Request for Proposal

To establish operating plans for
Federal Fiscal Years 2013 - 2014
October 1, 2012 – September 30, 2014
And establish budget for
Federal Fiscal Year 2013
October 1, 2012 – September 30, 2013

Ohio Small Business Development Centers

Ohio Department of Development
Office of Business Assistance
Ohio SBDC Program, Karen M. Shauri, SBDC State Director

OHIO SBDC REQUEST FOR PROPOSAL FFY 2013-2014

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OTHER DOCUMENTS

Forms Excel Workbook
Three Budget Excel Files (Specific to SBDC, MTSBDC, and ITAC)

The following support documents can be found at www.OhioSBDC.com:

- FFY2013 Funding Allocation
- Map OF SBDC Districts
- SBDC Operations Guide
- Program Acronyms
- Ohio SBDC Communication Diagram
- Strategic Plan
- Ohio SBDC Policy Statement on Client Privacy
- FFY2013 Due Dates
- Program Income Reporting
- Hiring Process
- SBDC Position Descriptions
- Success Stories Process
- CBA Manual
- Host Manual
- Director Manual
- Business Advisor Manual
- Financial Manager Manual
- Time and Effort Process
- FFY2012 SBA Program Announcement
- State of Ohio Travel Guidelines
- Center IC Manual
- Reporting and Validating Impact
- Special Addendum - Ohio Ethics Requirements
- Ohio SBDC Graphic Standards
- Form 250 and 250A
- 888 Training Reporting Manual
- SBDC On-site Review Process

INTRODUCTION

This competitive Request for Proposal (RFP) is being issued to award grants under the Ohio Small Business Development Center (SBDC) Program. Ohio's SBDC Program is a partnership program funded by the U. S. Small Business Administration (SBA), the Ohio Department of Development (Development), and local host organizations. Development reserves the right to fund any proposal in full or in part, to request additional information to assist in the review process, to require new proposals from interested parties, to reject any or all proposals responding to this RFP, or to re-issue the RFP if it determines that it is in the best interests of the State of Ohio. Issuing this RFP does not bind the State to making an award. Development administers the RFP. Development reserves the right to adjust the dates of this RFP for whatever reason it deems appropriate.

All costs incurred in preparation of a proposal shall be borne by the Applicant. Proposal preparation costs are not recoverable under an award. Development shall not contribute in any way to recovering the costs of proposal preparation.

Development is seeking proposals from qualifying consortia of organizations to provide counseling and training to Ohio entrepreneurs and small businesses for the period:

Federal Fiscal Years 2013 and 2014
(October 1, 2012 - September 30, 2014).

Each consortium or individual Host must propose to provide counseling and training services to one of the SBDC districts as delineated in this RFP and must agree to service the entire district. The consortium will name a "District Consortium Leader" to lead the district programmatic activities, communication delivery and coordinate quarterly (routine) district meetings. The consortium director will coordinate with all partners and service centers to meet the business needs strategically for the district and will maintain district reporting i.e. semi-annual narrative, monthly activity updates; to meet the requirements of the SBDC State Lead Center. Each service center within the consortium will receive a direct grant agreement for the funding period.

The Ohio SBDC Program includes the core SBDC, International Trade Assistance Centers (ITAC) and Manufacturing and Technology SBDC (MTSBDC) creating a full complement of services to support Ohio's diverse small business community. All centers are to operate under the coordinated consortium structure to support the local and district needs.

Each consortium will establish an advisory committee to provide input for activities, direction and support for the local small business community. The district advisory committee shall include the representative to the State's SBDC Advisory Council, and a majority of small business owners. Other members may include community leaders or partners who support the small business community. The district proposal will include the contact list of such advisory committee.

The Ohio SBDC Program's host agency is Development. The Ohio SBDC Program is operated on the basis of a statewide plan that provides for small business assistance throughout the State. Statewide SBDC services are provided pursuant to a negotiated Cooperative Agreement between Development and SBA. Funding is subject to state and federal appropriation.

The Ohio SBDC Program is a small business management and technical assistance delivery program of the SBA, governed by the Small Business Act. The program operates under the provisions of:

Public Law 96-302 - the Small Business Act, which established the national SBDC Program in 1980;

Notice of Award and Cooperative Agreement issued by SBA to Development;

The SBA/SBDC Annual Program Announcement;

The Development Grant Agreement; and

Federal Circulars and the SBDC Operations Guide.

SBDCs serve as an important resource of Development and SBA by providing comprehensive small business services throughout the State of Ohio and national SBDC network. Ohio's SBDC network is one of 63 programs funded nationally.

Ohio SBDCs coordinate with other ODOD and SBA programs of business development, and utilize the expertise of these affiliated resources to expand services and avoid duplication of effort.

SBDCs coordinate resources from all levels of government, as well as academic and private sector resources to strengthen and contribute to the economic growth of communities through small business development.

Mission Statement

Accelerate Ohio's economy by helping people start, sustain and grow their businesses.

Vision Statement

Transform Ohio into an innovative entrepreneurial-based culture.

Entrepreneurs choose to locate in Ohio because of the great quality of business life. Small businesses flourish long-term because they can easily access a coordinated network of alliances and resources. Public policy embraces entrepreneurship and encourages informed risk taking. Small business wealth creation strengthens local communities and fuels Ohio's economy.

SBDC…..the driving force behind small business success!

The current strategic plan is provided as a separate document, and to be used as guidance for completing the district proposal to align with the state initiatives.

Purpose

The Ohio SBDC Program is a well-established, respected, diverse and the preeminent small business service provider in the State of Ohio. The program is designed to provide quality, in-depth and confidential consulting and training assistance to small businesses in order to promote growth, expansion, innovation, increased productivity and management improvement. To accomplish these objectives, SBDCs link resources of the federal, state and local governments with the resources of the educational community, the economic development community and the private sector to meet the specialized and complex needs of the increasingly diverse small business community.

Objectives

The overall objective of the Ohio SBDC Program is to leverage federal funds and resources with those of the State of Ohio, the academic community, local chambers of commerce and business organizations in the private sector to:

a. Strengthen Ohio's local small business communities by focusing on individual customer needs;
b. Contribute to the economic growth of the communities served;
c. Create a broader based delivery system to the small business community; and
d. Create and retain jobs in Ohio

Performance Measurements

The Ohio SBDC and SBA have identified target program goals and performance measurements linked their achievement with the budget process. For the program period the following performance measures are specified:

a. Number of long-term counseling clients;
b. Number of new businesses created;
c. Dollar amount of capital infusion (to include SBA loans, non-SBA loans and equity investment);
d. Total Counseling Hours;
e. Business training programs; and
f. Jobs retained and created.

Affiliate Programs

In addition to SBDC core programs and services, Development and SBA operate several affiliate programs under its umbrella. These are not part of this RFP, but they should be a part of the applicant's overall service delivery plan.

U. S. Department of Commerce's Manufacturing Extension Partnerships (MEP)
Development's Office of Technology Investment
SBA's State Trade and Export Promotion (STEP)
Development's Export Assistance Section
Development's Procurement Technical Assistance Centers (PTAC)
Development's Minority Business Assistance Centers (MBAC)
SBA's Partner Programs–SCORE, Women Business Centers and Veteran Service Centers

SECTION I. NETWORK ORGANIZATION

A. Field Leadership System

The SBDC staff at Development is referred to in the statewide plan as the "State Lead Center." The State Lead Center receives funding from the SBA to operate a program of comprehensive small business management assistance. This funding is provided annually upon the preparation, review and approval by SBA of a statewide plan. The State of Ohio provides general revenue funding through Development. Development has established the State Lead Center to administer the grants and lead the SBDC Program. The combination of the State Lead Center and eligible organizations including the SBDCs, ITACs, and MTSBDCs is referred to as the "Ohio SBDC Network".

The State Lead Center issues grants to operate in twelve (12) district consortia. (*A consortium consists of as many service centers, satellites, circuit riders, etc. as deemed necessary to cover the respective district, led by the* "District Consortium Leader"*.)* A consortium collaboratively provides for the planning, implementation, monitoring and delivery of a district small business service system.

Each district proposal must come from the District Consortium Leader whose purpose will be to coordinate the programmatic relationship between the State Lead Center and the district service delivery sites.

In addition, each district consortium *must* include at least one institute of higher education (IHE) education partner, and one economic development partner.

A map of the 12 SBDC Districts is included with this RFP to provide the footprint for each district proposal.

Each service center will contract directly with Development under the standard boilerplate grant agreement for the grant period.

B. Rules

1. Eligible Consortium Partners and/or Individual Organizations:

   Educational institutions or organizations that are incorporated in the State of Ohio as a "non-profit" may apply as a service center, or a consortium partner. Organizations such as chambers of commerce, economic development agencies and other non-profits are also eligible.

   "For-Profit" organizations can be considered as consortium partners; however these organizations are not eligible host applicants to receive funding through this RFP.

