

## 6.3 Reporting

### 6.3.1 Required Data Collection System - EDMIS

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

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

#### **PIMS Maintenance:**

SBA requires Lead Center SBDCs to maintain their Lead Center and Service Center information in SBA's Partner Identification Management System (PIMS), which interfaces with EDMIS. OSBDC will use PIMS to generate the network listing. The Lead Center SBDC will designate one employee to inform SBA to update PIMS and provide their name, email address and phone number within the proposal. Updates will not be processed unless they are received from the designated employee's email account. The employee will use the email account set up for PIMS at [websupport@sba.gov](mailto:websupport@sba.gov) and include "PIMS" in the subject line. The designated employee may be contacted by SBA web support for more information if it is needed.

SBDCs must notify SBA using [websupport@sba.gov](mailto:websupport@sba.gov) within 15 days of changes in contact information such as individuals, telephone numbers, fax numbers, e-mail and website addresses for Lead and Service Centers. However, [websupport@sba.gov](mailto:websupport@sba.gov) should not be used if your network has centers to be added, closed or assigned a location code. Instead, the designee must contact the appropriate OSBDC Program Manager within 15 days for centers to be added, closed or assigned a location code. Only OSBDC can open, close or update location codes.

In the event of a change in the PIMS designee, the SBDC must alert their SBA District Office and their OSBDC Program Manager within 15 days.

### 6.3.2 Required SBA Reports

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

The required reports are:

1. SBDC Quarterly Counseling and Training Reports (EDMIS submission)
2. Financial Reports, including SF-425 with required attachments
3. Semi-annual Performance Report
4. Annual Performance Report
5. Economic Impact Data Report
6. Program Income Report (SBA Form 2113) Note: To be submitted with final 424A report.

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

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

All data collected from the Form 641 (except as precluded by statute) are to be reported through EDMIS as part of this quarterly reporting requirement. All SBDCs are required to either manually enter data or upload batch files to the EDMIS system. These files must contain complete information for all fields. The EDMIS system stores this client specific information and is capable of generating reports on the data. The data collection tools consist of Form 641 and Form 888 as well as an on-line collection of annual impact data. The 641 is designed to collect client specific data. As such, it is recommended that all fields be as complete as possible. Non-mandatory fields must be completed when data is available, including but not limited to, capital infusion data, job creation and retention data and other economic impact data. Economic Impact data that is collected on the 641 should also be included in the Economic Impact Report in EDMIS. The most current version of approved client definitions is available on [www.sba.gov/edmis](http://www.sba.gov/edmis). Other documentation regarding EDMIS is also available at this site.

### **6.3.2.2 Financial Reports**

#### **1. Federal Financial Report, SF-425**

Due: Semi-annual Financial Reports are due no later than 30 days after the close of the second quarter; final financial report is due no later than 90 days after the end of the fiscal or calendar year cycle. New SBDC Lead Centers are required to provide a Financial Report for the first three years of operation within the timeframes stated above. Centers in existence over three years are only required to report semi-annually.

Lead Centers must submit an original Financial Report including Standard Form 425, signed by the authorized representative of the Recipient Organization, to their SBA Project Officer in the SBA District Office. The SBDC Lead Center must also submit the report concurrently to the Grants Management Specialist and Program Manager via email in PDF format in OSBDC at SBA Headquarters. A Recipient's failure to comply with this paragraph in a timely manner can result in delayed processing of payment requests.

The Final Financial Report must include:

- SBDC approved SF-425;
- Spreadsheet in support of the SF-425;
- Schedule of indirect cost reporting, federal portion and waived indirect on the SF-425;
- SBA Form 2113;
- Spreadsheet in support of the SBA Form 2113.

**Note:** The SBDC must report all Recipient shares of outlays; cash, in-kind and waived portion of indirect. The waived portion of indirect cost should not be included as in-kind match.

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 budget period. The total amount of unliquidated obligations must include:

- Recipient share - Cash match disbursements and non-cash indirect match.
- Federal share – Federal direct disbursements and indirect claimed as federal reimbursement.

