterly reporting requirement. All SBDCs are required to either manually enter data or upload batch files to the EDMIS-NG system. These files must contain complete information for all fields. The EDMIS-NG system stores this client specific information and is capable of generating reports on the data. The data collection tools consist of Form 641 and Form 888 as well as an online collection of annual impact data. The Form 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 gross sales, export sales, government contracting and other economic impact data. Economic Impact data that is collected on the Form 641 should also be included in the Economic Impact Report in EDMIS-NG. The most current version of approved client definitions is available on www.sba.gov/EDMIS-NG . Other documentation regarding EDMIS-NG 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. All financial reports must include the following items:

a. SF-425 signed by Authorized Official of the Recipient Organization;
b. Spreadsheet in support of the SF-425;
c. Budget vs. Actual Expenditures;
d. Schedule of indirect cost reporting, federal portion and waived indirect on the SF-425 – showing actual indirect costs;
e. SBA Form 2113; and
f. Spreadsheet in support of the SBA Form 2113.

1. **Semi Annual (or Quarterly) Financial Reports**.

Semi Annual Reporting - Due no later than 45 days after the close of the second quarter for SBDC Recipients in the Program for more than three years.

Quarterly Reporting - New SBDC Recipients in the Program for less than three years are required to provide a quarterly financial report for the first three years of operation.

Quarterly Reports are due no later than 45 days after the close of the first, second and third quarters.

Quarterly Reporting in Year Two - SBDC Recipients that are obligating and expending program funds in year two of their award must submit quarterly financial reports 45 days after the end of each quarter of program activity.

2. **Final Financial Reports**

Due no later than 120 days after the end of the fiscal or calendar year cycle for all SBDC Recipients.

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. 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 SF-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, outputs, outcomes and achievements in these reporting categories with accompanying management analysis.

Performance reports must include data showing attainment of goals established for the four SBDC performance measures included in the recipient's Notice of Award. Data on achievement of performance goals and reporting on other planned milestones and proposed activities should correlate to accomplishments achieved during the reporting period for each Recipient's designated project and budget period (fiscal year beginning October 1st or calendar year cycle beginning January 1st).

Performance reports must be submitted to the SBA Project Officer, SBA Program Manager and SBA Grants Management Specialist (GMS) in electronic format, preferably MS Word. To avoid problem with electronic email size limitation, transmission of electronic reports should not be over 5MB.

1. **Semi-Annual Performance Reports**

Semi-Annual Reporting - Due no later than 45 days after completion of the first six months of the SBDC's performance period for SBDC Recipients that have been in the Program for more than three years.

Quarterly Reporting - New Recipients that have been in the Program less than three full fiscal or calendars year cycles, or those Recipients that are subject to special conditions that require more

frequent reporting. Such Recipients must submit progress reports on a **quarterly basis**, due 45 days after the end of each quarter. Quarterly Reports must include the same content outlined for the Semi-Annual performance Reports.

Semi-Annual and Quarterly Performance Reports must include 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 period completed to date, 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 is also required. The Report should provide the SBDC's analysis of overall performance measurements achieved to date, as well as an explanation of those objectives or measurements not fully met and SBDC management's strategy for improvement.

Reports must not exceed 25 pages and must include all attachments and data set forth in Sections 6.3.2.4 and 6.3 and in the Notice of Award.

2. Annual Performance Report:

Due within 90 days after the close of the SBDC's twelve-month performance 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.

The Annual Report should be in the same format as the Semi-Annual Reports and represents the consolidated effort of the entire SBDC Network for the full performance period, highlighting third and fourth quarter information as necessary. 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 is also required. The Annual Report should provide the SBDC's analysis of overall performance measurements achieved as well as an explanation of those objectives or measurements not fully met along with recommendations for improvement.

6.3.2.4 Annual Economic Impact Data Report

The Report is due within 120 days of the close of the SBDC performance period. Calendar year-end and fiscal year-end impact data reporting is required to be collected from all SBDC Service Centers and reported through the appropriate data entry screen in EDMIS-NG.

A summary table and narrative discussion of annual economic impact results must also be incorporated in the Annual Report. See "Reporting Category Definitions, Category 2300," below for more information.