2. SBDC Consortium Organization

   The Ohio SBDC Program will review all district consortium proposals.

a. Each service center host must demonstrate:

(1) A history of a economic development mission, accomplishment and leadership;
(2) An efficient and successful grant management history (may include ongoing successful completion of A-133 and Development audits);
(3) An ability to provide a leadership role in the partnership/consortium district proposal;
(4) The ability to process quarterly programmatic and reports in a timely manner (i.e., computer capability, etc.);
(5) An ability to convey SBDC program announcement and information in a timely and efficient manner to partners; and
(6) Assume a leadership capacity to identify and align program partners who will support and grow the local program.

Ohio SBDC Host Manual is provided as additional documentation to this RFP.

b. Consortium Partners:

A consortium consists of as many service centers, satellites, circuit riders, etc. as deemed necessary to cover the respective district, led by a District Consortium Leader. If traditional service areas with long-standing, successful, previously negotiated relationships overlap district boundaries, the proposal should address this in detail.

An inter-district agreement outlining the framework of the partnership, reporting parameters, etc., must be included with the proposal for approval by the State Lead Center.

All SBDC service delivery sites, which do not have full-time 40-hour-per-week staff, shall be designated as an "SBDC Satellite" Office. Service center staffing/hourly requirements may vary. Satellite Offices may be maintained in the following ways:

(1) A service center may partner with other locations to establish regularly scheduled office hours (circuit rider) in return for office space and utility services provided on an in-kind basis, and/or cash contribution to the SBDC program budget.
(2) Service centers may establish a performance contract with an approved site for SBDC eligible consulting**.** A $50 per hour fee is the maximum amount that will be approved to be reimbursed for consultants, unless special circumstances dictate a higher rate. These will be decided on a case-by-case basis.

c. Partnerships with IHE

Each consortium *must* have at least one "higher education - post secondary" education partner, i.e., two-year colleges, technical colleges, universities, etc. Federal legislation mandates a majority of a state's delivery partners be located in "higher education" settings. To meet this mandate, the State Lead Center reserves the right to re-negotiate proposed consortium relationships to ensure statewide compliance.

Proposals without identified higher education partners may be funded conditionally pending the addition of an appropriate partner to the plan.

d. Partnerships with Economic Development Organizations
Each consortium *must* also build a partnership(s) with an economic development organization, e.g., chamber(s) of commerce and other economic development agency (ies). The purpose of building such diverse partnerships is not only to augment the services the SBDCs provide, but also to exchange information and provide business-critical solutions to the SBDC's end customer—the small business owner—that reflect industry expertise.

C. Service Center/Host Requirements

1. Policies and Requirements

a. The State Lead Center shall provide for the administration of the Ohio SBDC Network. These administrative services shall include, but not be limited to:
(1) Strategic Leadership of the Ohio SBDC network;
(2) Evaluation of the quantity and quality of client services provided;
(3) Program and resource development;
(4) Program management;
(5) Promotion and public relations for the Ohio network;
(6) Financial accounting, invoice approval, grants management and oversight;
(7) Partnership development and identification of new funding sources;
(8) Certification program for SBDC Counselors; and
(9) Connection, notification, and presentation of all required State of Ohio Ethics Trainings.

b. Service Center/Host responsibilities include but are not limited to:
(1) Operating a full-service SBDC, headed by a center director who spends at least 25 hours per week on SBDC activities. A full-time SBDC director is strongly preferred. (The center director must meet all of the center director qualifications and including CBA);
(2) Efficiently and successfully grants management (may include ongoing successful completion of A-133 and Development audits);

(3) Processing district quarterly programmatic and financial reports in a timely manner (i.e., computer capability, etc.);
(4) Assuming a leadership capacity to identify and align program partners who will support and grow the local program;
(5) Recruiting and hiring staff that meet prescribed qualifications and possess the requisite knowledge, skills and abilities to successfully perform the job within the parameters of the approved budget;
(6) Ensure cash and in-kind match are utilized exclusively for SBDC/SBA eligible activities as set forth in the grantee's approved budget;
(7) Operating so the SBDC, ITAC and MTSBDC are separate and identifiable from the host agency; and
(8) Connecting and verifying required attendance to the State of Ohio Ethics Trainings at a minimum of once every two years.

c. Consortium Organization and Coordination. Each consortium shall appoint a District Consortium Leader", who will insure the proposal shall include mechanisms for the following:
(1) District program planning and assessment;
(2) District program decision-making and problem-solving;
(3) District program goal-setting;
(4) District program monitoring; and
(5) District strategic marketing plan development that outlines the SBDC services and network services of the district.

d. Under the direction and administration of the State Lead Center, each service center shall provide access to:
(1) Certified Business Advisors® to counsel, assist and inform small business clients;
(2) Relevant training opportunities;
(3) Technology transfer agents to provide state-of-the-art technology transfer and commercialization assistance to small businesses by coupling with national and district technology data sources;
(4) Information specialists to assist in providing information searches and referrals to business;
(5) Professional specialists to conduct research or to provide consulting assistance when the need arises;
(6) Courses developed under the SBDC statewide training initiative;
(7) Referrals to other organizations with specialized expertise; and
(8) Counseling and training to support the SBA National Priorities as presented in the program announcement.

e. Each service center director shall:
(1) Act as the contractual agent for the individual center submitting budget/program revisions as needed;
(2) Ensure two-way communication with State Lead Center including reporting current and potential problems;

(3) Attend or send a designee to all required meetings as mandated by the State Lead Center;
(4) Ensure that service center complies with State Lead Center guidelines for strategic management process implementation and delivery;
(5) Ensure regular two-way communications with all partners in the district to ascertain successes, best practices, problems, opinions and needs;
(6) Oversee service center staff to ensure that contractual commitments, both budgetary and programmatic, are met;
(7) Oversee the budgeting and financial tracking process and monitor budget adherence or modification;
(8) Act in a programmatic leadership capacity to ensure that communications and networking mechanisms are set up and working appropriately and efficiently using the available technology;
(9) Act in a programmatic leadership capacity to identify opportunities and partners who will support and grow the local program; and
(10) Assume ultimate responsibility for the service center's compliance including, but not limited to, success stories, milestone tracking, and other requirements.

f. Each service center must insure that the consortium makes available to its clients:
(1) Business information and resource identification; including international, manufacturing, technology and other specialty areas.
(2) Business management and consulting; all service centers must follow the same counseling and training processes and requirements, as provided in Section VII. and VIII.
(3) Training workshops and seminars on the following topics:
(a) Entrepreneurship;
(b) Human Resource Management;
(c) Accounting/Finance;
(d) Marketing;
(e) Developing a Business Plan; and/or
(f) Export, manufacturing, and other areas under SBA's National Priorities.
(4) A client case management system to ensure that program resources are being most effectively utilized and client needs are being met;
(5) A written client assessment to include information-gathering, problem-solving, opportunity identification and planned course-of- action to support the client needs:
(a) Financial Assessments utilizing tools such as FisCal®, Profitcents®, Up Your Cash Flow, The Business Check-up Program, Profit Mentor, etc.;
(b) Market Assessments; and
(c) "Business Practices" (management) Assessments.
(6) Standard product services guidance and review of:

(a) Business Plan;
(b) Marketing Plan;
(c) Market Research;
(d) Financial Projections;
(e) Loan Packaging;
(f) Strategic Plan;
(g) Human Resource and Organization Management; and
(h) Specialty products for international, manufacturing or technology-related business needs, and other areas under SBA's National Priorities.

(7) Service Centers shall provide technical assistance as follows:

(a) Provide or link clients to technical assistance resources. Technical assistance includes: access to published technical information and consultants; energy audits, pollution prevention strategies, conservation plans; solutions to manufacturing or operations problems, i.e., ProfitCents® and FisCal® assessments; use of "Just-in-Time" strategies and computer-aided design techniques; SBIR related assistance; and information and training on implementation of strategies.
(b) Regulatory compliance governed by the federal offices of IRS, OSHA, Department of Labor and EPA, as governed by the Small Business Regulatory Assistance Act of 1997.
(c) Collaborate with the other federal, State, and local service providers to insure delivery of technology-related services.
(d) Specialty products for international, manufacturing or technology-related business needs, and other areas under SBA's National Priorities.

D. Strategic Planning

The SBDC district and service center must have a written strategic plan and evidence of its use in guiding the SBDC's future development and current operations. Development of the plan should be a systematic process that assembles and evaluates customer and stakeholder needs, the operating environment, risk, SBDC capabilities, vision and mission and employee input.

The strategic plan should show alignment with the Ohio SBDC strategic plan. It should provide evidence of input and design from all levels of program staff. It should include a strategy to be an active partner in the "Retention and Expansion" efforts within the local communities, and support activities as defined by the local small business needs.

