



**RFP Ohio Small Business Development Centers
Federal Fiscal Year 2017
Request for Proposals (RFP)**

Request for Proposal (RFP) for:

1. The Ohio Small Business Development Centers (SBDC) Program
2. The Ohio SBDC Export Assistance Network

Project Duration: Federal Fiscal Year 2017: 10/01/2016 – 09/30/2017

RFP Timeline:

RFP Released on Wednesday, May 13, 2016

Bidders Conference Webinar: 10:30 a.m. Monday, May 16, 2016

Letters of Intent Due by Noon on Monday, May 23, 2016

Question submissions accepted Wednesday, May 11 – Monday, June 6, 2016

Proposals due by 10:00 am on Friday, June 10, 2016

Post Submission Negotiations mid-late June

Preliminary Award Notifications Wednesday, July 6, 2016

Post Award Submissions (Strategic & Marketing Plans) due before Saturday, October 1, 2016

Program Year begins October 1, 2016

Availability of Funding and Required Cash Match:

Program:	Funding Available	Required Local Match - Cash
SBDC	\$4,162,000	30%
SBDC Export Assistance Network	\$420,000 (\$60,000 per center)	30% for a standalone office 10% if proposed with an SBDC

Registration for the Pre-Bid Conference Webinar at:

<https://join.onstreammedia.com/play/54204012/10642-sbdc-bidders-conference>

RFP Administered by:

The Ohio Development Services Agency
Office of Small Business and Entrepreneurship
Contact: State SBDC Director
Small Business Development Center Program
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1. Ohio SBDC Statement of Solicitation

1.1 Overview

This Request for Proposal (RFP) is being issued from the Ohio Development Services Agency (ODSA) which, through a shared cooperative agreement with the United States Small Business Administration (SBA), serves as host to the SBDC State Lead Center for Ohio. This RFP is intended to identify local partners to participate in the delivery of SBDC services to Ohio small businesses and nascent entrepreneurs allowing them to start and grow businesses, create jobs, increase sales and gain capital and investment. The goal of this RFP is to utilize a competitive process to leverage resources and partnerships in a manner that will ensure the greatest outcomes for the small business community in Ohio while ensuring accountability, transparency and impact for the state and federal taxpayer dollars used to fund the program. It is the goal of ODSA to regularly issue competitive RFPs for the SBDC program to ensure innovative services, exceptional customer service, and maximum economic impact for the state while ensuring the highest levels of accountability for taxpayer dollars.

Under this competitive RFP, applicants may submit proposals for one or a combination of the following SBDC service centers:

- Small Business Development Center
- Small Business Development Center with SBDC Export Assistance Director/Advisor
- Stand-alone SBDC Export Assistance Network Office

Please note: Since the 2016 program year the Ohio SBDC Program has not separately identified or funded Manufacturing Technology Small Business Development Centers (MTSBDCs). While applicants are encouraged to propose specialized services to meet the needs of targeted business communities, separate lines of funding for MTSBDCs are not being offered for this competitive cycle.

1.2 Background

Ohio's SBDC Program is a partnership program funded by the U.S. Small Business Administration (SBA), ODSA and local host organizations. For over 30 years the State of Ohio has hosted the SBDC program in Ohio and has made a substantial economic impact on the state. During Federal Fiscal Year (FFY) 2015, the Ohio SBDC program provided over 55,000 hours of consulting services that helped entrepreneurs and small business owners:

- Create over 4,000 jobs
- Increase sales over \$490 million including over \$58 million in export sales
- Access over \$200 million in capital/investment

The program is designed to deliver high quality technical assistance to existing Ohio small businesses, startups and entrepreneurs. Assistance is provided through in-depth, personalized, one-on-one business advising, training and other activities that help businesses grow and create jobs. Individual centers offer both general business assistance and targeted innovative programming based on the needs of the local business community. A detailed overview of the program's scope and function is included in the SBA's Annual "Program Announcement" available at: <https://www.sba.gov/offices/headquarters/osbdc/resources/13279>. At the time of publication of this RFP the "FFY 2017 SBDC Program Announcement" has not yet been released by the SBA. The updated program announcement is not expected to be substantially different than the 2016 program announcement. Applicants will be notified when the updated program announcement is available.

1.3 SBDC Export Assistance Network Background

Ohio SBDC funds the Ohio SBDC Export Assistance Network, a team of specialists whose main functions are to assist companies with accessing international markets and to recruit and prepare more Ohio companies for exporting their goods and services. A global strategy is a vital component of growth competitiveness for many successful businesses. In today's highly competitive global marketplace, Ohio and its companies must strive to extend economic reach, build relationships and seize opportunities on a global scale. Accessing new markets through exports is a critical part of sustaining long-term economic growth and creating future jobs. The opportunity for Ohio companies to increase international sales is significant and growing. Today, 95% of the world's population and three-quarters of the world's purchasing power is outside of U.S. borders. The Ohio SBDC Export Assistance Network promotes exporting as way to grow business opportunities while providing technical assistance to help Ohio small businesses start or expand exports to foreign markets.

1.4 Reasons for Considering this RFP

Ohio SBDC programs and services provide direct and measurable economic benefits to the communities they serve. The program demonstrates a significant return on investment that results in job growth, business creation and increased sales. By hosting a local SBDC, an organization has access to the entire SBDC Network of Certified Business Advisors (CBA) and consultants with decades of expertise in working with small businesses.

Becoming a partner of the SBDC leads to new opportunities with the broader academic, business, and economic development community; infusion and leverage of funding for business and community outreach service activities; access to specific resources including a proprietary client and economic impact tracking system, proprietary and complimentary industry research tools and experts and increased visibility within the local business community.

For over 30 years the Ohio SBDC program has served as the state's largest resource for small businesses and entrepreneurs. Additionally, SBDC hosts become part of one of the nation's largest and most impactful program supporting start-up and growing small businesses in all fifty states and U.S. territories. Ohio SBDCs are a part of a national network of service centers and one of 64 programs funded by the SBA.

1.5 RFP Process

The RFP process will consist of the following steps:

- Release of RFP
- Submission of Letters of Intent
- Questions and Answers (Q&A) and Communications
- Submittal of Proposals
- Post Submission Negotiations (if necessary)
- Notice of Award Letters Released
- Submission of Marketing Plan, and Center Strategic Plan
- Issuance of Grant Agreements

All questions regarding this RFP must be submitted in writing via e-mail to: SBDCRFP@development.ohio.gov with a subject line of "SBDC Q&A".

1.6 Eligibility

SBDC and the SBDC Export Assistance Network funding is only available to non-profit organizations including:

- Institutions of Higher Education
- Local Governments
- Economic Development Organizations (Port Authorities, Economic Development Agencies, etc.)
- Chambers of Commerce
- Other non-profits with a strong focus on business assistance and economic development

While "For-Profit" organizations can fund, contribute and sponsor SBDC activities, such organizations are not eligible to host an SBDC or receive funding through this RFP.

Proposals are encouraged from organizations that can demonstrate:

- A history of local community leadership, economic development and accomplishment.
- The ability to assume a leadership capacity within the service delivery area to identify and align partners to support small business needs.
- Alignment with the State Lead Center's strategic priorities (see attached strategic plan)

- A history of efficient and successful federal grants management and/or accounting processes, systems and knowledge to manage and report on federally funded programs in accordance with federal Office of Management and Budget circular requirements (2 CFR 200).

Because of a federal preference, it is strongly recommended that applicants who are not institutes of higher education collaborate with local higher education partners in developing a service delivery plan when responding to this RFP. Additionally, those applicants at institutions of higher education should collaborate with local economic development organizations and small business service partners.

Excluded Entities:

An applicant will not qualify for funding if it:

- Is for profit;
- Is not qualified to conduct business in or is not in good standing with the State of Ohio and Federal Government;
- Has been debarred or had contracts terminated by the federal government;
- Is unable to meet financial stability tests including a Risk Analysis Conducted by the State Lead Center as part of the RFP process;
- Is unable to comply with state and federal laws outlined in the section listed “Terms and Conditions”; and
- Is unable to demonstrate a successful history of leadership, economic development and business assistance.