6.3.2.5 Economic Impact Reporting

Steps	Quarterly Counseling and Training Data Reporting to EDMIS-NG	Annual Economic Impact Data Report	Semi Annual and Quarterly Performance Report	Annual Performance Report
How to Submit	Uploads to EDMIS-NG from Form 641	Input via EDMIS-NG Impact Screen*	Include Summary Table and discussion under Category 2300 Economic Impact	**Include Summary Table and discussion under Category 2300 Economic Impact**
Date Due	30 days after close of each Quarter through EDMIS-NG	30 days after close of budget period	45 days after the close of 6-months of operation or 45 days after the end of a quarter for SBDCs in their first 3 years of operation	**120 days after the close of the budget period**
Number of New Businesses Started	√	√	√	√
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	√	√
Customer Satisfaction Rate				√
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. **Note Jobs Supported is a combination of Jobs Created and Retained per the Section 8.1 - Client Definitions.

6.3.3 Reporting Category Definitions

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. Interim and annual 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.*)

0100 CAPITAL FORMATION

Demonstrate delivery of the following:

• Develop or assist in developing capital for small businesses (e.g., loans, microloans, grants, Community Express); and

• Developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0200 INNOVATION, TECHNOLOGY TRANSFER AND TECHNOLOGY ASSISTANCE

Demonstrate delivery of the following:

• Identifying innovation and technology developed by the Federal Government and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability;

• Transferring expertise and equipment available from the Federal Government to the private sector;

• Transferring innovation and technology from business to business, SBIR activities, etc. Note any collaboration with the National Institute of Standards and Technology (NIST), and

• Providing information and education on the use of technology in everyday business activities or processes.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0300 INTERNATIONAL TRADE

Demonstrate delivery of the following:

• Current # of SBDC staff FTE Counselors that have attained certification for export assistance at intermediate or advanced level (CGBP). Include employee name, level and date of certification. Please distinctly identify the staff with certification in both intermediate or CGBP or any other export certifications obtained.

• Explain how you ensure certified staff remain current with best practices and resources supporting international trade counseling.

• 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;

• Data reported for the following categories (from SBA Form 641/EDMIS-NG):

- # of small businesses receiving export assistance from the SBDC;
- # of small businesses that started to export (new to export) after receiving SBDC assistance and to what markets;
- # of small business exporters that entered new foreign markets (new to market) as a result of SBDC assistance;
- Increase in export revenues attributed to SBDC assistance;
- Jobs created or retained as a result of exporting assistance; and
- # of small businesses referred to Departments of Commerce (DoC), Agriculture, State, Ex-Im Bank, OPIC, USDA and SBA Office of International Trade for trade assistance.

• Indicate if SBDC has Service Centers that are co-located with USEAC and/or state or local trade agencies or program offices.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0400 PROCUREMENT

Demonstrate delivery of the following:

• 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; and

• Indicate if SBDC manages a Federal PTAC or has Service Centers that are co-located with a PTAC and/or similar state or local program.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

0500 MANUFACTURING

Demonstrate delivery of the following:

• Assistance to manufacturing companies or their employees, including displaced manufacturing workers. Can include efforts and support to troubled companies, companies challenged by foreign competition, the United States, Mexico, Canada (USMCA) 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 Program (MEP); and

• Indicate if SBDC manages a MEP or has Service Centers that are co-located with MEP centers.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0600 SPECIAL EMPHASIS GROUPS

Demonstrate delivery of the following:

• Assistance to people with disabilities; rural communities; 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 Businesses and Women Owned Businesses.)

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0700 MINORITY SMALL BUSINESS DEVELOPMENT

Demonstrate delivery of the following:

• 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.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

0800 WOMEN-OWNED BUSINESSES

Describe briefly collaboration the Women's Business Centers (WBCs) and any seminars or specialized counseling approaches or other activities aimed at women entrepreneurs (e.g. OWBO's Ascent Program).