E. Community Affairs and Education

It is important to note that all SBDC staff operate under federal rules requiring that they not lobby any member of the legislature for funds. As good stewards of our granted dollars, it is important to report our successes to the appropriators who have entrusted the program with tax dollars and to educate the legislature about the services available through the SBDC. Each center director is aware of the impact the legislature has on the SBDC program, and all centers are expected to participate in the education process. Directors have the unique opportunity to gain political awareness by demonstrating the value of the SBDC Program through direct contact with the legislature each year. A formal plan for such contacts must be included in the district and service center Strategic Plan.

F. Additional Requirements and Resources

SBDCs must ensure that all of its business development and technical assistance services are made available to all small businesses with a special emphasis on minority-, women- and veteran-owned businesses. The SBDCs must work with local affiliate programs to provide procurement assistance, faith and community-based support as well as incubation opportunities. The proposal must define all local affiliates and how services are made available in the local community.

G. Physical Standards

1. Each service center must be separate and identifiable from its host organization. Prominent signage must appear in all locations accessible to the public. Adequate parking must be provided for clients.

2. Each service center must have a separate and publicly listed telephone number and it must be answered identifying it as an SBDC, ITAC, or MTSBDC.

3. Each service center must provide services as physically close as possible to small businesses by providing extension services and utilizing centers, satellite locations and circuit riders when necessary. The facilities and staff of each service center must be located in such proximity as to provide maximum accessibility and benefits to the small businesses that the center is intended to serve.

4. Each center must maintain adequate work areas for SBDC business advisors and private areas for client consulting.

5. Each service center must adhere to EEO and Disabled Accessibility/Accommodation Requirements. All SBDC services must be rendered on a nondiscriminatory basis, and no individual may be excluded from any program because of race, color, religion, sex, age, disability or national origin. Workshops, seminars and conferences must be held in disabled accessible locations. Reasonable accommodations will be made, upon request, for visually and hearing impaired attendees. SBDCs are required to make modifications and accommodations (which do not

fundamentally alter the program or activity or entail financial or administrative burdens) to enable otherwise qualified disabled individuals to participate. The SBDC Network must comply with 13 CFR Parts 112, 113, 117, and 136.

H. Marketing and Graphic Standards

1. "Small Business Development Center" must be a part of the legal name of every SBDC location and be referred to accordingly in all of its marketing and public relations materials.

2. All marketing materials must contain the identification of the SBDC in the following manner:

   a. The Ohio SBDC at [insert name of location] Chamber of Commerce
   b. The Ohio SBDC at [insert name of location] University
   c. The Ohio SBDC at [insert name of location] District Campus
   d. The Ohio ITAC at [insert name of location] Chamber of Commerce
   e. The Ohio MTSBDC at [insert name of location] Organization

3. Each service center must comply with the Ohio SBDC graphics standards. The use of the program's naming convention (Item 2 above), SBDC and SBA logos, disclaimers, and other standards must be used on all printed and electronic materials, media, etc.

4. Each service center must have brochure, business cards and marketing materials, marketing plan, etc., to be used in local, specific markets to meet requirements of the graphic standards.

5. All service centers' marketing materials *must* display statements and disclaimers immediately below or adjacent to the SBA logo:

   a. *"The Ohio Small Business Development Center (SBDC) program is funded in part through a cooperative agreement with the U.S. Small Business Administration. The SBDC program is also funded in part by the Ohio Department of Development. All opinions, conclusions or recommendations expressed are those of the author(s) and do not necessarily reflect the views of the SBA. Reasonable accommodations for persons with disabilities will be made if requested at least two weeks in advance. Contact (name, address, and phone number of person who will make the arrangements)."*
   b. These statements and disclaimers must appear verbatim and may not be altered or replaced with substitute language. However, on materials with severe space constraints such as signs and banners, an SBDC may substitute "SBA" for "U.S. Small Business Administration" in the acknowledgement of support. The acknowledgement of support must be presented in a legible typeface, font size and - where applicable - color contrast.
   c. This terminology is subject to change based on the SBA's current Program Announcement.

6. The Ohio SBDC program distinction must be prominent in all marketing materials.

SECTION II. STAFFING/EMPLOYMENT STANDARDS

A. Center Staffing

1. Employment Standards

Service centers must be staffed by employees of the SBDC grantee or consultants. The State Lead Center establishes minimum employment standards for business advisors and center directors. The State Lead Center MUST provide written approval of all SBDC staff hires, and MUST be part of the interviewing process for all directors.

Many of the service center hosts use position descriptions and job titles other than the standard of the Ohio SBDC program. When a center is preparing to post a position, it is recommended that the job description meet both the host's and the Ohio SBDC standards. A copy of the posting MUST be submitted to the State Lead Center for review and approval prior to the posting's publication.

The State Lead Center exercises programmatic control of all SBDC staff activities and requires that no hires are made until feedback and/or approval has been given by the State Lead Office. (See Hiring Process in other documents.) The service center host, as the employer retains all other employment authority.

2. Staffing Requirements

Each proposal will be rated by the level of staffing proposed.

a. Each service center must be staffed by at least one full-time business advisor and a 20-hour-per-week part-time business advisor or consultant. This may include the service center director. The service center director may not work less than 25 hours per week for the SBDC. Existing center directors with 20-25 hours will be grandfathered under this area. (A full-time director is preferred.) Each service center must also have a secretary/administrative assistant for at least 10 hours per week. Current service centers with only a full-time director may remain at that staffing level if they can demonstrate at least 1,200 counseling hours per year.

   Full-time SBDC staff is greatly preferred over multiple part-time staff. Each service center will be rated based upon the most counseling hours, and on how few staff it takes to provide such hours.

b. *All* service center directors and business advisors *MUST* be a Certified Business Advisor. [*Certified Business Advisor® (CBA) program is an innovative, eLearning certification program that certifies SBDC advisors through focused, on-line instruction at the*

graduate level in accounting/finance, marketing, entrepreneurial assessment and human resource management. Upon successful completion of the on-line coursework and exams, attendees receive a certificate from The University of Toledo (UT), College of Business Administration (COBA)—Graduate Programs. Graduates also receive 13.0 CEUs from the Ohio SBDC, an authorized provider of CEUs through IACET. Eligible graduates can also apply for three (3) graduate credit hours from UT.]

c. Graduate students shall appear on the Budget if they are paid employees. All graduate student teams with time devoted to counseling and research for SBDC clients may be entered into Center IC under a team log in and counted as SBDC counseling hours. Team activities are required to be documented on a log, supported, and reviewed by a CBA.

d. All counseling by *non*-CBA graduate students, volunteers, or external consultants must be supervised and reviewed by a Certified Business Advisor®.

e. The State Lead Center MUST receive notification for all changes in personnel. A potential SBDC business advisor or director must meet the State established minimum qualifications, and MUST agree to participate in the state-mandated Certified Business Advisor® (CBA) process. Grant funding may be denied should the service center host fail to meet these requirements.

3. Requirements and Qualifications

All professional consulting staff will be qualified by reason of education and/or experience in an effort to maintain high-quality services. A formal search process will be required for each professional position. All positions will be filled on an Affirmative Action/Equal Opportunity basis. In order to ensure the highest level of service to our clients, each funded center therein is expected to adopt the minimum qualifications and position descriptions as provided by the State Lead Center (see other documents).

All directors and business advisors *MUST* participate in counselor training and development programs when mandated by the State Lead Center. In addition, each center must make every effort to budget for and participate in training and networking activities as provided by the national association—America's Small Business Development Centers (ASBDC).

4. SBDC Staff Salaries

All SBDC staff must be paid commensurate with the skills and abilities required by the position descriptions. The State Lead Center reserves the right to intervene in salary-setting activities of host agencies if:

a. Salary levels proposed and approved through this budget and RFP process are not implemented; and/or

b. Salary levels are not in parity with state and national norms for same or similar SBDC positions.

B. Certified Business Advisor®

All full-time SBDC counseling staff must pass the Ohio SBDC's CBA class, and subsequently remain in good standing. CBA Manual is incorporated as part of this RFP.

C. Time and Effort Certification

Time and Effort Certification must be documented and certified in accordance with applicable OMB Circulars. Formal process, documentation and certification will be reviewed by the State Lead Center. If a host organization currently utilizes an existing grant office certification, it will be reviewed for endorsement by the State Lead Center. If the host organization does not have a current process in place, the host/SBDC will follow the process, documentation and certification as prescribed by the OMB Circulars. (See Time and Effort Process in the other documents).

D. Conflict of Interest Policy

Each counseling resource, including director, business advisor, consultant, faculty, student or volunteer and administrative support staff who work with clients and files (AA, coordinators, etc.) must sign the proper conflict of interest form 250 or 250-A annually. All forms must be signed annually and placed on file in each service center location.

The purpose of this policy is to prevent the actions of any agent of the Ohio SBDC Network from having a conflict of interest.