2 Program Description

2.1 Purpose

Ohio SBDC programs deliver professional, high quality, individualized business advising and technical assistance to existing small businesses and pre-venture entrepreneurs. SBDCs shall provide problem solving assistance to help small businesses access capital, develop and exchange new technologies, and improve business planning, strategy, operations, financial management, personnel administration, marketing, export assistance, sales and other areas required for small business growth and expansion, management improvement, increased productivity and innovation. Local programming should be flexible and continuously evaluated to address specific needs of the small business communities they serve.

2.2 Clients

All Ohio small businesses and nascent entrepreneurs are potentially eligible clients. See Appendix IV for client and other program definitions. All clients should demonstrate growth potential and must have signed the SBA’s client intake form (Form 641) or equivalent.

SBDC Export Assistance Network clients must meet the above mentioned requirements and must capably demonstrate the potential to overcome the barriers to accessing international markets.

2.3 Partnership Model and Services Offered by the State Lead Center

Ohio SBDC operates as a partnership between ODSA, the SBA and numerous local host organizations. The Ohio SBDC program is hosted at the Ohio Development Services Agency through the Office of Small Business and Entrepreneurship at the SBDC State Lead Center. The lead center is staffed by the state SBDC director, associate director and a small team dedicated to the support of the statewide SBDC network. Through this RFP process ODSA formalizes its partnership with local host organizations into a singular proposal which will be submitted to the SBA as a plan for the delivery of services during FFY 2017.

2.3.1 The Ohio SBDC State Lead Center

The State Lead Center provides for the leadership, administration and support of the Ohio SBDC Network. These services include, but are not limited to:

- Strategic leadership of the Ohio SBDC network
- Evaluation of the quantity and quality of client services provided
- Program and resource development
- Program management
- Conducting client satisfaction and loyalty surveys
- Securing State and Federal funds for program operations
- Promotion and public relations for the Ohio SBDC network
- Financial accounting, invoice approval, grants management and oversight
- Partnership development and identification of new funding sources
- Professional development for SBDC Counselors
- Coalition building
- Targeted programming and/or events
- Access to proprietary counseling and market research tools
- Management and oversight of statewide client management system known as Center IC
- Coordination with other state and regional economic development programs and partners
- Access to additional targeted funding
- Accountability to State and Federal funders

2.3.2 ODSA State Export Assistance Office

The Ohio SBDC Lead Center works in tandem with the State’s Export Assistance Office within ODSA to ensure that SBDC Export Assistance Network Advisors/Directors have access to the latest information, tools, programming and technology to assist their clients. Ohio’s Export Assistance Office will assist the SBDC network by offering access to in-depth market research in 42 countries to help small businesses build local relationships. Ohio’s Export Assistance Office will also offer assistance by locating qualified distributors and end-users to sell Ohio business services and/or products, provide international marketing grants to encourage more investment into international market development and provide export-trained internships to support export growth.

2.4 Available Funding and Cash Match Requirements

2.4.1 Regional Funding

In an effort to be fair and equitable with the distribution of funding across the state, the chart below identifies recommended SBDC funding by region. This chart should be used to provide general guidance on reasonable funding for a particular service area. Distribution was developed using a formula prescribing a flat dollar amount per county with a population based multiplier. Final funding distributions will be based on the quality of applicants, the availability of local cash and may not necessarily reflect the chart below. Additionally, all finding is projected and is subject to funding from state and federal sources.

Northwest	\$ 683,000.00
West	\$ 393,000.00
Southwest	\$ 559,000.00
Central	\$ 694,000.00
Northeast	\$ 1,651,000.00
Southeast	\$ 602,000.00

A visual representation of regional territories is available in Appendix I.

2.4.2 Regional SBDC Export Assistance Network Funding

In the case of the SBDC Export Assistance Network funding, \$60,000 is available in each region with the exception of the Northeast Ohio region in which \$120,000 in funding is available. The SBDC Export Assistance Network funding is incorporated in the table above.

2.4.3 Cash Match Requirements

The Ohio SBDC program requires local cash match. Cash match may not be derived from any source of federal dollars with the exception of some Community Development Block Grant (CDBG) funds (See Appendix III financial management and budget guidance for full details).

Cash match requirements are as follows:

Center Type	Matching Funds Required
Small Business Development Center	30%
Small Business Development Center with Export Assistance Director/Advisor	10%
Stand-alone SBDC Export Assistance Network Office	30%

For example: A center requesting \$200,000 in grant funding would require a minimum \$60,000 local cash match. Similarly, an applicant applying as a stand-alone SBDC Export Assistance Network Office would require a 30 percent cash match. In the case of an applicant proposing to host both an SBDC and SBDC Export Assistance Network location, SBDC funding would still require a 30 percent match however the portion of SBDC Export Assistance Network funding (up to \$60,000 per region) would only require a ten percent match. Thus, a center proposing to receive grant funding of \$200,000 in SBDC funding and \$60,000 in SBDC Export Assistance Network funding would be required to contribute a local cash match of \$66,000.

The above listed cash match requirements are considered a minimum cash match. Programs proposing larger percentages of match may score significantly higher in this area during proposal evaluation. Significant local and third party in-kind donations to the program will not count toward local cash match, but will be noted when scoring proposals (see Appendix III for details).

3. SBDC Performance Measures and Impact

For the 2017 program year, the Ohio SBDC is simplifying goals in an effort to expand focus on customer service and client-based outcomes. The Ohio SBDC and SBA have identified target program goals and performance measurements. For the FFY 2017 program, the performance measures are outlined below.

3.1 Goals, Outcomes and Diagnostic Measures

Goals represent categories in which centers are expected to meet a specific metric. Centers will be evaluated based on their ability to meet metrics over the course of the program year in the following categories:

- Number of long-term clients - (More than five hours of counseling per year);
- New businesses created;
- Dollar amount of capital infusion (to include SBA loans, non-SBA loans and equity investment, lines of credit);
- Total counseling hours; and
- Percentage of clients reporting impact.

3.1.1 SBDC Export Assistance Network Goals

The SBDC Export Assistance Network provides a specialized service in which separate goals are identified. Goals represent categories in which SBDC Export Assistance Advisors are expected to meet specific metrics (by the end of the program year). Centers will be evaluated based on their ability to meet metrics in the following categories:

- Long-term clients counseled (greater than five hours in a given program year)
- Total clients counseled
- New SBDC Export Assistance Network clients counseled
- Percent of clients reporting impact
- Partner events
- Total counseling hours

3.2 Measured SBDC Client Outcomes

Client outcomes are performance measures that demonstrate a center's economic impact. While centers do not have goals associated with client outcomes, **these outcomes are of the utmost importance to the program**. Outcomes are reported to both Federal and State funders and are ultimately how the overall performance of the program and individual centers is determined. Measured client outcomes include:

- Net jobs created
- Jobs retained
- Sales increase

3.2.1 SBDC Export Assistance Network Measured Client Outcomes

SBDC Export Assistance Network client outcomes are performance measures that demonstrate a center's economic impact. While centers do not have goals associated with client outcomes, **these outcomes are of the utmost importance to the program**. Outcomes are reported to both Federal and State funders and are ultimately how the overall performance of the program and individual centers is determined. Measured client outcomes include:

- Increased export sales
- Net jobs created
- Jobs retained
- Capital infusion related to export activities

3.3 Diagnostic Measures and Benchmarked Performance

In addition to goals and measured client outcomes, the State Lead Center benchmarks center performance comparatively on a center-by-center basis. The State Lead Center regularly evaluates all program metrics including, but not limited to:

- Total clients served;
- Jobs created per 1,000 counseling hours;
- Sales increases per 1,000 counseling hours;
- Client loyalty – measured utilizing a Net Promoter Score;
- General client satisfaction;
- Ratio of existing business clients to pre-venture clients (existing businesses and start-ups should be greater than 65% of the entire client base and pre-venture clients should be less than 35% of the total client base); and
- Cost per counseling hour.