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

0900 VETERANS, RESERVISTS, SERVICE-DISABLED VETERAN-OWNED BUSINESSES AND ALL OTHER MEMBERS OF THE U.S. MILITARY

Demonstrate delivery of the following:

• 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 (VBOCs); providing Veteran Entrepreneurial Training Programs, include marketing the availability of the V-WISE and Operation Endure and Grow programs managed by the SBA Office of Veterans Business Development (OVBD); 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; and

• Identify any SBDC Service Centers that are co-located with VBOCs or other armed services/veteran assistance programs.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

1000 RURAL ASSISTANCE

Demonstrate delivery of the following:

• 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;

• 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. Departments of Commerce (DoC) and Agriculture (USDA) and other relevant Federal agencies; and

• Identify any SBDC Service Centers that are co-located with USDA assistance centers or other state/local rural assistance program centers.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

1100 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES

Demonstrate delivery of the following:

• 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;

• Areas reported on may include Agribusiness, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators; and

• 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 businesses.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

1200 RESEARCH

Demonstrate delivery of the following:

Research efforts aimed toward assisting small business and economic development such as database development and needs analysis.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

1300 ONLINE 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 online counseling (email and real-time) and training; online 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 virtually facilitate delivering information to clients more cost effectively.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

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 SBDC 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 State/Regional Program Director.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

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.)

NO, DO NOT INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

1600 ADVOCACY

Demonstrate delivery of the following:

• 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; and

• Include, as appropriate: public speeches, testimonies before state and/or Federal legislatures and small business week activities.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

1700 RESOURCE DEVELOPMENT

Demonstrate delivery of the following:

• 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; and

• Any increase in match funding or other new program resources achieved during the reporting period.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

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 broadband efforts.

• Indicate collaboration with SBA's special initiatives such as Emerging Leaders and other Office of Entrepreneurial Development (OED) programs and Identify any SBDC centers that are co-located with other SBA resource partners such as WBC and SCORE.

YES, INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

1900 UNPLANNED TRAVEL

Provide a description of any unanticipated or unbudgeted out-of-country travel for Lead and Service Centers not disclosed in the Cooperative Agreement. Prior approval from the AA/SBDC is required for foreign travel that exceeds or was not included in approved budget. Also, prior approval for out of state travel not included the original Network's proposal is required from the local District Office, but not OSBDC.

NO, DO NOT INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

2000 KEY PERSONNEL CHANGES

Provide description of new key personnel not included in the proposal, including name, position, date of hire and resume. Also indicate any key personnel vacancies and anticipated fill date. If PIMS designee has changed since the proposal was submitted, report that change here and provide name, contact information including email address and effective date of change.

NO, DO NOT INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

2100 PROBLEMS

Provide a description of any and all problems that have significant impact on the Program or program objectives.

YES, INCLUDE IN PERFORMANCE REPORTS.

2200 BUDGET TO ACTUAL COMPARISON

Provide a comparison of actual program expenditures to date to the approved budget, by budget category and an explanation for any significant variances.

SBDCs must also furnish copies of SF-425, SBA Form 2113, the Cost Price Analysis worksheet and other requested financial reports and attachments as required.

NO, DO NOT INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS.

2300 ECONOMIC IMPACT

For each progress report, provide a table showing comparison of performance goals for Jobs Supported, Unique Clients Served, New Business Starts and Capital Infusion to actual accomplishments achieved during the reporting period and include a management analysis of results.

PROJECT PERIOD (CY xxxx or FY xxxx) GOAL ACTUAL

Total Training Clients

ACTUAL

Total Training Hours

ACTUAL

Unique Clients Served

GOAL # ACTUAL

Jobs Supported

GOAL # ACTUAL

New Businesses Started

GOAL # ACTUAL

Capital Infusion

$ GOAL $ ACTUAL

For the Annual Report 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. SBDCs must also manually enter these data in the appropriate report in EDMIS-NG. See Section 6.3.2.4 for guidance.

Survey Results

(use N/A if not collected)

Customer Satisfaction Rate %

New Business Starts

GOAL # ACTUAL

Capital Infusion $ value $ value

Loans – SBA

# of loans

$ value

Loan – Non-SBA

# of loans

$ value

Equity Capital $ value

Jobs Supported #

Growth in Sales $ value

New Tax Revenue – State $ value

New Tax Revenue – Federal $ value

NO, DO NOT INCLUDE IN PROPOSAL.