1. Definitions as related to Conflict of Interest policy.

   a. Conflict of Interest - a situation, in which a private interest or gain, leads or has the potential to lead to a disregard for the needs of the SBDC or for the rights of the client.
   b. Client - a business, individual, or legal entity with which the SBDC has entered into a contract, written or verbal, to provide any or all of the SBDC available services.
   c. SBDC Services - include, but are not limited to consulting; training; research of materials for a client; referrals to other agencies; provision of printed materials, copies, or magnetic media information; or other services that the SBDC may commonly and routinely perform for its clients.
   d. Agent of the SBDC - any person currently employed or under contract to provide direct client consulting, training or other services. This may include students, university faculty and staff, volunteers or paid consultants. A university or other agency may pay agents, but if their activity is to further SBDC objectives, they are considered agents of the SBDC.
   e. Gift - real property or tangible and intangible personal property of material value which is provided directly or in trust for the benefit of

the recipient. Included in this definition are the similar terms included in the next section.

f. Consulting Activities – (with regard to “moonlighting” or other for-profit activities outside the normal working hours and service delivery of the SBDC).

2. Standards of Conduct

Persons who serve as agents of the Ohio SBDC Network:

a. Must not solicit or accept, or appear to solicit or accept, any gift, loan, reward, promise of future employment, favor or service from any current client;
b. Must not solicit or accept at anytime, or give the appearance thereof, any compensation or other monetary remuneration for consulting-related services or training provided a client while acting as an agent of the SBDC, or any other SBDC related services at anytime;
c. Must not recommend to a client the purchase of goods and/or services from a firm in which the agent has a material and/or financial interest;
d. Must not accept fees, commissions, gifts or other favors from third parties that have supplied goods and/or services to SBDC clients;
e. Must not solicit the private engagement of his or her services by the client at any time during the term of the client's relationship with the SBDC;
f. Must not release information about any client's relationship with the SBDC, or any information about the business or personal matters of any client to any person or agency outside the SBDC Network without the written permission of the client;
g. Must not invest monies, personal services or property in the business of current clients of the SBDC; or
h. Must not propose a for-profit, external relationship prior to the end of a 90-day "cooling-off" period.

3. Agents of the Ohio SBDC Network will:

a. Assure that the outside activity does not interfere with the full performance of the agent's SBDC activities and responsibilities;
b. Notify the SBDC State Director, in writing and in advance, of the nature of the proposed activity and any potential for conflict of interest which might arise from it;
c. Utilize neither the SBDC material, equipment or property nor publications, texts or other documents which were developed or prepared with SBDC funds;
d. Assure that his or her SBDC position is not used to arrange, or appear to arrange, the eventual utilization of his or her service for private gains; and
e. Abide by The Ohio Ethics Laws and The Ohio SBDC Policy Statement on Client Privacy that is included in the other support documents.

SECTION III. RECORD KEEPING (Center IC)

The record keeping process MUST include standards required under the following:

- Paper Reduction Act (44 U.S.C. ss 3501);
- Privacy Act (5 U.S.C. ss 552); and
- Freedom of Information Act (5 U.S.C. ss 552).

A. Client Case Files

1. Client Paper Files: A separate file shall maintained for each client case. This file must consist of all documentation in regard to that client, as prescribed in the SBDC Operations Guide. This includes the 641 Part 3 narrative notes from the initial session, as well as the notes from any follow-up sessions and attaching to the 641 Parts 1 and 2 in the client's file. The signed 641 Parts 1 and 2 plus the initial 641 Part 3 with goals must be placed on the left-hand side of client folder, and all other 641 Part 3 follow-ons and supporting documentation go on the right. Requirements include both paper and electronic file.

   The client data form 641 is modified to incorporate acknowledgement to the client of the specific program their data will report through. The same confidentiality and reporting requirements are used for each program; SBDC, MTSBDC, MEP, RSC, ITAC, and STEP.

   Each service center shall use the client strategic counseling format in Center IC. Each client file should document progress toward consulting goals outlined and agreed upon. In addition, baseline economic indicators should be collected for all clients during the initial session. Each time the economic indicators are collected, they should be updated in the session notes and include client acknowledgement of impact. Mores specifics for each session type of activity are included in the Center IC Manual.

2. Client Electronic Files: Each service center, must use the Center IC system, the electronic client relationship management system as dictated by the State Lead Center. (Refer to the Center IC Manual.) A center may decide to have all client files as electronic only. This is an acceptable practice with all paper documents scanned and attached to the electronic client file.

3. All Graduate Student time devoted to counseling and research for SBDC clients may be counted as SBDC counseling hours. All entries must be made into Center IC based upon standards detailed in the Center IC manual. In all cases, the client file must contain the team's detailed log of counseling activities of each student. Faculty participation may also be entered and counted according to the Center IC manual. Faculty participation in this, or any student counseling, may be counted as match, with appropriate documentation. Reminder: All faculty and student counseling must include a CBA review.

4. Each service center is required to collect economic impact data from the clients. The data collection must be collected at least once per program year. All data is required to be entered into Center IC in the follow on session notes. The data must be verified with client signature. The State Lead Center has provided a sample form to document and validate economic impact data for each client is included in the other support documents.

B. Training Files

1. Paper Training Files: A separate file shall be maintained for each training activity, as prescribed in the Program Announcement. At a minimum, each event file must include: 888 Training Report Form; Attendee list or sign-in sheet; Agenda or marketing piece; evaluation forms; and Program Income Activity Report (PIAR) for each training that includes fees.

2. Electronic Training Files: Each center, including, will use the Center IC system as dictated by the State Lead Center office to report all training events. (Refer to the Center IC Manual.)

C. Time Limits

All counseling and training activities for a given week must be entered into Center IC by close-of-business on the following Tuesday. At the end of each quarter, the Center IC data will be locked in accordance with the FFY2013 Due Dates. Grant funding may be denied should the service center host fail to meet theses requirements..

SECTION IV. FINANCIAL BASIS OF THE SBDC PROGRAM

A. Budget Preparation

1. All responses to the RFP must contain an individual service center budget for Federal Fiscal Year 2013 (October 1, 2012– September 30, 2013) for each consortium partner.

2. Each service center will utilize the appropriate Budget Excel File for budget.

3. Each service center will maintain a separate budget.

4. The submission must include a copy of the host's reimbursement travel and other expense reimbursement policy.

5. The submission must include a copy of each service center's current Inventory List.

6. A floor plan with room dimensions to the support documentation of square footage applied to the budget must be included for each service delivery location.

B. Match Requirements

1. Cash Match

a. Cash Match is required for the SBDC program. Cash match is considered the dollars spent for the sole benefit of the SBDC program. Cash match must tie to the delivery of core SBDC services. Cash match is not a reimbursable expense for the SBDC program. SBA requires that for each SBA $1 invested in the SBDC program, that $1 of match is provided from the State and Local partners. Of the match, 50 percent MUST be cash. Cash Match funding sources may include: Development, Host Cash Match and Local Cash Match.

b. For SBDCs, Cash Match must equal a *minimum* of 50 percent of all SBA funds received by the center as outlined in the current Program Announcement.

(1) Development funds are considered part of the cash match requirements. For example, $10 of Development funds can be added to $40 of local host cash funds equaling $50 of cash match for $100 of SBA funds received to the by service center.

(2) Selected centers may be required to provide more cash match than the minimum based on the needs of the area and the availability of area funds (See Funding Chart included in the Other Documents.).

c. MTSBDC hosts must provide the same 1 to 1 match for each grant dollar with a minimum of 50 percent cash match.

d. For current ITAC hosts, ONLY CASH MATCH IS ALLOWED. Cash match must equal a minimum of 30 percent or the same level of match as provided in the FY2012. No indirect or in-kind match will be used to support ITAC match.

e. There is no capon the amount of cash match an SBDC can develop/obtain within the local community. Strong growing SBDC Districts need to continue to obtain additional local program support.

f. Examples of Cash Match include:
Cash match is the dollars spent for the *sole express benefit of SBDC.* Cash match must tie to delivery of core SBDC services. Quality cash match is buying new capacity or new services, which would not have been incurred otherwise. (A lease agreement entered into for *the express* purpose of *SBDC* occupancy *is* an eligible expense for cash match. Rental space occupied *by the host and for the host* is *not* eligible for cash match).

g. Examples of What Cash Match Does Not Include:

(1) indirect costs of any kind;

(2) in-kind contributions;

(3) program income or fees collected from recipients of assistance;

(4) program income derived from activities supported in whole or in part with federal or match funds;

(5) funds contributed from other federal sources (except Community Development Block Grants);
(6) amounts committed by the applicant organization for unidentified and/or contingent costs in the budget proposal; or
(7) any cash that is not at the sole discretion of the Director of the center.

h. Cash Match must be certified in the following manner:
(1) The local cash contribution to the individual program must be supported by a signed Cash Match Certification Statement (see Forms Excel Workbook in the Other Documents);
(2) Cash match must be committed upfront and identified by source and amount; and
(3) Each service center must submit a signed Cash Match Certificate.

