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

### **1.1 Award Notification**

Recipient Organizations will be notified of annual funding status.

### **1.2 Administrative and National Policy Requirements**

All successful Applicants will be required to comply with the requirements set forth in Section 21(a)(4)(C)(viii) of the Small Business Act (15 U.S.C. § 648(a)(4)(viii)) and 13 CFR Part 130 et seq.; 2 C.F.R. Part 200; the Assurances for Non-Construction Programs (SF-424B); and the terms and conditions set forth in their Notices of Award, including section 13 on the Acknowledgment of SBA Support/Use of SBA “Powered By” Logo. SBA logos should be replaced with the current “Powered by SBA” logo by September 1, 2018. 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.

### **1.3 Reporting**

#### **1.3.1 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 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. The Lead Center SBDC will designate one employee to update PIMS and will provide their name, email address and phone number within the proposal. See Notice of Award, Terms & Conditions.

#### **1.3.2 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:

- i) SBDC Quarterly Counseling and Training Reports (EDMIS submission);
- ii) Financial Reports, including SF-425 with required attachments;
- iii) Program Income Report (SBA Form 2113 and required attachments);
- iv) Performance Reports;

- v) Annual Economic Impact Data Report (EDMIS submission); and
- vi) For FY 2019, a milestones reconciliation worksheet in the semi-annual and annual report which shows Network total results by quarter for Jobs Supported, New Business Starts, Clients Served, and Capital Infusion for each Network entity listed in the Notice of Award.

### **1.3.2.1 SBDC Quarterly Counseling and Training Reports (EDMIS 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 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 online 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 gross sales, export sales, government contracting and other economic impact data. Economic Impact data that is collected on the 641 should also be included in the Economic Impact Report in EDMIS. The most current version of approved client definitions is available on [www.sba.gov/edmis](http://www.sba.gov/edmis). Other documentation regarding EDMIS is also available at this site.

### **1.3.2.2 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:

- i) SF-425 signed by authorized official of the Recipient organization;
- ii) Spreadsheet in support of the SF-425;
- iii) Budget vs. Actual Expenditures;
- iv) Schedule of indirect cost reporting, Federal portion and waived indirect on the SF-425 - showing actual indirect costs;
- v) SBA Form 2113; and
- vi) Spreadsheet in support of the SBA Form 2113.

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

Due no later than 30 days after the close of the second quarter for SBDC Recipients in the program for more than three years. 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 30 days after the close of the first, second and third quarters. SBDC Recipients that have been in the program more than 3 years should submit semi-annual SBDC Recipients that are obligating and expending program funds in year 2 of their award must submit quarterly financial reports 30 days after the end of each quarter of program activity.

## **2. Final Financial Reports**

Due no later than 90 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 Form 425, indicating what is being submitted and why. Extraneous documentation not cited will be discarded and not included in the official grant file.

### **1.3.2.3 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 (i.e., during the Federal fiscal year cycle beginning October 1, or calendar year cycle beginning January 1).

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

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

### **1. Interim Performance Reports**

Due within 30 days after completion of the first six months of the SBDC's performance period for most SBDC recipients.

An exception is for 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 interim progress reports on a **quarterly basis**, due 30 days after the end of each quarter. Quarterly reports must include the same content outlined for the semi-annual performance reports.

Interim 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 6.3.3 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 6.3.3 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 6.3.3 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.

#### **1.3.2.4 Annual Economic Impact Data Report**

Report is due within 90 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.

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

### 1.3.2.5 Economic Impact Reporting

	<b>Quarterly Counseling and Training Data Reporting to EDMIS</b>	<b>Annual Economic Impact Data Report</b>	<b>Interim Performance Report</b>	<b>Annual Performance Report</b>
How to Submit	Uploads to EDMIS from Form 641	Input via EDMIS Impact Screen*	Include Summary Table and discussion under Category 2300 Economic Impact	Include Summary Table and discussion under Category 2300 Economic Impact
Date Due	30 days after close of each Quarter 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 3 years of operation	90 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 client definitions.

### 1.3.3 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.*)

Category	Definition	Proposal	Performance Reports
0100 CAPITAL FORMATION	Demonstrate delivery of the following: <ul style="list-style-type: none"> <li>Develop or assist in developing capital for small businesses (e.g., loans, microloans, grants, Community Express); and</li> <li>Developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.</li> </ul>	Y	Y
0200 INNOVATION, 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, rural activities, etc. Note in particular, any collaboration with the National Institute of Standards and Technology (NIST), and</li> </ul>	Y	Y

	<ul style="list-style-type: none"> <li>• Providing information and education on the use of technology in everyday business activities or processes.</li> </ul>		
0300 INTERNATIONAL TRADE	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Explain how you ensure certified staff remains current with best practices and resources supporting international trade counseling.</li> <li>• Promoting increased exports by small businesses such as: supporting US Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance including co-partnership events; providing rural export assistance; partnering with public and private sector organizations involved in export development; data base development; match services and market research; rural exporting and participating in World Trade Week;</li> <li>• Data reported for the following categories (from Form 641/EDMIS): <ul style="list-style-type: none"> <li>o # of small businesses receiving export assistance from the SBDC;</li> <li>o # of small businesses that started to export (New to Export) after receiving SBDC assistance and to what markets;</li> <li>o # of small business exporters that entered new foreign markets (New to Market) as a result. result of SBDC assistance;</li> <li>o Increase in export revenues attributed to SBDC assistance;</li> <li>o Jobs created or retained as a result of exporting assistance; and</li> <li>o # of small businesses referred to Departments of Commerce, Agriculture, State, Ex-Im Bank, OPIC, USDA, and SBA Office of International Trade for trade assistance.</li> </ul> </li> <li>• Indicate if SBDC has service centers that are co-located with USEAC and/or state or local trade agencies or program offices.</li> </ul>	Y	Y
0400 PROCUREMENT	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Fostering opportunities for increasing</li> </ul>	Y	Y

	<p>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</p> <ul style="list-style-type: none"> <li>• Indicate if SBDC manages a Federal PTAC or has Service Centers that are collocated with a PTAC and/or similar state or local program.</li> </ul>		
0500 MANUFACTURING	<p>Demonstrate delivery of the following:</p> <ul style="list-style-type: none"> <li>• Assistance to manufacturing companies or their employees, including displaced manufacturing workers. Can include efforts and support to troubled companies, companies challenged by foreign competition, NAFTA and foreign labor alternatives. This may also include cooperation efforts with other local organizations or government units concerned with manufacturing issues such as the National Institute of Standards and Technology's (NIST) MEP Program; and</li> <li>• Indicate if SBDC manages an MEP or has Service Centers that are co-located with MEP centers.</li> </ul>	Y	Y