YES, INCLUDE IN PERFORMANCE REPORTS

6.4 Recordkeeping Requirements

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

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

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.

Online 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.

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 an electronic version of this form. For clients who have responded "yes" to Question 11 in Part I of SBA Counseling Information Form 641, the SBDC shall provide the information contained in Part I along with the small business name every 90 days. SBA will safeguard client and customer Personal Identifiable Information (PII).

6.4.2 Transactions with Suspended or Debarred Entities

SBDCs are responsible for verifying that entities (such as employees, consultants, contractors or other service providers) paid with program funds and clients receiving counseling assistance supported by program funds are not currently under suspension or debarment by or have an unresolved debt with 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.

6.4.3 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-NG). The training information will be considered certified by the State/Regional Program Director when uploaded into EDMIS-NG. The SBA Form 888 or similar program developed form must be maintained at the SBDC for review by the SBA when requested. *Note, in order for training clients to be counted as part of unique clients served, a Form 641 must be completed for each unique training client.

6.4.3.1 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 8.1.39. SBA's management information system collects both the number of sessions and hours for the course.

6.4.3.2 Online Training:

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

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

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

6.4.3.3 Co-hosted (Collaborative) training:

When reporting training numbers for a co-hosted training, the hosts (SBA and ED resource partners) can receive credit for the clients.

6.4.4 SBDC Client Evaluation Forms

Evaluations must be solicited from SBDC clients who receive 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 the Annual Report and economic impact report field in EDMIS-NG. See Sections 6.3.2.4 and 6.3.2.5 for further guidance.

6.4.5 Financial Recordkeeping

An SBDC must maintain the documentation for year-end Standard Form 425 (SF-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. 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 subrecipient organizations (i.e., subcontracted 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 subcontracted 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 subrecipients 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.); and,

- **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; however, in-kind cost for time committed by consultants to the SBDC Program may be counted as in-kind match with the appropriate documentation. The documentation must include a letter signed by the consultant indicating the hours they are donating and the rate to be charged for those hours. It also must be signed and dated.
    - 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; and
    - 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 Program Point of Contact

Questions concerning general information and technical aspects within this Funding Opportunity should be directed to the SBA Office of Small Business Development Centers (OSBDC) at SBDCGrantsq@sba.gov.

7.2 Financial/Grants Management Point of Contact

Questions regarding budgetary matters related to this Funding Opportunity should be directed to SBDCGrantsq@sba.gov. Questions regarding payments to the SBDC networks should be sent to SBDCpayments@sba.gov.

7.3 Grants.gov Technical Support

For technical support with filing an electronic application in response to this Funding Opportunity, contact the Grants.gov help desk at or help@Grants.gov.

8.0 Section VIII – Other Information

8.1 Definitions

The following definitions apply to awards made under this Funding Opportunity (See 13 CFR Part 130 et seq. for additional definitions relating to Small Business Development Centers.):

8.1.1 Applicant

An eligible organization that applies for funding under this Funding Opportunity.

8.1.2 Budget Period

The 24-month period, in which expenditure obligations are incurred by an SBDC Network, coinciding with either the fiscal or calendar year. For the purposes of this Funding Opportunity, the initial budget period will be January 1, 2021, to December 31, 2021 for calendar year awards. For the fiscal year awards the initial budget period is October 1, 2020 to September 30, 2021.

8.1.3 Businesses Created, Number of (Reporting)

Clients that were able to start (indicated they are in business) as a result of services received.

Computed by EDMIS-NG, businesses are considered "Started" 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" (SBA Form 641). See Section 8.1.6 for definition of "in business".

A New Business Start is counted for any counseling or training session within the specified time frame, FY or Quarter, that indicates the client is in business (the ***In Business*** flag is marked yes) and where all prior sessions, including sessions outside the time frame, indicates the client was not in business (the ***In Business*** flag is marked no).

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 drawdowns.