2. In-kind Match

a. Non-cash match contribution based on the fair-market value of goods and services that are provided to the project, which may include office equipment and office space.
b. In-kind match may include any possible donation of personnel time, office space, office equipment, office supplies, etc. to the SBDC program.
c. In-kind contributions 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.
d. Contributions may include, but are not limited to, cost items such as time and materials, office space, and equipment.
e. 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.
f. 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.
g. The SBDC must document the annual basis for valuing the donation in a clear manner such as the following: 3 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.
h. 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.

i. Match will also be evaluated on the basis of reasonableness as prescribed by the OMB Circulars.

j. Any host staff that the SBDC Director reports to shall NOT be allowed as match.

3. Indirect Costs

Indirect Costs include those costs that directly facilitate the program delivery and operation. Typically indirect costs are incurred for common or joint objectives and therefore cannot be assigned readily and specifically to a particular sponsored program. In many cases indirect costs relate to overhead costs. Indirect costs are considered Non-cash Match. Indirect costs are NOT reimbursable expenses. Each center that includes indirect costs must also provide the copy of the host's current Indirect Cost Rate Agreement (ICRA) which defines the negotiated rate with the federal cognizant agency. The most common ICRA for the Ohio SBDC program is the 24 percent from the SBA.

C. Administrative Requirements and Cost Principles

1. Historical financial performance of service center host will be considered in the evaluation process.

2. The following OMB Circulars, the Notice of Award, the SBA Program Announcement, and the federal requirements regarding administrative requirements and cost principles are applicable to all SBDC Programs throughout the current Cooperative Agreement as appropriate and are incorporated by reference:

SBA Notice of Award
SBA/SBDC Program Announcement

2 CFR Part 220 "Cost Principles for Educational Institutions." (OMB Circular A-21)
2 CFR Part 215, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations." (OMB Circular A-110)
2 CFR Part 230, "Cost Principles for Non-Profit Organizations." (OMB Circular A-122)
2 CFR Part 225, "Audits of State, Local, and Indian Tribal Governments" (OMB Circular A-87)

13 CFR Part 143 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" (OMB Circular A-102)
29 CFR part 99, "Audits of States, Local Governments, and Non-Profit Organizations." (OMB Circular A-133)

Current versions of OMB Circulars are available from the Office of Management and Budget's website. The address is:
www.whitehouse.gov/WH/EOP/OMB/html/circular.html.

To the extent that OMB Circulars are amended or modified during the term of the Cooperative Agreement, such changes are incorporated by reference into the Cooperative Agreement on their effective date.

D. Financial Management System

Each service center shall maintain a separate accounting records of all expenditures attributable to the management, operation and conduct of the center. Separate general ledger accounts will be maintained for federal funded expenses, state funded expenses, host and/or other local funded expenses, program income, program expense and if necessary asset accounts for program income. Detailed records must facilitate an audit that traces program expenditures by source and use of funds.

Financial records shall adequately identify the source and use of funds and provide for the comparison of actual expenditures to budgeted amounts by line item.

Each service center *MUST* identify any surplus of the budgeted SBA funds and Development funds that will not be expended by the end of the fiscal year. Notification of surplus funds must be made to the State Lead Center by July 1st of each year, or as determined by the State Lead Center. Any funds that are identified as surplus will then become available for reallocation by the State Lead Center. Reallocation of surplus funds will not affect that service center's SBA and Development allocation amounts for the following fiscal year.

However, if a surplus amount is not identified by July 1st and reported to the State Lead Center, the amount of SBA or Development funds that were not expended by a center *may* be deducted from the allocated amount for the following fiscal year.

This proposal shall include the name, title, address and telephone number of the accountant, comptroller or financial officer responsible for the financial tracking and accounting of SBDC program funds.

The service center director must be responsible and accountable for all SBDC program funds. All program funds include SBA funds, state funds, local host cash match funds, other local cash match funds, program income funds, and in-kind match donations to the SBDC Program. *The director must not allow host superiors to re-direct SBDC funds or dictate purchases or activities outside of the SBDC program guidelines.*

E. Inventory

SBDC equipment, furniture or supplies consists of all items purchased for the use of SBDC funds, throughout the useful life of the item(s), and purchased using SBA or ODOD grant funds and/or the matching funds from the host. Inventory should include all equipment with a cost of $500 or more, along with all electronic devices regardless of cost. Electronic devices include: computers, laptops, printers and peripherals, cell phones, blackberries, etc.

An inventory of these items must be maintained at the service center. The inventory will include date of purchase, price, description, identification number and, if necessary, reason and method of disposal. All disposals require prior approval by the State Lead Center, District SBA and SBA Headquarters. The Code of Federal Regulations and OMB Circulars govern disposal. In the event a service center is closed, the State Lead Center will distribute the inventory where needed within the network.

F. Center Costs

The service center budget proposal must show the total cost of the Program. Costs include indirect costs (upon federal cost agreement only),and direct costs to include: personnel, fringe benefits, travel, equipment, contractual, consultants, and other costs, such as supplies, office space, copying, phone, etc.

Each applicant shall furnish their current indirect cost rate agreement as negotiated with their cognizant agency along with their proposal submission. Indirect costs are *not* an eligible expense for SBA or Development funds. Indirect costs are only approved upon the presentation of an approved agreement from the federal cognizant agency for the current applicable program period.

The budget must describe the financial resources offered by the applicant. The amount and source of funds being provided as match must be clearly indicated, i.e., state, university, and private sector funds, distinguishing between cash match and non-cash match.

In addition, the proposal must disclose financial resources secured by the applicant from all other Development divisions or programs, as well as local Community Development Block Grants (CDBG), Micro-enterprise funds for technical assistance, and SBA financial intermediary funding or fees, etc. (See Financial Resource Disclosure Form in Forms Workbook).

G. Guidelines for Eligible Costs and Cost Allocations

The service center director is required to fully understand and appropriately apply all rules and regulations defined in the Notice of Award, Program Announcement, federal guidelines, state circulars, and Ohio's SBDC Operations Guide. Budget line items include:

1. PERSONNEL

   a. Salaries of SBDC employees, full and part-time status, student salaries and other remuneration for services are eligible costs as long as they are appropriately documented. Appropriate documentation includes, but is not limited to, complete payroll register of salaries paid to the individual.
   b. Time and Effort must be documented and certified in accordance with applicable OMB Circulars. Formal process, documentation and certification will be reviewed by the State Lead Center. If a host organization currently utilizes an existing grant office

certification, it will be reviewed for endorsement by the State Lead Center. If the host organization does NOT have a current process in place, the host/SBDC will follow the Time and Effort process.

c. Any salary of a host employee who is a superior to the center director may *not* be budgeted or funded by any SBDC Program funding (SBA funds, state SBDC funds, host program match funds, other local SBDC match funds, and in-kind SBDC donations).

d. Each staff member is annually required to complete the Form 250 or 250A as part of the SBA/SBDC requirements. If a staff member does not have a signed 250 or 250A on file at the service center, funding will be denied for reimbursement of such staff member.

2. FRINGE BENEFITS

Employer-contributed benefits related to personal service costs are eligible costs, provided such benefits are granted in accordance with established host policies. Reimbursement of at-work parking for staff is not allowable, unless, included by the host as a part of its indirect cost rate agreement.

3. TRAVEL

Receipts and documentation (a completed, signed and approved travel reimbursement form) are required for mileage, workshops, training expenses, meals, lodging, etc. When providing documentation and copies of receipts please highlight, circle or otherwise note the charges that are being requested for reimbursement if there is a split between the SBDC and another program. Travel expenses are to be reimbursed using the State Travel Guidelines. If the service center host policy covers expenses for all travel authorized by the agency then any difference may be used as cash match under the terms and conditions of this grant program. (see State of Ohio Travel Policy http://obm.ohio.gov/MiscPages/Publish/TravelPolicy.aspx). When preparing your budget, please use the appropriate rules.

All travel and per diem costs of non-consultant personnel are not allowed.

Meals are not reimbursable, unless in travel status as defined by the State of Ohio guidelines; otherwise, meals are considered entertainment. Meal receipts can only be submitted for one person. A receipt that covers multiple meals will be considered entertainment, unless a detailed explanation is attached. Entertainment is not an eligible expense.

Each out-of-state trip must receive prior approval from the SBA Project Officer through the State Lead Center. Each out-of-country trip must receive prior approval from the SBA's Administrator in Washington DC. All travel requests must be sent through the State Lead Office. Trips included in the original budget submission in response to the annual RFP are considered to have prior approval as this budget has been approved by both local and Washington SBA staff.

4. EQUIPMENT

Charges reported in this category should exceed $5,000 for each unit purchased. Purchase or lease of all articles of non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of $5,000 or more per unit are eligible costs. Items that do not meet these criteria must be reported and added to the supply sheet.