3.3.1 SBDC Export Assistance Network Diagnostic Measures and Benchmarked Performance

In addition to goals and measured client outcomes, the State Lead Center benchmarks SBDC Export Assistance Network performance comparatively on a center-by-center basis. The State Lead Center regularly evaluates all program metrics including, but not limited to:

- Total businesses served;
- Jobs created per 1,000 counseling hours;
- Export sales per 1,000 counseling hours;
- Client loyalty – measured utilizing a Net Promoter Score;
- General client satisfaction;
- Ratio of existing business clients to pre-venture clients (existing businesses and start-ups should be greater than 90% of the entire client base and pre-venture clients should be less than 10% of the total client base); and
- Cost per counseling hour.

3.4 Performance Coaching

It is the goal of the State Lead Center to promote an environment of excellence, achievement, and continuous improvement across the entire SBDC network. While individual goals and measures are important, the State Lead Center continuously evaluates all center data and compares results across the network. In cases where data evaluation identifies areas of

opportunity or when centers continuously fail to perform as well as their counterparts on multiple diagnostic measures, the State Lead Center will collaborate with individual SBDCs or small groups of SBDCs to identify ways to increase performance. Such performance coaching could include sharing of best practices, marketing assistance, specialized training or mentoring from another SBDC Director. Performance coaching plans are intended to improve service delivery, client outcomes and customer service.

3.5 Proposed Goals

As part of the proposal process, applicants will use the guidelines included in the “Goals Projection Worksheet” (Attachment 9) to develop their own goals. Centers are highly encouraged to propose goals that exceed the minimum suggested goals. Any goals that fall below the recommended minimum suggested goals and are not clearly justified in the written proposal, may cause the center to score poorly in the proposal evaluation. The State Lead Center reserves the right to require higher goals as part of the proposal evaluation/negotiation process. Centers that propose goals above recommended minimums can score significantly higher.

In addition to the “Goals Projection Worksheet” the written proposal should contain a similar table outlining the applicant’s proposed goals. The proposal should clearly articulate the basis for the goals, reference past performance and any regional or business analysis data used to develop the goal justification.

3.6 Impact Collection

As a program that is measured on outcomes, the ability of the SBDC to collect and report impact is of the utmost importance. All service centers are required to collect economic impact data from the clients. The proposal should outline a clear strategy to collect impact data in a manner that will result in the highest levels of impact collection and client participation. Additionally, impact data should be collected regularly on an ongoing basis so that center performance may be regularly reviewed by the State Lead Center. All impact data is required to be entered into Center IC in the follow-on session notes and reportable impact chart. The data must be verified with client signature and attributed to the program activities. The State Lead Center issues standard reporting documents and validates economic impact data for each client.

4. General Proposal Submission Guidelines

The proposal and attachments must be submitted in the format(s) specified in the document “2017 SBDC Checklist” and comply with the specified instructions outlined in this section. The complete proposal shall be submitted to SBDCRFP@development.ohio.gov with the subject line: “[Applicant Organization] SBDC Proposal Submission” and because the SBDC RFP requires

multiple attachments; the applicant may wish to distribute attachments over several separate emails to ensure delivery. In such cases the subject line should be modified to include the additional information “1 of 3”, “2 of 3” etc. Alternatively the applicant may submit multiple files in a compressed or “Zip” file format.

4.1 Letter of Intent

Each applicant wishing to submit a proposal in response must submit a letter of intent to the State Lead Center. Noon on Monday, May 23, 2016. Letters of intent shall be submitted to SBDCRFP@development.ohio.gov with the subject line SBDC Letter of Intent. A sample letter of intent is available with the other RFP attachments on development’s website.

4.2 Attachment Naming Conventions

Each attachment should display the following naming convention: [Host name] Attachment number]. For example “hometownuniversity_Attachment4”. It is the Applicant’s responsibility to ensure submission of a complete proposal based on all requirements of this RFP.

4.3 Order and Content of proposal Sections

Unless otherwise noted, the proposal must address all of the elements listed in this section, and in the order requested.

4.3.1 Attachment 1: Written Proposal Guidelines:

- Written proposals are to be submitted on 8.5 x 11-inch format
- Font must be 11 point or larger with no more than 6 lines per inch
- All pages must be numbered consecutively
- The proposal title and Lead Applicant name must appear at the bottom of each page
- Proposals should not include color figures that cannot be understood when photocopied in black and white

Proposals should not exceed 12 pages excluding the cover page. If an applicant is applying for both SBDC and SBDC Export Assistance Network grant funding the proposal should not exceed 17 pages excluding the cover page.

The proposal shall have a cover page listing the following information:

- The applicants contact information highlighting the main point of contact for the proposal including organization mailing address, telephone and email address
- The Applicant’s DUNS number
- The types of funds being applied for (SBDC or SBDC Export Assistance Network)
- A list of counties or portions thereof the applicant proposes to serve
- Grant dollars requested
- Local cash match contributed toward the program

The proposal should concisely and clearly demonstrate that the applicant has a strong understanding of and ability to meet the program requirements as described in Appendix II and should follow the general format outlined below.

1. SBDC Host organization
2. Proposed Service Territory
3. Regional Awareness and Collaboration
4. Facilities
5. Staffing
6. Clients - Knowledge of Market Sectors, Client Needs and Expectations
7. Market Sector Focus
8. Services
9. Training
10. Additional Information for Consideration

Through the written proposal the applicant should clearly identify and justify:

- Whom it intends to serve;
- What services will be offered to small businesses;
- Why those services are relevant and in demand to the small business community;
- How those services will be impactful; and
- How the center will deliver those services in a manner that will achieve maximum economic impact.

4.3.2 Attachment 2 – Holiday Schedules

Complete the document listing any and all planned center closures following the instructions on the form.

4.3.3 Attachment 3 – Training Projection

Complete the document listing proposed trainings by quarter. Training topics should be based on the needs of the small businesses and market sectors the SBDC intends to serve. Such justification should be included in the written proposal.

4.3.4 Attachment 4 – Host Funding From Other Resources, Partners and Programs Worksheet

This worksheet should provide an overview of other sources of funding received by the host organization. In the case where the applicant is a university, city or other large organization, this list may be limited to a reasonable sub-unit or governing body. For example, if the host is a specific office within a university, only funding contributed to that office would need to be included in the document.

4.3.5 Attachment 5 – Projects and Publications

Complete the form as specified for each section.

A. Special Projects: Provide details on special projects needed to support the local small business community. Include projects that require funding along with sources of the project funding, as well as those that do not require funding. *Example: Market Research Projects for Student Teams to work directly with business owners.* This information is used to support the Ohio SBDC Program Proposal to the SBA. Such projects should also be identified and explained and justified in the written proposal.

B. Research Projects: Provide details on any research developed and/or maintained to support the needs of the local small business community. Include projects that require funding along with sources of the project funding, as well as those that do not require funding. *Example: Research to support a change in the local economic environment with the closing of a steel company.* This information is used to support the Ohio SBDC Program Proposal to the SBA. Such projects should also be identified and explained and justified in the written proposal.

C. Publications: Provide details on any publications, including video or web-based text that will be used to address the needs and/or communications for the local small business community. Include projects that require funding along with sources of the project funding, as well as those that do not require funding. *Example: A Columbus CEO Magazine inserts that markets a program's success to help promote the SBDC across the entire state.* This information is used to support the Ohio SBDC Program Proposal to the SBA. Such publications should also be identified and explained and justified in the written proposal.

D. List all other divisions within ODSA with which your Host conducts business: Provide a list of other offices, programs and/or divisions that your Host receives funding to operate. Used as part of the Risk Assessment required by the OMNI Circular to establish a level of due diligence for each federal program.