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

## 2. Financial Status Statement (For Biennial Financial Examinations)

This function of the Financial Examination Unit requires designated networks to complete worksheet “Financial Status Statement” located at [SBDC Forms and Worksheets](#). The Financial Status Statement is due to OSBDC by October 15 for both FY- and CY-funded programs in advance of a biennial financial examination. A recipient’s failure to comply with this paragraph in a timely manner can result in delayed processing of payment requests.

### 6.3.2.3 Semi-annual Performance Reports

Due: 30 days after the end of the 2nd quarter. The Semi-annual Report **must not exceed 20 pages**. To avoid problem with electronic email size limitation, transmission of electronic reports should not be over 5MB.

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

The SBDC must submit an electronic version of the semi-annual Performance Report in Word format to the SBA Project Officer and Program Manager within 30 days after completion of six months operation.

New SBDC Lead Centers that have been in the program less than three full fiscal or calendars year cycles must further submit quarterly progress reports which include the same content outlined for the Semi-annual Performance Reports.

The Project Officer must complete the Grant/Cooperative Agreement Monitoring Statement and furnish a copy of the Statement to the SBDC State Director and forward a copy of both the Grant/Cooperative Agreement Monitoring Statement Semi-annual Report to the OSBDC Program Manager. The Project Officer must complete the Grant/Cooperative Agreement Monitoring Statement and furnish a copy to the OSBDC Program Manager.

#### **6.3.2.4 Annual Performance Report:**

Report is due within 90 days after the close of the SBDC budget period. Failure to submit this Report accurately and in a timely manner could jeopardize future funding. This Report shall not exceed 40 pages in length for programs funded at \$1.5 million or less and 50 pages for all others and must include all attachments and data set forth below and in the Notice of Award.

A complete annual report includes an overall summary of the Network's efforts in delivering core services set forth in the approved proposal as incorporated in the Cooperative Agreement for the full budget period, in the form of a brief narrative description and management analysis. 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. The Report must **not** be a recitation of actual events, center by center. Other elements to be included are:

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

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

#### **6.3.2.5 Annual Economic Impact Data Report**

Report is due within 90 days of the close of the SBDC budget period. Incorporate as part of the Annual Performance Report. 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

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

### 6.3.2.6 Economic Impact Reporting

	Quarterly Economic Impact Data Reporting to EDMIS (uploads from Form 641)	Annual Economic Impact Data Report (via EDMIS Impact Screen)*	Semiannual Performance Report and Annual Performance Report Narrative discussion under Category 1700 Economic Impact
Date Due	Quarterly through EDMIS	30 days after close of budget period	30 days after the close of 6-months of operation or 30 days after the end of a quarter for SBDCs in their first three years of awards  90 days after the close of the budget period
Updates on counseled clients who opened a business	√		√
SBA Guaranteed Loan Data	√	Include 641 data	√
Non-SBA Loan Data	√	Include 641 data	√
Equity Capital Data	√	Include 641 data	√
Jobs Created	√	Include 641 data	√
Jobs Retained	√	Include 641 data	√
Growth in Sales	√	Include 641 data	√
Tax Revenue (State)		√	√
Tax Revenue (Federal)		√	√
Export Sales	√	Include 641 data	√

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

### 6.3.3 Reporting Category Definitions

- 0100 ADVOCACY
- 0200 CAPITAL FORMATION
- 0300 \*INNOVATION AND TECHNOLOGY TRANSFER AND TECHNOLOGY ASSISTANCE
- 0400 \*INTERNATIONAL TRADE

- 0500 \*MINORITY SMALL BUSINESS DEVELOPMENT, including 8(a) assistance
- 0600 RESOURCE DEVELOPMENT
- 0700 \*PROCUREMENT
- 0800 SPECIAL EMPHASIS GROUPS
- 0900 \*ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES
- 1000 RESEARCH
- 1100 OTHER ACTIVITY
- 1200 SUCCESS STORIES
- 1300 TRAVEL
- 1400 PROBLEMS
- 1500 FINANCIAL REPORTS
- 1600 WOMEN-OWNED BUSINESSES
- 1700 \*ECONOMIC IMPACT (optional for Semiannual Performance Reports)
- 1800 VETERANS, RESERVISTS, SERVICE-DISABLED VETERAN OWNED BUSINESSES,  
AND ALL COMPONENTS OF THE U.S. MILITARY
- 1900 \*MANUFACTURING
- 2000 \*ON-LINE ACTIVITY

(See Reporting Category Definitions for further descriptions of information to be included.)