5. SUPPLIES

Cost of goods used in the operation of the program such as office consumables, office and computer supplies, equipment maintenance and equipment under $5,000 per unit cost should be included on this page.

a. Please note that all equipment items and non-consumable office supplies purchased with Program SBDC dollars must be documented on the SBDC Inventory list. This documentation identifies the SBDC ownership. Includes but is not limited to the following: Cell phones, Blackberries, calculators, 3-hole punch, printers, fax machines, etc.
b. Indirect costs are not allowed under this line item.

6. CONTRACTUAL

Normal contractual arrangements consist of services such as computing, accounting, audit, professional cleaning, etc. Detailed descriptions are required when budgeting for these contractual services include the following:

a. Organization Name;
b. Number of hours of service; and
c. Hourly rate.

NOTE: The organization's invoice will be required for reimbursement of expenses.

7. CONSULTANTS

Consultants refer to individuals hired under contract with specific scope of work for SBDC training and/or SBDC counseling. Arrangements may be one or a mix of the following: volunteers, in-kind, cash match, ODOD funding, SBA funding. When budgeting for these services include the following:

a. Name of Consultant or group name of consultant;
b. Number of Hours for the fiscal year;
c. Hourly rate; and
d. Service provided.

NOTE: The organization's invoice; the individual's signed invoice; or the donation letter will be required and must meet the SBA requirements for reimbursement of expenses. Support for such invoices must include time documented by client activity in Center IC.

8. OTHER

This category includes all necessary and allowable costs not included elsewhere. Miscellaneous and contingency costs are not allowable, so all costs in this line item must be described; examples include printing, copying, space, utilities, dues, subscriptions, library resource materials and staff recruitment. See section describing Match eligibility to determine how to assign the cost for space. Indirect costs are not allowed.

9. INDIRECT COSTS
Indirect costs are considered NON-CASH MATCH to the Ohio SBDC Program. Indirect costs are NOT reimbursable expenses.

For service center hosts using an SBA provided Indirect Cost Rate Agreement for the SBDC program, the following terms apply:

a) These terms are to assist in identifying and clarifying those costs considered being "general administrative and general expenses" noted in OMB Circulars. They form the basis for this SBA Indirect Cost Rate Agreement and subsequently may not also be included as direct costs against the award when the SBDC Indirect Cost Rate Agreement is used.
b) Cost pools underlying the Indirect Cost Rate Agreement include personnel compensation and benefits for positions or for activities which are not both (1) in direct support of the SBDC program goals and objectives and (2) under the direction or supervision of the key person identified in the Cooperative Agreement as responsible for program performance at the respective host entity.
c) 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.
d) 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."

Failure to complete all sections of the RFP and Budget as required and outlined above may result in delay of the approval process.

SECTION V. REPORTING

A. <u>Semi-Annual Narrative Report</u>

1. A Semi-Annual Narrative Report of activities and economic impact statistics is submitted to the SBA twice a year. In preparation for these reports, each service center must submit a semi-annual narrative to the District Consortium Leader for inclusion in this report. The District Consortium Leader must send this district report to the State Lead Center according the FFY2013 Due Dates.

2. Reporting Category Definitions: Further descriptions of information to be included are located in the SBA Program Announcement. The State Lead

Center also provides a template to complete the report with all specified areas (See other documents for the Narrative Reports Guidelines.).

B. Semi-Annual Success Stories

The Ohio State Lead Center submits success stories to the SBA twice a year. Each service center must submit twice a year, *at least* two (2) success stories—one published, one unpublished--*semi-annual basis per US Representative District within the area of coverage for the service centers.* These stories must be received by the State Lead Center as prescribed in the FFY2013 Due Dates and Success Story Process are provided in the "Other Documents".

C. On-site Review

Throughout the contract period, the State Lead Center will schedule a minimum of one (1) on-site review of each service center. Follow-up visits will be scheduled as deemed necessary. The purpose of the review process is to review all aspects of an SBDC program, to ensure compliance with State and Federal Guidelines, and to identify areas to recognize the service center's accomplishments along with any needs for improvement. SBDC centers found having gross violations can be immediately placed on probation or closed as prescribed in the Grant Agreement. See other documents for the On-site Review Process.

Termination: If at any time during the term of the grant agreement, Development determines that any service center host has not satisfactorily complied with the terms of this agreement or is in violation of any program rules or requirements contained or referenced herein or if the service center host has failed to follow any lawful program rule or instruction communicated to it by State Lead Center, Development may: a). Immediately terminate the Agreement; or b). Provide written notice of Development's determination that the service center host has not complied with the terms of the Agreement and specify a cure or probationary period during which the service center host must correct the noted deficiencies to avoid termination.

During the cure or probationary period, which shall be no less than thirty (30) days, the service center host shall incur only those obligations or expenditures necessary to enable the service center host to continue the program and achieve program compliance as specified in the notice. Upon the completion of the cure or probation period, Development shall inform the service center host of its decision to extend or terminate the Agreement. The decision of Development shall be final.

D. Budget Modifications

The original grant agreement will document the official service center approved budget. As budget adjustments are made, they will be documented in the Invoice Packet submission.

E. Quarterly Invoice

Invoices for the Ohio SBDC program are required quarterly. Invoices must use the prescribed Invoice Packet. Invoices must detail all program expenses with support documentation. The SBA and Development funds must be expended at

the same rate as the allocation and reporting of cash match and non-cash match to the program as a whole. Invoices are reviewed in great detail and will not be processed until all questions are answered or issues resolved.

SECTION VI. COMMUNICATION PROCESS

Each service center must demonstrate a communication process to provide supporters and stakeholders of the SBDC with accomplishments of the SBDCs. Stakeholders include, but are not limited to the following: Ohio SBDC Advisory Council, Hosts and government entities (SBDC State Lead Center and SBA District Offices).

The State Lead Center provides a communication process across the depth and breadth of the Network. The process allows open feedback and transparency at all levels and for all transactions for the Network. A detailed communication diagram of the various communication methods utilized to support the Network is included in other documents. Each service center must provide details for the various levels of communication with the partners, SBDC staff, the local business community, and the individual clients.

SECTION VII. CONSULTING *(The definitions for the SBDC term "consulting" and the SBA term "counseling" are the same.)*

Client consulting is a core service of each service center. Client records must demonstrate high-quality consulting. Procedures to preserve confidentiality must be in place. Clients should receive timely consulting. Each service center must a) evaluate the quantity and quality of consulting, b) analyze the impact of consulting, c) relate consulting activity to the strategic plan, and d) provide consultant-based client feedback, as set forth in the Operations Guide.

A. <u>Definitions Related to Consulting Activities:</u>

1. 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 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 two types of clients:
   a. <u>In-Business</u>:
      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.) <u>AND at least one of the following:</u>
      (1) Has documented a transaction from the sale of a product or professional or personal service for the purpose of gain or profit;
      (2) Has contracted for or compensated an employee(s) or independent contractor(s) to perform essential business functions;
      (3) Has acquired debt or equity capital to pursue business operations (e.g., to purchase inventory, equipment, building, business, etc.); or

(4) Has incurred business expenses in the operation of the following business forms:

(a) Start-up: those individuals (entities) who have been in business up to 12 months;

(b) Existing Healthy: those individuals (entities) who have been in business over 12 months old with increasing sales; or

(c) Existing Declining: those individuals (entities) who have been in business over 12 months old with decreasing sales.

b. Nascent (Pre-venture) Entrepreneur: An individual who has taken one or more active steps to form a business. An individual who seeks assistance from SBA and/or one of its resource partners meets this definition.

2. COUNSELING SESSION - Services provided to a client are:

a. Substantive in nature and require assistance in the formation, management, financing, and/or operation of a small business enterprise; AND

b. Specific to the needs of the client; AND

c. Require a signed SBA Form 641 or equivalent form that supports SBA's management information database.

d. Consulting maybe one-on-one, in person (face-to-face), on the telephone or via other electronic media. To allow for reporting of time invested in a client, preparatory (prep) time will be tracked separately from contact time but attributed toward counseling time in data reporting. Travel time will not count toward counseling time but will be tracked separately.

e. Types of Counseling:

(1) Face-to-face Counseling (in person):

(a) Meets the definition of "counseling" and should be no less than one hour initially (cannot include prep time in this initial calculation) and includes any counseling session thereafter regardless of time.

(b) Reporting Face-to-face Counseling: 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 there so that the number of people served can be tracked. This will only be collected on the initial SBA Form 641.

(c) Group consulting shall be a group of less than five clients with similar circumstances, counseled for at least one hour. This consulting must be identified with a client case. Sample: Three clients need assistance in developing cash flow. The CBA schedules all three clients for a group session to assist with each specific cash flow, for a one-hour

session. This is 3 counseling hours for the business advisor.

NOTE: Groups of five or more shall be reported as training.

(2) Online Counseling (electronic):

(a) Meets the definition of "counseling" and the recipient of the counseling must acknowledge, through an SBA Form 641 or an SBA approved "electronic substitute," the requirements imposed by accepting counseling assistance from the SBA or its resource partner(s) AND online counseling should be no less than 30 minutes initially (can include prep time in this initial consultation).