4.3.6 Attachment 6 – Drug Free Workplace Certification

Sign and submit the attached document.

4.3.7 Attachment 7 – Certification Regarding Lobbying

Sign and submit the attached document.

4.3.8 Attachment 8 - Debarment and Compliance Certification

Sign and submit the attached document.

4.3.9 Attachment 9 – Goals Projections

Complete the prescribed worksheet projecting goals for the program year. All goals should be clearly justified based on the market and client analysis in the written proposal. Recommended goal levels are included in the worksheet.

4.3.10 Attachment 10 – Budget Worksheet

Complete the budget worksheet using the guidance provided (see Appendix III Financial Management and Budget Guidance). The worksheet must be submitted in the original Excel format.

4.3.11 Attachment 11 – Certifications of Cash Match

Complete the Cash Match Certificate for each contributor to the SBDC including a signature from an authorized representative. A separate certificate is required for each contributor. In the remarks section, identify the reason for contributing. Multiple cash match certificates should be compiled as one PDF file.

4.3.12 Attachment 12 Indirect Cost Rate Agreement

Attach a copy of the Host’s Indirect Cost Rate Agreement (See Appendix III for more information).

4.3.13 Attachment 13 – Organization Chart

Attach a copy of an updated organization chart identifying all proposed SBDC personnel and the reporting structure through the organization’s director, president, chief executive or equivalent.

4.3.14 Attachment 14 – Travel Policy

Attach a written host travel policy or provide a link to an online copy (For current SBDC applicants this attachment is only necessary if changed from previous year).

4.3.15 Attachment 15 – Floor Plan Map

Attach a floor plan map clearly identifying SBDC office space, square footage and a justification as to why the costs associated with the office space are reasonable.

4.3.16 Attachment 16 – Other attachments and support documentation for “In-Kind” contributions (other than office space noted in attachment 15) may be compiled and attached as a single file listed as Attachment 16. If multiple documents will be submitted please create a cover page identifying a table of contents listing the documents included.

5. Proposal Evaluation

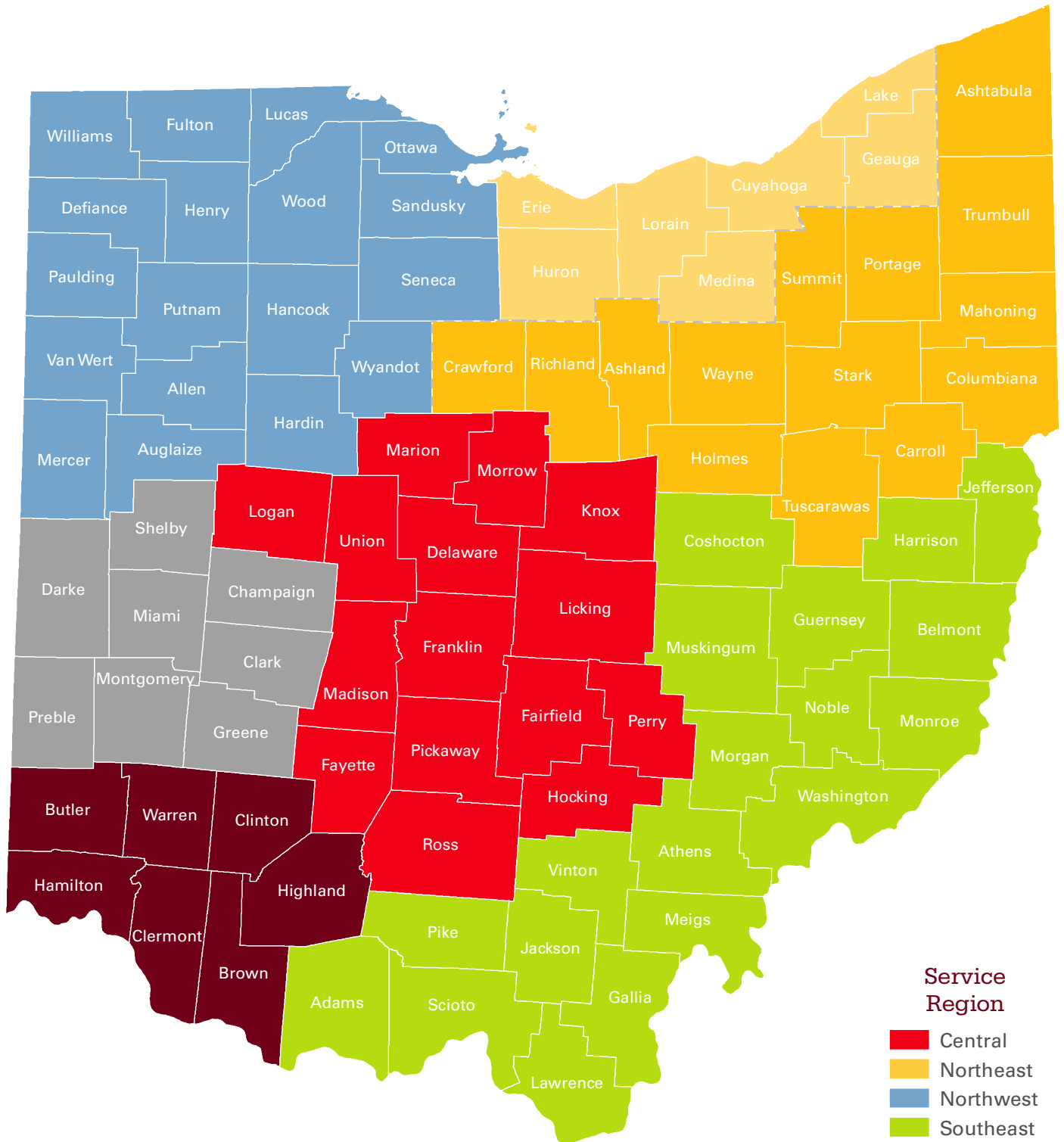
Proposals will be evaluated by the State Lead Center. Review teams consisting of lead center staff supported by ODSA staff will review proposals and make recommendations to the SBDC State Director and SBDC Associate Director who will make the final decisions regarding program funding. Proposal evaluation will be based on the following criteria:

- Responsiveness to all the requirements of this RFP;
- Financial contribution to the program;
- The applicant’s response to any additional information that may be requested;
- Alignment of the Host with program purpose, goals, objectives and eligibility;
- Cost effectiveness of the proposal;

- Accessibility of clients to services;
- Focus on the needs and overall customer service delivery to the client;
- Quality of responses to the requirements of the written proposal and goal projections;
- Quality of services and resources for assisting small businesses and entrepreneurs;
- Likelihood of achieving the proposed projections;
- Level of coordination and leveraging of other regional small business and entrepreneurial support networks/programs;
- Track record in advancing companies and creating economic impacts;
- Depth of understanding client needs within specific segments in the proposed service territories; and
- In the case of existing SBDC service providers, past performance.

Business Assistance Center Service Regions

Ohio



Service Region

- Central
- Northeast
- Northwest
- Southeast
- Southwest
- Western

Dashed line divides the Northeast Region into upper and lower subregions.

FFY 2017 Ohio SBDC RFP - Appendix II: Program Requirements

1. SBDC Program Requirements:

Unless otherwise stated, all program requirements apply to both SBDC and SBDC Export Assistance Network locations.

2. SBDC Host Organization

Each proposal must be submitted by an eligible entity that will serve as the SBDC host. In addition to applying for grant funds, the host organization should actively participate in the supervision of the local SBDC. Host organizations should have a significant understanding of the local and regional needs of the business community and a history of experience and engagement in economic development and/or business assistance. The written proposal should briefly describe the host organization and:

- The organization's alignment with the goals of the SBDC Program;
- An overview of experience providing business assistance services or economic development to small businesses;
- A description of any unique qualities that make the organization particularly suited to host a local SBDC Program; and
- Should also outline any existing business service delivery models and how it assesses business community needs.

3. Service Territory

See Appendix I for the regional map.