When reporting on any item you must include results/impact of activities. (Example: Provided procurement contract matches to 100 clients, of which 50 received awards totaling \$50 million. This moved the state from 49th place to 45th place in receipt of government contracts.)

Category	Definition
0100 ADVOCACY	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• Support for small business interests within the SBDC's jurisdiction to improve the climate for small business and contribute to the vitality of the small business sector.</li> <li>• Include, as appropriate: public speeches, testimonies before state and/or federal legislatures and small business week activities.</li> </ul>
0200 CAPITAL FORMATION	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• Develop or assist in developing capital for small businesses (e.g., loans, microloans, grants, Community Express).</li> <li>• Developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.</li> </ul>
0300 INNOVATION AND TECHNOLOGY TRANSFER AND TECHNOLOGY ASSISTANCE	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>• 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.</li> <li>• Transferring expertise and equipment available from the Federal Government to the private sector.</li> <li>• Transferring innovation and technology from business to business, SBIR activities, etc. Note in particular, any collaboration with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act and other environmental assistance activities.</li> <li>• Providing information and education on the use of technology in everyday business activities or processes.</li> </ul>

0400 INTERNATIONAL TRADE	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Current # of SBDC staff who have attained certification for export assistance at intermediate or advanced level (CGBP). Include employee name, type and date of certification.</li> <li>• Promoting increased exports by small businesses such as: supporting US Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance including conducting USEAC E-TAP programs and other co-partnership events; providing rural export assistance; partnering with public and private sector organizations involved in export development; data base development; match services and market research; rural exporting and participating in World Trade Week.</li> <li>• Data reported for the following categories (from Form 641/EDMIS):             <ul style="list-style-type: none"> <li>○ # of small businesses receiving export assistance from the SBDC.</li> <li>○ # of small businesses that started to export (New to Export) after receiving SBDC assistance and to what markets.</li> <li>○ # of small business exporters that entered new foreign markets (New to Market) as a result. result of SBDC assistance</li> <li>○ Increase in export revenues attributed to SBDC assistance</li> <li>○ Jobs created or retained as a result of exporting assistance.</li> <li>○ # of SBDC staff completing SBA or USEAC for trade assistance.</li> <li>○ # of small businesses referred to Departments of Commerce, Agriculture, State, Ex-Im Bank, OPIC, USDA for trade assistance.</li> </ul> </li> </ul>
0500 MINORITY SMALL BUSINESS DEVELOPMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Helping minorities participate in the free enterprise system such as: working on Asian American initiatives; Black or African-American initiatives; Hispanic American initiatives; Native American initiatives; Native Hawaiian or Pacific Islanders initiatives; assisting 8(a) clients in the developmental stage and other stages; and, linking minority clients with other assistance opportunities and conferences.</li> </ul>
0600 RESOURCE DEVELOPMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Collaborating with funding or other partners to assist the SBDC in its mission through recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training and outreach efforts.</li> <li>• Address key partnerships and collaborations throughout the network and the type of interaction or relationship enjoyed.</li> </ul>
*0700 PROCUREMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Fostering opportunities for increasing small business' share of procurement dollars spent by the government and private sector through conferences, computer matching services such as SBA's "Business Matchmaking," assistance to Certificate of Competency businesses and prime contractor outreach.</li> </ul>
0800 SPECIAL EMPHASIS GROUPS	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Assistance to: people with disabilities; Native Americans; young entrepreneurs; older adults, targeted associations; industry groups and other groups identified by SBA and/or the SBDC. (Note: Report minority, veteran and service connected-disabled veteran and women's efforts separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business and Women Owned Businesses.)</li> </ul>