(b) Reporting Online Counseling:

At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute:

#3 – Client Name or approved client-coded name/number

#4 – Email Address

#10 – Zip Codes

(3) Telephone Counseling:

(a) Meets the definition of "counseling" and the recipient of the counseling must acknowledge, through an SBA Form 641 or an SBA approved "electronic substitute," the requirements imposed by accepting counseling assistance from the SBA or its resource partner(s) AND telephone counseling should be no less than 30 minutes initially (can include prep time in this initial consultation).

(b) Reporting Telephone Counseling: At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute:

#3 – Client Name or approved client-coded name/number

#5 – Telephone Number

#10 – Zip Codes

3. LONG-TERM COUNSELING CLIENT

Meets the definition of "counseling" and requires 5 or more hours of contact time per client during one fiscal year.

The primary goal of the Ohio SBDC Program is to provide quality, in-depth, long-term consulting. The Ohio SBDC Program classifies clients into the following categories:

Nascent (Pre-venture)	Taken 1 or more active steps to form a business
Start-up	0-12 months
Existing Healthy	Over 12 months old with increasing sales
Existing Declining	Over 12 months old with decreasing sales

B. Types and Areas of Consulting:

1. Each service center shall provide timely, high-quality, in-depth, one-to-one consulting to small business owners and entrepreneurs. Consulting is provided on a no-cost, and confidential basis to all clients. *This is the core of SBDC services.*

2. Every contact with a client shall be entered into Center IC, which then becomes the official record.

3. Consulting shall be provided to small businesses in solving problems concerning but not limited to the following:

Access to Capital	Agribusiness	International Trade
Accounting	Inventory Control	Cash Flow
Business Start-Up	Management/Leadership	Commercialization
Buy/Sell Business	Market Diversification	Financial Analysis
Marketing Planning	Manufacturing	Technology
Strategic Planning	Government Contracting	Human Resources

4. Service centers may not receive credit for consulting performed by SCORE.

Minimum expected counseling activities.

	Full Time	Part Time
District Consortium Leader		
Counseling Activities	600 hours	300 hours
Service Center Director		
Counseling Activities	600 hours	300 hours
Counselor		
Counseling Activities	1,200 hours	700 hours

C. Case Management

1. Each service center must utilize the Ohio SBDC "Case Management System" which ensures that SBDC resources are being effectively managed and that client needs are being met. Case management shall be documented in the client files in Center IC. This system shall include, but not be limited to:
   a. Review monthly Center IC reports;
   b. CBA review client files for all non-CBA consultants;
   c. Regular staff meetings at which time cases are discussed, evaluated and monitored for progression;
   d. Regular review of client files by service center director called “Director Reviews”;
   e. Recommended random calling of clients;
   f. Student team logs, performance, client activity, and faculty reviews;
   g. Clients are introduced to the broadest range of local, state and federal resources and engaged appropriately; and
   h. Clients are referred to other network resources in a timely manner and that adequate follow-up is conducted.

Documentation of case management must be included in Center IC as CBA review or Director's Review with notes to support the process. Time for case management must be documented as "prep time" only.

2. Each service center must maintain an Operations Guide which incorporates the standard policies and procedures of the Ohio SBDC Program along with the local host. Policy statements should include methods of recruiting and assigning volunteer and/or paid consultants, a conflict of interest policy, etc.

3. Each service center must maintain a library of relevant business books, publications, business periodicals, SBA pamphlets and statistical data as may be required by clients. Direct electronic access to these materials is acceptable and encouraged.

   The center may substitute or compliment library resources on the premises by providing a list of available resources through formal linkages with public libraries, educational facilities and other resources. In lieu of on-site library materials, a center must demonstrate formally negotiated relationships with other resources.

4. Each service center must maintain adequate work areas for SBDC business advisors and private areas for client consulting.

D. <u>Fees</u>

1. Allowable fees for services includes:
   a. Seminars, workshops and conferences;
   b. Subscriptions to center newsletters or reports;
   c. Subscriptions to data or information services provided by the SBDC; examples might be procurement or international trade leads sent to clients on a regular basis;
   d. Products and services, if the product or service provided to a specific client requires that SBDC expend funds in order to obtain the product or service to be utilized by the client. Then the direct non-personnel costs associated with acquiring that product or service may be passed through to the client;
   e. Preparation of loan packages;
   f. Specialized services or products not normally delivered as a core SBDC service, i.e., FisCal analysis, BiFar/High-impact Assessment, IQa, BizMiner, ProfitCents, in-depth international trade market research and other professional assessment products delivered to the client; and
   g. Each activity must be recorded on a Program Income Activity Report, and all fees and expenses must be itemized and provided as support to Program Income on the center quarterly report.

2. Fee prohibitions include:
   a. No fees may be charged for client consulting;
   b. Fees cannot be used to offset local cash match;
   c. Donations may not be requested until case is closed; and
   d. Fees cannot be used to pay for items in the budget.

E. Milestone Targets for Use on Center IC

1. Counseling

In order to maximize the economic impact, 65 percent of the service center's efforts should be directed to existing businesses. The remaining efforts, 35 percent, are directed toward quick engagement, education and preparedness of small business.

a. The management goals for the FFY2013 Program are as follows for each center:

(1) Client Category

SBDCs	35% of clients:	Nascent (Preventure) and Start-up Businesses
	65% of clients:	Existing Businesses

ITACs MTSBDCs	10% or less of clients:	Nascent (Preventure) and Start-up Businesses
	90% of clients:	Existing Businesses

The Ohio SBDC Program continues to encourage long-term client engagement that exceeds 10 hours.

b. Each service center director must conduct quarterly management analyses to evaluate the effectiveness of the center and staff. All data for these procedures are available in the Center IC analysis will be made by the State Lead Center.

The State Lead Center will use these management analyses, onsite reviews and other reports to evaluate the ongoing financial viability of center funding and effectiveness of SBDC activities.

2. Baseline/Growth Client Data

Each center must collect the following economic impact data during initial and final visits with clients, as well as any session where the time lapse is greater than one month from previous entry of data. Before the end of each fiscal year, each center must contact all clients with more than one session in order to enter final economic activities. All economic indicators must be entered into Center IC, and validated by signature of the client (See Center IC Manual for complete details).

Economic Indicators collected include:
Jobs Created and Retained
Gross Sales Increase and Cost Avoidance
Government Contracts and Export Contracts
Business Starts
Training Sessions and Attendees
Capital Infusion to include: loans, grants and equity

SECTION VIII. TRAINING

Education and training of a client and its management team is a core service of the Ohio SBDC Program. SBDCs will provide quality training designed to improve the skills and knowledge of existing and prospective small business owners/managers throughout the SBDC network. Where appropriate, SBDCs are encouraged to utilize educational technology such as computer-based instruction, distance learning initiatives, video tapes and other electronic mediums to enhance the distribution and quality of educational services.

A system for evaluating quantity and quality of educational activities should be in use. The reports from Center IC, class evaluation forms, class attendance, participant surveys and review of the business education programs will indicate programs of high quality that are meeting the needs of the small business community. Training activities should be related to the strategic plan for the resources used to conduct training. Training milestones must be included in this proposal (see Training Milestones Form in Forms Workbook).

A. <u>Definitions Related to Management Education and Training</u>

1. Training (Including long-term training)
   An SBDC training workshop or seminar is defined as an activity or event presented or cosponsored by a resource partner, service center office or other SBA office or a third party which delivers a structured program of knowledge, information or experience on a business-related subject. The training must last for a minimum of one hour and include two or more clients in attendance.

   <u>Reporting Training</u>: The SBA Form 888 is used to collect and report information on traditional classroom-style training. There must be two or more persons in attendance. The agenda and/or program content, attendee list, and evaluations are required for each training event. Records for these training events must be kept at the service center and available for onsite review.

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

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

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

Reporting Online Training: An SBA Form 888 is required for all online training events. There must be one or more clients participating in the online training. At a minimum, the following fields should be completed on a registration form for online training: client name or approved client-coded name/number; email address, and zip code

In addition, every attempt should be made to collect other demographic data/points, such as; Race, Ethnicity, Gender, Disability, Veteran Status, and Military Status.

Client registration records and other course information must be retained at the service center and made available for onsite review.

b. 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.

Reporting Co-Hosted Training: When reporting training numbers for a co-hosted training, the hosts must work together to determine how to equitably divide the number of clients among themselves. Double counting of clients is not permitted.

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

If each resource partner contributes a significant amount of presentation time (defined as one hour or more per partner), then each host could count all attendees. Accordingly, if five partners co-hosted a training event with five hours of total presentation time (each partner delivering training for at least one hour) and fifteen persons attended the event, each partner could count fifteen persons trained for one hour each.