The regional map was developed in conjunction with multiple other state economic and community development programs. The identified regions will serve as the primary regions for the governance of the activities and to coordinate collaboration between multiple state and local economic development programs. The regional map is not intended to limit the territory a center wishes to compete for service delivery.

As part of the proposal, applicants will be required to identify a primary service territory within the region(s) they wish to apply for funding. Applicants may apply for part of a region, an entire region, or parts of multiple regions. Applicants are encouraged to provide coverage for full counties. Exceptions may occur in densely populated regions or where county division is in the best interest of the businesses served.

Throughout the RFP process, prospective applicants are encouraged to work collaboratively with other prospective applicants to identify service territories and submit complementary proposals. The State Lead Center reserves the right to award funding to one or more applicants

in a region. In instances where more than one applicant is funded in a region, proposed territories overlap, or counties are left unserved, the State Lead Center will ask the applicants to negotiate coverage for the full region prior to awarding grant funding. If multiple awardees are unable to develop a regional coverage plan, the State Lead Center will make a final determination on regional coverage. In such cases, the Lead Center reserves the right to reallocate funding to best meet the needs of the business community.

In the proposal, each applicant must demonstrate their ability to provide full coverage to their requested service territory- keeping in mind the importance of accessibility and availability to the businesses they propose to serve. Each service center must strive to provide the highest levels of customer service and provide services as physically close as possible to small businesses through extension services utilizing multiple centers, satellite locations, circuit riders or virtual services, when necessary.

3.1 SBDC Export Assistance Network Territories:

Only one Export Assistance Network Office will be funded per region, with the exception of Northeast Ohio where it is anticipated up to two offices will be funded. In the proposal, applicants proposing to host an Ohio SBDC Export Assistance Network Office must demonstrate the ability to provide full coverage to the service territory as outlined in the paragraph above. Additionally the proposal must demonstrate the ability to:

- Service and promote state and federal level export initiatives in the region, including in-market research, Export Internship Program (EIP), International Market Access Grant for Exporters (IMAGE), etc.;
- Collaborate as a specialty service provider for all of the regional SBDC service centers; and
- Promote exporting as a growth strategy to businesses across the entire region.

4. Regional Awareness and Collaboration

Ohio SBDCs are expected to coordinate their services with other business assistance service providers, higher education programs, economic development, workforce, and community development-related programs. Ohio SBDC's main focus is to leverage the expertise of affiliated resources, avoid duplication of efforts and improve outcomes for small business clients. Affiliates may include but are not limited to: Procurement Technical Assistance Centers (PTAC), Minority Business Assistance Centers (MBAC), Manufacturing Extension Partnerships (MEP), Entrepreneurial Signature Program (ESP), Community Action Agencies (CAA), JobsOhio partners, Community Improvement Corporations, higher educational institutions, county and regional OhioMeansJobs centers, local county economic development organizations and others.

Technical proposals should demonstrate that the applicant has a high level of understanding of resources available to small businesses in the region. The analysis should identify where

services are specialized, duplicated, and if any gaps are present where small business services are evident. The applicant should also identify if the applicant has any formal or informal agreements, memorandums of understanding (MOU), or other structured arrangements with regional economic development affiliates or business assistance providers.

5. Facilities

Each proposed location for a center must meet U.S. Small Business Administration (SBA) requirements (as outlined in the program announcement) to provide a safe, professional and accessible venue for staff and clients; office space with private meeting area(s); computer, internet access and other technology; adequate client parking. The center should be able to make reasonable accommodations to potential clients with disabilities. The SBDC program must be clearly and separately identifiable from the host or any other organization co-located with the SBDC. The SBDC should be identifiable through prominent signage and a separate and publicly listed phone number. Any proposed center location(s) must be clearly described and justified in the proposal. Additionally, if alternative off-site counseling locations are planned to be utilized by the center for service delivery, such locations must be noted. Copies of agreements for the use of space must be submitted with the application as an attachment.

5.1 Hours of Operation and Holidays

Centers are expected to remain open during normal business hours. Special consideration will be given to proposals that offer evening and/or weekend advising, training or mentoring programming. As part of the application, centers must also submit a listing of holidays and other dates the center will be closed. A holiday and planned closures document must be submitted as part of the application.

6. Staffing

Each proposal will be rated by the level of staffing proposed. Applicants proposing a higher level of staffing and demonstrating economies of scale will generally score higher in proposal evaluation. Each service center must be staffed by at least one full-time Center Director and combination of counselors, consultants, students and/or administrative staff to meet the needs of the local business community. Satellite offices are not required to be staffed on a full-time basis. As part of the RFP, each applicant will be required to fill out the “personnel worksheet” (See Proposal Instructions) and attach a resume of proposed staff and consultants. Additionally, the proposal should simply and clearly state the SBDC’s staffing plan and highlight time frames for filling any vacant and/or new positions.

6.1 Center Directors

Each applicant must identify an SBDC Director to lead local SBDC operations and service delivery. The director must: meet the minimum requirements of the SBDC Director position description as prescribed by the Ohio SBDC Program; be a Certified Business Advisor or achieve certification within six months; be pledged full-time (40 hours per week) to the SBDC Program delivery.

For a host proposing a standalone SBDC Export Assistance Network location, the SBDC Export Assistance Director should meet minimum requirements of the position of director as prescribed by the Ohio SBDC Program; be a Certified Global Business Professional (CGBP) or achieve certification within one year (CBA certification is not required); be pledged full-time (40 hours per week) to the SBDC Program delivery.

6.2 SBDC Export Assistance Network Staffing

At a minimum, applicants must propose a full-time Export Assistance Advisor/Director for each region. The staff member responsible for Export Assistance Network services shall be referred to as the Ohio SBDC Export Assistance Advisor or Director. Export Assistance Network staff should have strong administrative support to assist with full regional coverage.

6.3 Staff Qualifications

Minimum qualifications for Center Directors, SBDC Advisors and SBDC Export Assistance Directors/Advisors are outlined in the attached sample position descriptions.

6.4 Hiring

SBDCs and the SBDC Export Assistance Network 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 (See sample employment descriptions in Appendix IV). The State Lead Center must provide prior written approval of all SBDC staff hires, and must be part of the interviewing process for all Center Directors.

Many SBDC hosts use position descriptions and job titles that differ from the standard of the Ohio SBDC program. When a center is preparing to post a position, the State Lead Center needs to have matching job descriptions that 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. Hires made without the feedback and/or approval by the State Lead Center could result in the withholding of funds.

6.5 Use of Graduate Students or Interns

Use of paid graduate students and interns for service delivery is permitted. All students shall appear on the Budget if they are paid employees.

6.6 Use of Consultants

Programs are permitted to utilize consultants for service delivery. All consultants must have experience that clearly demonstrates expertise and ability to counsel small business clients. All consultants must be preapproved by the State Lead Center. As part of application, resumes for budgeted consultants must be submitted. The State Lead Center must receive notification for all changes in consulting personnel (hiring or dismissal). All consulting by *non*-CBA consultants, graduate students, or volunteers, must be supervised by a Certified Business Advisor.

6.7 Salaries

Salaries should be competitive and able to attract and retain qualified and impactful program staff. Sample salary ranges are included in the sample position descriptions.

7 Professional Development

7.1 Certified Business Advisor

All full-time SBDC Directors and Advisors must be a current Certified Business Advisor (CBA) or must become certified within six months of employment. The CBA program is an innovative, online learning certification program that certifies SBDC Advisors through focused instruction at the graduate level in accounting/finance, marketing, entrepreneurial assessment and human resource management. Upon successful completion of the online coursework and exams, attendees receive a certificate from The University of Toledo (UT), College of Business Administration (COBA)—Graduate Programs. CBA is administered by the SBDC Lead Center.