8.1.4.1 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 the SBA Form 641, Total Dollar Amount of SBA Loans, Total Dollar Amount of non- SBA loans and Dollar Amount of Equity Capital Received. Capital infusion shall be reported, client-by-client, once it is known as an update on the Form 641and uploaded to EDMIS-NG on a quarterly basis. NOTE: that capital infusion measures and reporting should not contain sales increases or events such as private or government contracts awarded since these are distinguished separately on the Form 641 and subsequently in EDMIS-NG.

8.1.5 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). 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; and
c. Start-up: those individuals (entities) who have been in business up to 12 months.

8.1.6 Contact Hours

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

8.1.7 Contributions/Donations

Funds received by the SBDC and expended. 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

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

a) Substantive in nature and require assistance from 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.

d) 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.

e) 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 Service Area's demographics.

f) 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.

g) Fees for counseling may not be charged.

h) 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.

i) Face-to-face Counseling (in person): Meets the definition of "counseling" and is conducted in person between counselor(s) and client representatives. 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).

8.1.8.2 Online Counseling (electronic): Meets the definition of "counseling" and is computer or internet based. The recipient of the online 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).

- Reporting Online Counseling: At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute:
    a. Client Name or approved client-coded name/number;
    b. Email Address; and
    c. 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 is conducted via telephone. 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).

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

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 (Staff, full-time, part-time)

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 certified export staff members 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 provided by SBA. 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 SBA official with delegated authority to obligate federal funds by signing the Notice of Award is the Grants Management Officer GMO. Also referred to in this Funding Opportunity as the Grants Management Specialist (GMS).

8.1.16 In-Business

See Section 8.1.6 for 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. In-kind donations may be provided by the recipient, subrecipient, contractor or other party to the Cooperative Agreement, and must be appropriately valued and documented. See Section 6.4.5 for guidance on in-kind documentation.

8.1.18 Jobs Supported

Total number of employee positions supported by services provided. Computed by EDMIS-NG as a sum of jobs created and jobs retained.

8.1.19 Key Personnel

Key personnel include Lead Center and Service Center directors or managers, including personnel responsible for managing specialty programs for Technology, International Trade Centers and the person designated to maintain the SBDC's PIMS information (PIMS designee). It does not include trainers, consultants, counselors or support staff.

8.1.20 Loan Package

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

8.1.21 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 Section 8.1.6 for definition of Client.

8.1.22 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.

8.1.23 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.

8.1.24 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.

8.1.25 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.

8.1.26 Project Period

The total annual period of performance for an award made under this Funding Opportunity.

8.1.27 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.

8.1.28 Religious Organization

An entity that is organized for religious purposes and engages in activity consistent with, and in furtherance of, such purposes.

8.1.29 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 1st – September 30th.

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), Community Navigators, 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 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.

8.1.32 SBDC Network/SBDC Program

The "Network" is the combination of the Lead Center, SBDC Service Centers and satellite locations.

8.1.33 SBDC Satellite Locations

A geographic point of service delivery that operates on a full or part-time basis under the direct management of an SBDC Lead Center or Service Center. SBDCs may staff service locations on a less than full time basis, but must provide information regarding regularly scheduled hours of service or service availability by appointment, and make this information readily available to SBA and the public. During operating hours, satellite locations must include required SBDC and SBA signage, and must provide space for confidential client counseling and secure storage of any client information maintained on site.

8.1.34 SBDC Service Center

An SBDC service location that operates on a full-time basis to provide counseling and training services within a service area designated by the Lead Center. Service Centers must be accessible to the public and staffed during the normal business hours throughout the year, except as granted by prior approval. Lead Centers shall establish a director or manager for each Service Center, and shall establish performance goals, and monitor Centers to ensure SBDC services are delivered in compliance and consistent with the requirements, policies and procedures established by SBA and the Lead Center. The SBDC Network must primarily use institutions of higher education and WBCs as service providers.

8.1.35 SBDC Subrecipients (Subcontracted Service Centers)

An entity authorized by the Lead Center to perform SBDC counseling and training services. The subrecipient entity must be identified in the Cooperative Agreement, having a written agreement with the Recipient Organization that (1) receives federal financial assistance and/or (2) administers matching resources for purposes of conducting SBDC activities.