If each partner puts in less than one hour (per partner) of presentation time, the attendee count would be divided among the hosts based on mutual agreement. Accordingly, if five partners co-hosted a training event with 1.5 hours of total presentation time (each partner delivering training for less than one hour) and fifteen persons attended the event, the partners would negotiate how to divide the number of attendees (e.g., each partner could count three persons trained for 1.5 hours).

Reporting Training with Multiple Sessions: Each session of a multiple-session training program or course may be counted as an individual course on SBA Form 888. Sessions must correspond

with the minimum training duration identified in the definitions listed above.

2. Training Hours (Total Number of Training Hours)
   Total hours of training hours are the number of hours that the trainer spends teaching the training session.

B. Number of Required Training Courses

Each service center *must* conduct a minimum of two (2) training programs per quarter or eight (8) training sessions per federal fiscal year.

C. Content of Training

1. Applicants will provide relevant, high-quality training designed to improve the skills and knowledge of existing and prospective small business owners and employees is provided. Where appropriate, SBDCs are encouraged to utilize educational technology such as computer-based instruction, distance learning initiatives, video tapes and other electronic mediums to enhance the distribution and quality of educational services. All data must be entered into Center IC. SBDC Centers must follow the following criteria:

   a. Each service center is expected to develop an annual training plan for nascent, start-up and existing businesses:
      (1) How are you identifying client training needs?
      (2) What are the small business client training needs identified for your local area?
      (3) What training programs are proposed to meet these needs?
      (4) What collaborative training programs are you offering with what organizations (universities, chambers, associations, etc.)?

   b. The service center plan must include at least one class in each of the following categories:
      (1) Entrepreneurship (BOSS, BASE, Smart Start);
      (2) Human Resource Management (e.g. Managing Employees, Worker's Comp);
      (3) Accounting/Finance (e.g. Cash Flow Management, QuickBooks,);
      (4) Marketing (e.g. Pricing, Selling, Market Research, Advertising);
      (5) Developing a Business Plan (e.g. Components of a Business Plan); and
      (6) Other areas that meet SBA's National Priorities or as demonstrated by a need of the local business community.

   FasTrac and NxLeveL® courses meet the total requirement for all five topics. In the case of BASE and BOSS (or equivalent) classes, both the Entrepreneurship and Business Plan Development requirements will be considered met. Each of the classes outlined in b (above) must be a minimum of two (2) hours in duration to ensure thorough, in-depth coverage of materials. These can be offered in multiple segments or in a

single session. Locally sponsored webinars that meet all requirements stated above are an acceptable alternative to in-person training classes.

D. Training Reporting Process UNDER NO CIRCUMSTANCES WILL AN AGGRESSIVE TRAINING CALENDAR OFFSET THE PRIMARY CENTER GOAL FOR QUALITY, IN-DEPTH, LONG TERM COUNSELING.

1. Entering the training event into Center IC, will create the 888 Report with report number. The SBDC must also report the number of attendees and other data as required in the Center IC Manual. Once the training is completed, the SBDC is required to submit the completed 888 Report to the State Lead Center (either hard copy, fax or electronic), along with the required supporting documentation (see 888 Training Reporting Manual).

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

3. SBDC centers must maintain complete training files at their centers as required in the Operations Guide, and for on-site review purposes.

4. The State's auditing process monitors training compliance. Funding requirements may be impacted should grantee fail to meet requirements.

Income received by the SBDC network for all training programs must be tracked as program income and cannot be used for match funding and must be used to further support the SBDC.

SECTION IX. PROFESSIONAL CONDUCT

A. Service Restrictions

1. Unless licensed and, therefore, authorized to practice law or perform services as a certified public accountant in the State of Ohio, no member of the Ohio SBDC network shall hold him/herself out to the public by words or by conduct as an attorney or certified public accountant, or practice as an attorney or certified public accountant.

2. Members of the SBDC network cannot:
(a) render legal consultation or advice to a client; (b) appear on behalf of a client in any hearing or proceeding or before any judicial officer or governmental body which is operating in its adjudicative capacity; (c) appear as a representative of the client at a deposition or other discovery matter; (d) negotiate or transact any matter for or on behalf of a client with third parties; or (e) receive, disburse, or otherwise handle a client's funds.

3. Members of the SBDC network cannot complete and sign reports assuring the accuracy of the numbers in either financial statements or audits. Such reports can only be executed by a Certified Public Accountant not on staff at the SBDC.

B. Allowable Services

1. The SBDC network may provide training regarding basic business law and may negotiate arrangements with law schools to offer clients access to supervised student legal clinics that are approved by the state attorney and licensing entity. The SBDC must make appropriate disclosures and disclaimers to that effect.

2. The SBDC network may help prepare financial statements, budgets and perform internal assessments, but not financial audits.

3. Legal services and advice and accounting reports can be provided by an SBDC advisor or consultant only if the advisor or consultant is an active member in good standing with either the state bar or accountancy board in Ohio.

SECTION X. PROPOSAL INSTRUCTIONS

A. Proposal Narrative

Each SBDC District must submit a collaborative proposal narrative to include all service centers within the SBDC District area of coverage and answering the following criteria.

Strategy	Include SBDC District Strategic Plan.
Resource Allocation	Each SBDC district must provide for the broadest accessibility of SBDC services and also demonstrate that "concentrations of population and businesses" are being served by appropriate levels of staffing and funding resources. Describe the partners and stakeholders that are a part of the SBDC District proposal, include all IHEs and all Economic Development partners. Describe SBDC District strategy to utilize a blend of methods to provide services to the district customer base including: full service centers, satellite locations and circuit riders locations. SBDC District map identifying the population and business concentrations, as well as proposed locations. Given that a substantial percentage of each service center's efforts should be directed to existing businesses, describe what SBDC District outreach strategies will be used to increase services to this segment. Describe the SBDC District strategy for earning program income and plans of use to augment SBDC services.
Customers	Each SBDC District and service center must clearly understand the role that it serves within its market, including any gaps in small business services that exist. Every SBDC location can provide a varying array of services to meet

	their "market specific" demands and fill service gaps beyond the SBDC core services. Define the customer segments to be serviced by the SBDC District through each service center. Describe the core customer base as well as specialized or potential client segments and current complement of SBDC services used to meet the needs. Include SBDC District SWOT Analysis for customer needs and services.
Marketing	Include SBDC District marketing plan with this proposal.

B. Proposal Budget

Each SBDC District is to submit an individual service center budgets in the Budget Excel File format electronically. Budget must include all justifications for line items to meet the total allocation of funds as presented in the Fund Allocation attached to the RFP.

C. Other Requirements

Each SBDC District is to submit for each individual service center all required forms, Forms Excel Workbook and any additional documentation to support the District's proposal.

The RFP response must include an SBDC District Narrative, all individual services center Budgets in Excel format, and the Forms Excel Workbook for each service center in Excel format, along with the three signed Federally Required Forms for each service center.

Proposal package must be received by 5 pm ET, May 25, 2012.

Submit one original and two paper copies along with a CD/DVD of all files in the required electronic format.

Send questions to: susan.foltz@development.ohio.gov.

All proposals must received by the due time/date at the following address:

Electronically to: SBDCRFP@development.ohio.gov

Paper and CD copies to: Karen Shauri, SBDC State Director
Ohio Small Business Development Centers
Ohio Department of Development
77 South High Street, 28th Floor
Columbus, OH 43215

FEDERALLY REQUIRED FORMS

Certification Regarding
Debarment, Suspension, Ineligibility and Other Responsibility Matters
Primary Covered Transactions

This certification is required by the regulations implementing the Executive Order 12549. Debarment and Suspension, 13 CFR Part 145. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211). Copies of the regulations may be obtained by contacting the person to whom this proposal is submitted.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON NEXT PAGE)

(1) The prospective primary participants certify to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency:

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statues or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.

(c) Are not presently indicated for or otherwise criminally or civilly charged by a government entity (Federal, State or local) terminated for cause or default.

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State or local) terminated for this cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective primary participant shall attach an explanation to this proposal.

Name of SBDC Applicant: _____

Date: _____

Certification Regarding
Drug-Free Workplace Requirements

The grantee certifies that it will provide a drug-free workplace by:

(1) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(2) Establishing an ongoing drug-free awareness program to inform employees about –

(a) The dangers of drug abuse in the workplace;
(b) The grantee's policy of maintaining a drug-fee workplace;
(c) Any available drug consulting, rehabilitation, and employee assistance programs; and
(d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(3) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(4) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –

(a) Abide by the terms of the statement;
(b) Notify the employer in writing of his her conviction for a violation of a criminal drug statute occurring in the workplace no later that five calendar days after such conviction;

(5) Notifying the agency in writing, within ten calendar days after receiving notice from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(6) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph, with respect to any employee who is convicted—

(a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(7) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant;

Place of Performance (Street address, city, county, state, zip code)

_____

_____

_____

_____

Signature *Date*

Certification Regarding
Lobbying

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, “Disclosure of Lobbying Activities” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: _____

Date: _____

Name and Title: _____