A potential SBDC Business Advisor or Director must meet the State established minimum qualifications, and must agree to participate in the state-mandated CBA process. The inability of a Center Director or Advisor to meet CBA certification within six months could place the applicant on probationary status and will result in withholding of funds. To learn more about CBA please visit: <http://sbdccba.com/>

7.2 Certified Global Business Professional

All SBDC Export Assistance Advisors/Directors will be required to achieve Certified Global Business Professional (CGBP) credentialing within one year of employment with the SBDC as an Export Assistance Advisor/Director. The inability of a SBDC Export Assistance Advisor or Director to earn the CGBP by such time will result in placing the applicant on probationary status and withholding of funds. While SBDC Export Assistance Advisors or Directors are not required to

earn CBA certification, they are encouraged to participate in the program. To learn more about the CGBP program please visit: <http://www.nasbite.org/?page=CGBPCredential>

7.3 Continued Professional Development

All SBDC staff members are required to take continuing professional development courses to maintain both CBA and CGBP certification(s), as applicable. Centers Directors should complete an individual professional development plan for all SBDC staff. The plan should ensure all SBDC staff will have access to continuously improve knowledge that will be beneficial to small business clients. Professional development plans and progress will be reviewed during annual site visits.

8 Clients

8.1 Knowledge of Market Sectors, Client Needs and Expectations

Each applicant must exhibit it has a systematic process to analyze the needs of the small business communities it intends to serve. Further, the applicant must demonstrate it utilized the results of the analyses to develop and deliver programs to meet identified needs. The needs analysis is not required to be a formal research effort, nor must it be a statewide analysis. It must, however, be designed to obtain information from relevant public, private, and educational institutions, as well as from owners of small businesses and entrepreneurs in order to identify and develop and focus the services the SBDC intends to offer.

8.2 Market Sector Focus

Each proposal must identify its specific market sector(s) (i.e. manufacturing, energy, retail, service, agri-business, etc.) and demographic focus (i.e. rural, women, etc.). The applicant must clearly identify its key strengths and how the applicant plans to share these strengths and its special market sector focus with the other members of the SBDC network. The market sector focus should be based on the strengths of the local economy, as well as the abilities and strengths of the local SBDC.

The proposal should include an analysis of the needs and expectations of both existing clients and the broader small business community. It should include a systematic process for evaluating customer knowledge. The process should clearly identify:

- The small business makeup of the service territory;
- Startup activity/needs;
- Client segments/market sectors;
- Key client requirements;
- Product/service features of importance to clients; and
- Any special emphasis or targeted market segments.

The analysis should not just present raw data, but rather should demonstrate an understanding of the clients it intends to serve and the needs of those clients.

8.3 Export Assistance Network Market Sectors

Proposals for an SBDC Export Assistance Network Office should conduct a similar analysis for the region it intends to cover. In addition to presenting a clear understanding of existing export activity in the region, the analysis should:

- Identify the needs of existing small business exporters in the region;
- Identify specific and unique barriers to exporting within the region;
- Provide a clear understanding of export potential of the region;
- Pinpoint market segments and potential export opportunities within specific market segments; and
- Address any targeted business sectors with significant opportunities for export promotion.

9. Service and Delivery

9.1 One-on-One Small Business Advising

All SBDC service centers shall provide timely, high-quality, in-depth and personalized one-on-one advising to small business owners and entrepreneurs. Advising is provided on a free and confidential basis to all clients. *This is the core of SBDC services.* Advising services generally include the following broad array of subject areas including:

- Access to Capital
- Human Resources
- Agribusiness
- Intellectual Property
- Accounting/Finance
- International Trade
- Business Planning
- Inventory Control
- Business Start-Up
- Common Legal Issues
- Buy/Sell Business
- Management/Leadership
- Cash Flow
- Market Diversification
- Commercialization
- Computer Systems
- Customer Relations
- Operations Analysis & Planning
- Engineering R&D
- Regulatory Compliance
- Strategic Planning
- Financial Analysis
- Tax Planning
- Franchising
- Technology
- Marketing
- Public Relations

9.2 Specialty Services:

SBDCs are strongly encouraged to offer innovative and specialized services to meet the needs of businesses within their service area or broader SBDC network. Specialized services may also be offered due to unique experience or skill sets of a SBDC's Director, Advisors and/or consultants. Specialized services should work to not duplicate the services of other economic development partners in the region. Written proposals should clearly identify a service delivery model and the services the SBDC intends to offer.

9.3 SBDC Export Assistance Network Services

SBDC Export Assistance Network Advisors and Directors should provide direct one-on-one advising on a broad array of topics related to helping businesses make their first international sale or helping existing exporters increase international sales and expand into new international markets. Topics should include, but are not limited to:

- Export Readiness Assessments
- Export Strategy
- Harmonized Code Identification
- Foreign Market Certifications
- Export Regulations
- Export Finance
- Logistics
- Market Research
- International Market Identification
- Export-related Business Planning
- Export Promotion
- Access to other State and Federal Export Programs

Proposals should clearly identify a service delivery model and the services the SBDC Export Assistance Advisor/Director intends to offer.

9.4 Service Restrictions

Unless licensed and 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.

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 General and licensing entity. The SBDC must make appropriate disclosures and disclaimers to that effect.

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.

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.

Members of the SBDC network may not make loans, service loans or make credit decisions regarding the award of loans. Such activities are prohibited.

9.5 Training

SBDCs are expected to present trainings, seminars, workshops etc. to its small business community. In addition to providing large groups of businesses with valuable knowledge, training can be utilized both strategically and tactically to market the program or manage large client bases by requiring course attendance before accessing one-on-one advising. Training may be used to generate program income.

While training is important, under no circumstances will an aggressive training calendar offset the primary center goal for quality, in-depth, long-term counseling.

Training events should be based on relevant in-demand topics that support both start-ups and existing business communities. The proposal should demonstrate awareness of other small business training programs that operate within their service territories. SBDCs should work to coordinate or eliminate duplicative trainings in the regions where they operate. Applicants will be required to submit a list of proposed trainings for the program year. No fewer than eight training events shall be proposed per center. Additionally, the proposal should clearly demonstrate a defined methodology for determining the training needs relevant to the market sectors identified through the client/market analysis.

9.6 Export Assistance Network Trainings

Export training events should be based on relevant in-demand topics that support both new to export and existing export businesses. The proposal should demonstrate awareness of other export training programs that operate within their service territories and coordinate or eliminate duplicative trainings. Applicants will be required to submit a list of proposed trainings for the program year. No fewer than four trainings should be proposed per center with at least two trainings focused on introductory importing training and two focused on advanced topics. Additionally, the proposal should clearly demonstrate a defined methodology for determining the training needs relevant to the market sectors identified through the client/market analysis.

11. Branding, Marketing and Outreach

Ohio SBDC recognition is incredibly important to the success of the program. Program data shows that the majority of our clients are led to their local SBDC by colleagues and referrals. Therefore, having a consistent image and message across all centers in the state is important. Each center must clearly identify itself as an Ohio Small Business Development Center or Ohio SBDC verbally, virtually and through printed materials. Under no circumstances should any materials purchased or produced in any part with program funds promote a host over the SBDC Program. However such materials should acknowledge the host and their contribution to the program. As such, the host logo may appear next to or under the SBDC Logo.

11.1 Logo requirements

Ohio SBDC requires that the Small Business Development Center logo prominently appear on all program materials. Additionally, the SBA logo and ODSA logo must appear in program materials as outlined in the SBDC branding guidelines. It is important that clients and the general public are aware of the SBDC Program and the role that SBA and ODSA serve. Therefore, all SBDCs must include the following acknowledgment of support statement on all materials produced in whole or in part with project funds:

“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 is also funded in part by the Ohio Development Services Agency.”

For purposes of this requirement, the term “materials” includes, but is not limited to, press releases, brochures, pamphlets, handouts, reports, advertisements, books, curricula, websites, video or audio productions, and similar items regardless of the medium employed. The term “materials” does not include stationery or business cards and SBA’s logo may not be used on such items.