8.1.36 Small Business

A business entity:

i) 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
ii) 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;
   - $39.5 million in average annual receipts for most general & heavy construction industries;
   - $16.5 million in average annual receipts for all specialty trade contractors;
   - $8 million in average annual receipts for most retail and service industries; and
   - $1.0 million in average annual receipts for most agricultural industries.

8.1.37 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, individuals in Opportunity Zones, among others.

8.1.38 Start-Up Business

A business entity that has been in business up to 12 months is considered a start-up business. See also Section 8.1.6 for definition for Client.

8.1.39 Technical Assistance

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

8.1.40 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 include two or more clients in attendance.

8.1.40.1 Online training (or webinars):

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., one to five-star ranking). Online training can be synchronous or asynchronous. (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.

8.1.40.2 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. See Section 8.2.18.

8.1.41 Training Hours (Total Number of Training Hours)

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

8.1.42 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.

8.1.43 Unique Clients Served

Number of unique clients counseled and/or trained. Computed by EDMIS-NG as a count of unique SBA client IDs with a reported counseling session or training in the time period indicated. In order to be counted, clients must be reported using an SBA Form 641.

8.2 Guidelines

8.2.1 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. SBDCs 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.

8.2.2 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.

8.2.3 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.

8.2.4 Financial Packaging Assistance/Access to Capital

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.

8.2.5 Financial Assistance Restrictions

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

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.

8.2.6 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 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 international trade programs. SBDCs shall maintain a minimum number of certified export assistance advisors in their network, as required by the Small Business Jobs Act. 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.

8.2.8 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 U.S. 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; and
- Assist SBA in disseminating information on trade promotion, trade finance, trade adjustment and trade remedy assistance.

8.2.9 Manufacturing Assistance

Many SBDCs partner with the Department of Commerce, National Institute of Standards and Technology's (NIST) 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 Semi-Annual and Annual Reports to SBA.

8.2.10 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.

8.2.11 Minority Business Development

SBDCs should work with their SBA District Offices to provide training and counseling to firms in all stages of participation in the 8(a) Program. Each 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 8(a) Business Development 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.

8.2.12 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).

8.2.13 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 Business Development Specialists;
- 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 HUBZone Program electronic application; and
- Working cooperatively with the Procurement Technical Assistance (PTAC) program.

8.2.14 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.

8.2.15 SBDC State/Regional Director

The SBDC State/Regional 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 percent of time allocated between this grant and other grants that provide management and technical assistance to small businesses. These 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 percent of the SBDC State/Regional Director's time must be dedicated to the functions of the SBA SBDC Cooperative Agreement. SBDC State/Regional Director may not receive additional compensation for managing these programs.

The SBDC State/Regional 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 State/Regional 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.

8.2.16 Surety Bond Guarantee Assistance

SBDCs are encouraged to educate their counselors 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.

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.

8.2.17 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.

8.2.18 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.

8.2.18.1 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 Centers 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. 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. The training file must also document how the receipts were distributed.

Each ED resource partner participating in a co-hosted training event is allowed to claim the total number of participants that attends a training event. Each ED resource partner must contribute substantive value to the co-hosted event in order to claim each participant attending the training event. The substantive value provided by the ED resource partner must 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.

8.2.19 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 (B2B). The B2B 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 B2B 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 may provide B2B 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 B2B will be coordinated by SBA District Offices and their designated Veterans Business Development Officer. As an extension of B2B, 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 B2B 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 provide business counseling and training as needed to minimize business interruption and/or 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 Veterans Administration (VA) regional office and engage VA Vocational Rehabilitation Counselors with clients.

SBDCs should highlight Veteran's needs at small business seminars, conferences and outreach Funding Opportunities. 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.

8.2.20 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.

8.2.21 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 four phases of the deployment cycle:

1. Pre-Deployment;
2. Deployment;
3. Demobilization; and
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:

> (h) 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.

8.3 Advance Understandings

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 online 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 and SBA Program Manager 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." SBDCs are required to report on the out-of-state or international travel completed after the fact in the Semi-annual or Annual Report. For additional guidance regarding authorization for travel, see Section 5.1.8.1.