0900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory.</li> <li>• Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators.</li> <li>• Activities aimed toward assisting small business and community economic development organizations such as providing counseling, training and outreach to community organizations, churches or other such entities with a significant focus on supporting the needs of small businesses.</li> </ul>
1000 RESEARCH	<p>Demonstrate delivery of the following:  Research efforts aimed toward assisting small business and economic development such as database development and needs analysis.</p>
1100 OTHER ACTIVITY	<p>Provide information regarding any efforts which do not fit in the categories above such as participation in RICS or broadband efforts. Describe and provide information about any SBDC "best practices" to be used by SBA and archived in the Clearinghouse. This also may include dissemination of basic business information as well as any specific information requested by the SBA Project Officer and mutually agreed upon with the SBDC Lead Center Director.</p>
1200 SUCCESS STORIES	<p>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.)</p>
1300 TRAVEL	<p>Provide a description of any unanticipated or unbudgeted out-of-state travel for Lead and Service Centers not disclosed in the Cooperative Agreement.</p>
1400 PROBLEMS	<p>Provide a description of any and all problems that have significant impact on the program or program objectives.</p>
1500 FINANCIAL REPORTS	<p>Furnish copies of SF-425, SBA Form 2113 and any requested attachments as required.</p>
1600 WOMEN-OWNED BUSINESSES	<p>Describe briefly collaboration the Women's Business Centers (WBCs) and any seminars or specialized counseling approaches or other activities aimed at women entrepreneurs.</p>
*1700 ECONOMIC IMPACT	<p>Report the most recent economic impact generated from the assistance you have given your clients using the following format.</p> <p># of New Businesses Created:( populated using Form 641 EDMIS data)</p> <p>Loans: SBA # _____ \$ _____ ( populated using Form 641 EDMIS data)  Non-SBA # _____ \$ _____ ( populated using Form 641 EDMIS data)  Equity Capital \$ _____ ( populated using Form 641 EDMIS data)  Jobs: Created _____( populated using revised Form 641 EDMIS data))  Retained _____ ( populated using revised Form 641 EDMIS data)</p> <p>Customer Satisfaction: _____%</p> <p>Growth in Sales: \$ _____</p> <p>New Tax Revenue: State \$ _____  Federal \$ _____</p>



<p>1800 VETERANS, RESERVISTS, SERVICE-DISABLED VETERAN-OWNED BUSINESSES AND ALL OTHER MEMBERS OF THE U.S. MILITARY</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Assistance targeted toward veteran and service connected-disabled veteran owned businesses, as well as Reservists and National Guard members called to active duty, such as: Veteran Entrepreneurial Training Programs; Coordination with Veteran Business Outreach Centers; provide a Veteran Entrepreneurial Training Programs, include marketing the availability of the EBV, V-WISE and Operation Endure and Grow programs managed by the SBA Office of Veterans Business Development; summits for veteran business owners; activities in conjunction with the Department of Veterans Affairs Vocational Rehabilitation and Employment Services; Employer Support of the Guard and Reserve (E.S.G.R.) and National Guard State Adjutants; DELTA Program; marketing and assistance for the Military Reservist Economic Injury Disaster Loan program; Patriot Express program; base closings and RIF counseling; and, DOD or DOL Transition Assistance Program (TAP) seminars and DOD Yellow Ribbon Reintegration Program events.</li> </ul>
<p>*1900 MANUFACTURING</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Assistance to manufacturing companies or their employees, including displaced manufacturing workers. Can include efforts and support to troubled companies, companies challenged by foreign competition, NAFTA and foreign labor alternatives. This may also include cooperation efforts with other local organizations or government units concerned with manufacturing issues such as the National Institute of Standards and Technology's (NIST) Manufacturing Extension Partnership (MEP) Program.</li> </ul>
<p>*2000 ON-LINE ACTIVITY</p>	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Activities and accomplishments which demonstrate use of web-based technology to enhance direct client service delivery such as: the use of on-line counseling (e-mail and real-time) and training; on-line expert systems or diagnostic tools to identify needed services; audio or video streaming; electronic registrations and scheduling; webinars; and other targeted uses of the Internet to facilitate delivering information to clients more cost effectively. SBDCs that did demonstration projects should provide an analysis of results.</li> <li>• A summary of on-line enhancements achieved over the past three years.</li> </ul>

#### 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 Announcement, SBDCs must maintain the following reports:

##### 6.4.1 Counseling Activity

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

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