Where you use Project Funds to produce materials featuring editorial content, the following alternate acknowledgment of support statement:

“The Small Business Development Center (SBDC) program of Ohio is funded in part through a Cooperative Agreement with the U.S. Small Business Administration. The SBDC is also funded in part by the Ohio Development Services Agency. All opinions, conclusions, and/or recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the SBA.”

11.2 Marketing and Stakeholder Engagement Plan

Each center shall implement a marketing and outreach program designed to build general awareness of the program and to inform small business owners, entrepreneurs and targeted

market segments of the services available through the center. While an annual marketing plan outline is not required with the application a grant awardee must submit a marketing and outreach plan to the Lead Center before the start of the program year. The plan should clearly indicate the ability of the center to communicate with existing and potential clients. The plan should identify various communication tools and channels the center plans to use to promote its services.

Regular communication regarding SBDC services, and its impact and accomplishments, with key stakeholders including funders, collaborators, the economic development community and legislators is required. In addition to being a strong source of referrals, program awareness in the communities served and with key decision makers is essential to continued funding of the program. Each funded center will be required to develop a detailed listing of stakeholder meetings planned for the upcoming program year. The plan should contain a detailed list of stakeholders, community leaders, economic development entities and legislators the Center Director plans to meet with over the course of the program year.

The marketing and stakeholder engagement plan will be submitted as requested by the State Lead Center before the start of the program year. It should clearly and succinctly demonstrate the applicant has the capacity and a plan to promote services within the communities it proposes to operate. SBDCs will be required to update the State Lead Center regarding stakeholder engagement as part of the monthly reporting requirement.

11.3 Success Stories

The Ohio SBDC Program leverages the success of clients we assist to promote the program to small businesses and important stakeholders. The program requires four quality success stories per center to be produced annually by SBDCs and two per SBDC Export Assistance Director. All success stories should meet the criteria outlined on and should be submitted through the online “Success Story Submission Form” located at: <https://development.ohio.gov/sbdcsuccessstories>.

The form is intended for use by SBDC Directors to describe the success of a small business being positively impacted by SBDC Services. Success stories should clearly describe economic impact and metrics. The success story should highlight the assistance of the local SBDC, partners and programs/services that are partially funded through the Ohio Development Services Agency. Each section has a template followed by a review self-check, which outlines criteria relevant to that section.

12. Case Management and Training Files

The Ohio SBDC Program requires the management of all client case files through its comprehensive online client management system, Center IC. Center IC is provided to all SBDCs

by the State Lead Center. A separate file shall be maintained for each client in Center IC. This file must consist of all documentation in regard to that client, as prescribed in the *SBDC Operations Guide*. This includes the SBDC Intake form or variant (Form 641) narrative notes from the initial session, as well as the notes from any follow-up sessions and any/all additional documentation attached to the client's file. To the fullest extent possible, all client files should be stored electronically within Center IC.

Each client case file shall use the client strategic counseling format in Center IC. Each file should document progress toward consulting goals as 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. More specifics for each session type of activity are included in the Center IC manual.

All graduate student time devoted to client advising and research must be counted as SBDC counseling hours and must be supported with daily log sheets detailing activities. 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, or any student counseling, may be counted as match, with appropriate documentation. Reminder: All faculty and student advising must include a CBA review. Additionally, each faculty and student must have a separate login for Center IC. While counseling hours by students and faculty must be tracked, their time is not attributable to the SBDC Advisor or Director.

FFY 2017 Ohio SBDC RFP Appendix III – Financial Management and Budget Guidance

1. Financial Basis of the Program

The Ohio SBDC Program is funded through a Cooperative agreement with the federal government and all program funding, whether federal grant dollars, state grant dollars or local cash match is subject to strict regulations outlined in the Code of Federal Regulations also known as 2 C.F.R. 200 and subject to numerous other laws and regulations outlined in Appendix IV, Other Terms and Conditions.

2. Cash Match Requirements, In Kind Support and Indirect Costs

2.1 Cash Match

Cash match is required for the SBDC program. For 2017, a minimum level of cash match of 30 percent of grant funding is required. For SBDCs proposing an Export Assistance Network Office, a 10 percent cash match is required. For a stand-alone SBDC Export Assistance Network Office, a 30 percent cash match is required. **There is no cap on the amount of cash match an SBDC program can develop/obtain within their local community!**

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).

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 applicable Community Development Block Grants);
- (6) Amounts committed by the applicant organization for unidentified and/or contingent costs in the budget proposal;
- (7) Any expenses related to the host's staff to which the Director reports shall not be allowed as match; and
- (8) Any cash that is not at the discretion of the Director of the center.

2.1.1 Cash Match Certification Submission

The local cash match to the individual program must be supported by a signed Cash Match Certification Statement (See Attachment 11, Certificate of Cash Match) . Cash match must be committed upfront and identified by the source and amount.

2.2 Indirect Costs

Indirect costs include those costs that 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 rate from the SBA. Rates that are considered "provisional" must be updated by the host's federal agency prior to the grant period.

Indirect costs are considered NON-CASH MATCH to the Ohio SBDC Program. Indirect costs are not reimbursable expenses.

Each service center must submit a copy of its current indirect cost rate agreement as negotiated with their federal cognizant agency. The indirect cost rate agreement must cover the grant period and may not be a provisional rate. The negotiated rate in effect at the time of the initial award should be used throughout the entire award period covered by the proposal. Indirect costs cannot be claimed for any service center that does not furnish approved cost rate agreements applicable to the proposed funding period. Costs may not exceed the amount allowable under the approved Indirect Cost Rate Agreement furnished with the proposal. Indirect costs claimed should not exceed the amount of the approved budget on the Notice of Award without prior written approval from the State Lead Center and the SBA Grants Management Specialist.

Applicants currently without a rate agreement negotiated with a Federal agency may request the SBA to provide a rate agreement for use only in the SBDC Program. This request must be submitted through your State Lead Center. Any agreements subsequently negotiated with a Federal agency will supersede the SBA agreement. For entities 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 2 CFR 200. They form the basis for the 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.”

Any applicant who has never had a federal cognizant agency and an indirect rate agreement may use the federal de-minimis rate of 10% as outlined in 2 CFR 200, section 200.414

2.3 In-kind Contributions

For 2017, in-kind contributions are allowable. In-kind contributions are demonstrations of host and community engagement with the applicant. In-kind match will not count toward the center’s cash match requirement, but will assist with overall proposal scoring. In-kind contributions may include, but are not limited to, cost items such as time and materials, office space and equipment. Certification of in-kind contributions is required to be submitted and certified by the donating entity.

3. Center Costs and Budget Proposal

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.

All applicants 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 grant funds. Indirect costs are only approved upon the presentation of an approved agreement from the federal cognizant agency for the current applicable program period. Provisional rates must be updated prior to receiving a grant agreement.

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 ODSA 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.)

Note: Funding from the above financial resources (with the exception of applicable CDBG funds) will be closely evaluated if to be used as match.

4. Guidelines for Eligible Costs and Cost Allocations in the Budget Proposal

This section is for the sole purpose of providing an introduction to allowable costs and cost allocations to assist with the creation of the budget worksheet to be submitted as “Attachment 10” as part of the RFP application. The general guidance in this section does not relieve the applicant of his/her fiscal responsibility of understanding and appropriately applying all rules and regulations defined in the Notice of Award, Program Announcement, federal guidelines and RFP. Each section below provides general guidance on the allowable costs for each cost category.

4.1 Personnel – Budget Worksheet Part A

4.1.1 Salaries

Salaries of SBDC full- and part-time employees, 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.

Please note: 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, host program match funds, other local SBDC match funds, and in-kind SBDC donations).

4.1.2 Fringe Benefits - Budget Worksheet Part B

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

4.2 Travel - Budget Worksheet Part C

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. Mileage expenses can be reimbursed under either the State travel policy or the Host's approved travel policy as long as they are not in excess of the federal allowable rate per mile, which is \$0.54 effective January 1, 2016 (13 CFR 130.460). This reimbursement rate is subject to change. When preparing your budget, please follow the appropriate rules.