Travel funds are authorized for the SBDC State/Regional Director and/or his/her designee to attend two America's SBDC (ASBDC) 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/SBDC, is authorized to allow the SBDC State/Regional Director and/or his/her designee to meet with national SBA officials to discuss local program initiatives.

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 State/Regional 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 Funding Opportunity. 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 or by email 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 Lead and/or

Service 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

Upload as ATTACHMENT 1 – **LIST OF ATTACHMENTS**

☐SBA Attachment Form

Upload the following attachments using correct attachment numbers and names.

Obtain template from OSBDC webpage

Upload as ATTACHMENT 2 – Technical Proposal, including program narrative, organization chart, Network listing, resumes and other required information;

☐Program Narrative. Include the following:

- ✓ Organizational Chart
- ✓ Program Management Strategy
- ✓ Program Objectives – including outcomes planned for each of the reporting categories in Section 6.3
- ✓ Online Services overview
- ✓ Scheduled SBDC closures
- ✓ PIMS contact info
- ✓ Advisory Board information
- ✓ Conflict of Interest Policy
- ✓ SBDC Planned Training
- ✓ Resumes for new Personnel
- ✓ Program Income plan
- ✓ List of Other funded activity
- ✓ SBDC Network Listing

Follow guidance on content and preferred presentation in this Funding Opportunity.

• Identify which locations are Service Centers, specialty centers (including ITCs) and satellite locations.

• Include Center name, host institution, address, phone, website and key contact. List PIMS location code if applicable.

• Verify that data matches PIMS.

Upload as ATTACHMENT 3 – **PLANNED MILESTONES WORKSHEET**

☐Planned Milestones Worksheet

• Complete information on match funding sources in Section 5.

• List SBA provided goals for Network and established for each subcontracted Service Center.

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets

Upload as ATTACHMENT 4 – **COST PROPOSAL**

☐ Cost-Price Analysis and Budget Justifications Worksheet

• Submit for Lead and each subcontracted Service Center.

• Sum of Direct and Indirect Cost on Budget Justification forms must match Network total on SF-424 and SF-424A.

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets.

Upload as ATTACHMENT 5 – **INDIRECT COST RATE AGREEMENTS**

☐Indirect Cost Rate Agreements

Submit for Lead and subcontracted 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 ATTACHMENT 6 – **CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS (SBA FORM 1623)**

☐ Certification of Regarding Debarment, Suspension and Other Responsibility Matters

Upload as ATTACHMENT 7 – **CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

☐Certification Regarding Drug-Free Workplace Requirements

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets.

Upload as ATTACHMENT 8 – **CERTIFICATION REGARDING LOBBYING (SBA FORM 1711)**

☐Certification Regarding Lobbying (SBA Form 1711)

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets.

Upload as ATTACHMENT 9 – **CERTIFICATION OF CASH MATCH AND PROGRAM INCOME**

☐Certification of Cash Match and Program Income

• Include a list of sources for cash match by source and amount, and

• SBDC Network Certification of Cash Match and Program Income (only one document required). Maintain individual certifications (if any) at Lead Center location.

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets.

Upload as ATTACHMENT 10 – **COST SHARING PROPOSAL (SBA FORM 1224)**

☐Cost Sharing Proposal (SBA Form 1224)

Obtain template from OSBDC webpage at: SBDC Forms and Worksheets.

Upload as ATTACHMENT 11 – **A-133 AUDIT REPORT** (or link to a webpage with instructions on how the report can be viewed by SBA)

☐A-133 Audit Report (or link)

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 ATTACHMENT 12 – **LETTER OF SUPPORT FROM SBA DISTRICT OFFICE**

☐Letter of Support from SBA District Office

Request from District Office

Upload as ATTACHMENT 13– **ADDITIONAL INFORMATION** or other documentation the Applicant believes is necessary to support its Proposal.

☐ Additional information or other documentation the Applicant believes is necessary to support its Proposal.

If the Lead Center has any contracts greater than $10,000 (excluding the Service Center contracts) they should provide a statement as part of Attachment #13. That would include a list of each contract above $10,000, the three quotes for each contract and a justification if they do not go with the lowest bidder.