All travel and per diem costs of non-consultant personnel are not allowed. Any travel by a host employee who is superior to the center director may not be budgeted for funding by any SBDC Program funds (SBA funds, state funds and/or in-kind SBDC donations).

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. In lieu of a specific travel policy regarding meals and lodging, the State's travel policy will be in effect, which restricts these expenses to the General Services Administration (GSA) per diem rates. No meal expense is allowable for travel within 50 miles of your primary location.

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

4.3 Equipment - Budget Worksheet Part D

Charges reported in this category must 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 one year* 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.

4.4 Supplies - Budget Worksheet Part E

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 in this cost category.

4.5 Contractual Services - Budget Worksheet Part F

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. Purpose/service provided
- c. Number of hours of service
- d. Hourly rate

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

4.6 Consultants - Budget Worksheet Part G

Consultants refer to individuals hired under contract with a specific scope of work for SBDC training and/or counseling. 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 (Generally limited to \$50 per hour – See Staffing Section)
- d. Service(s) provided
- e. Notes – for clarity such as: name of consulting business; volunteer; student; group of students; group of volunteers; etc.

A resume and 250/250A form (available upon request from the State Lead Center) must be maintained at the local center for every consultant. Annually, the 250 or 250A must be reviewed and signed by the consultant. If the consultant or volunteer fails to complete the 250 or 250A form, funding may be denied for reimbursement of staff.

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.

4.7 Other- Budget Worksheet Part H

This category includes all necessary, justifiable 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, office space, utilities, dues, subscriptions, library resource materials and staff recruitment. New CFR and SBA regulations require providing detailed support for certain cost categories such as memberships, subscriptions, professional development and conference fees. This justification section has been added to the budget justification form as page 3.

5. Additional Requirements

Any service center claiming CDBG funds as match to the program budget must provide a copy of any and all CDBG Agreement(s) for review and acceptance by SBA and the State Lead Center. Copies must be included in the District Proposal for FFY2017.

Excess funds monitoring will be evaluated by the State Lead Center upon receipt of Quarter 2 and Quarter 3 invoices. Each service center will work with the State Lead Center staff to answer planning questions and complete the report as requested.

6. Fiscal Program Reporting Requirements

Adjustments to the approved budget will require formal pre-approval from the State Lead Center. Depending on the type of adjustment pre-approval may also require approval from the SBA.

All funds will be reimbursed after costs have been incurred on a quarterly basis. Invoices are due quarterly along with other details specified in Section 6 – Financial Basis of the Program. Other provisions may be made by agreement between the Service Center and the State Lead Center. Advanced payments/invoices will not be permitted in FFY2017.

Throughout the contract period, the State Lead Center will schedule a minimum of one (1) Onsite Review evaluation with 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.

The standard SBDC Onsite Programmatic and Operational Review format will be used. (See "Other Documents.")

All performance goals, measures and diagnostic metrics will be clearly identified in the grant agreement. Funding may be impacted by under-performance.

7. Time and Effort Tracking

Time and Effort Certification must be documented and certified in accordance with applicable OMB 2 CFR 200, section 200.430. 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. Documentation must be included with the invoice process (See Time and Effort Process in the Other Documents).

8. Financial Management System Requirements

Centers shall maintain a separate accounting and record of all expenditures attributable to the management, operation and conduct of the center. Separate general ledger accounts will be maintained for grant funded expenses, host and/or other local funded expenses, program income, program expense and if necessary asset accounts for any carry-forward 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 ODSA 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 in the form of the “Excess Funds Report” 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 grant allocation amounts for the following fiscal year.

However, if a surplus amount is not identified as prescribed and reported to the State Lead Center, the amount of 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.

9. Inventory

SBDC equipment, furniture or supplies consists of all items purchased using SBDC Program funds, throughout the useful life of the item(s), and purchased using SBA or ODSA 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. A year-end inventory list must be included with the final invoice for the program year.

10 Time and Effort Reporting

All SBDCs will be required to submit time and effort documentation that meets federal requirements outlined in 2 CFR 200, section 200.430 (i). 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 presented in other documentation.

FFY 2017 SBDC RFP Appendix IV: Additional Terms and Conditions

1. Additional Terms and Conditions:

Any and all information developed by the applicants during the course of the project will become the property of the SBDC Program and will be provided to ODSA upon request. The applicant shall not assert any claims arising under copyright or otherwise inconsistent with the transfer of ownership of such documents or information. All information submitted in response to the RFP shall be public record unless a statutory exception exists that would protect the information from release to the public.

Any information submitted in or with the proposal which the Applicant reasonably believes to be a **trade secret, as that term is defined in Section 1333.61 of the Ohio Revised Code**, may be designated as such by marking the information as follows: the phrase "trade secret," marked with two asterisks on each side, must be placed at the beginning and end of the trade secret information (for example: ****TRADE SECRET****). In addition, this trade secret information shall be underlined. Information determined to be a trade secret under the laws of the State of Ohio may be protected as trade secrets by ODSA in accordance with Ohio law.

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

In accordance with federal and state statutes, along with ODSA policy, no person shall be excluded from participation or subject to discrimination in the RFP process on the basis of race, color, age, sex, national origin, military status, religion or disability.

The Ohio Development Services Agency reserves the right to:

- Adjust the RFP timeline dates as needed and deemed appropriate;
- Accept or reject any and all proposals if determined that is it in the best interests of the state or SBDC Program to do so;
- Rebid this RFP, requesting new proposals from qualified organizations;
- Make no award at the end of the evaluation process (this RFP is not to be interpreted or construed to guarantee that one or more applicants submitting responses will be awarded);
- Fund any proposal in full or in part (any assignments of work by ODSA under the scope of this RFP will be made dependent on need and the availability of funding);
- Funding only those proposals determined to be the best and most responsive;
- Request additional information to assist in the review process; waive or modify minor irregularities in proposals received;

- Contact applicants to clarify any portion of the proposal documents;
- Negotiate with any qualified applicant;
- Require the submission of modifications or additions to proposal as a condition of further participation in the selection process; and
- Request that certain selected applicants make presentations and participate in interviews with ODSA's staff and reviewers.

Each applicant is required to meet the timeline requirements as presented on the front page of the RFP.

2. Conflict of Interest

Each counseling resource, including center 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 constituting a conflict of interest.

3. Applicable Federal Laws and Documents

Except for circumstances in which Federal law defers to State or local law any award made under this grant is subject to the following laws, regulations and policies:

- 5 U.S.C. App. 1 (Inspector General Act of 1978);
- 15 U.S.C. § 631 et seq. (Small Business Act);
- 22 U.S.C. § 7101 et seq. (Trafficking Victims Protection Act of 2000);
- 41 U.S.C. § 701 et seq. (Drug-Free Workplace Act of 1988), as implemented by 2 C.F.R. Part 182;
- 41 U.S.C. § 6306 (Prohibition on Members of Congress making contracts with Federal Government);
- 42 U.S.C. § 12101 et seq. (Americans with Disabilities Act of 1990), as implemented by 28 C.F.R. Parts 35 and 36;
- 48 U.S.C. § 1469a (Waiver of Matching Fund Requirements for Awards to Insular Areas);
- 49 U.S.C. App. 1517 (Fly America Act);
- 2 C.F.R. Parts 180 and 2700 (Non-procurement Debarment and Suspension);
- 13 C.F.R. Parts 112, 113, and 117 (Civil Rights Compliance);
- 13 C.F.R. Part 146 (Restrictions on Lobbying);
- 37 C.F.R. Part 401 (Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements);
- Executive Order 13166 (Improving Access to Services for Persons with Limited English Proficiency);
- Executive Order 13513 (Federal Leadership on Reducing Text Messaging While Driving);

- Executive Order 13333 (Amending Executive Order 13257 to Implement the Trafficking Victims Protection Reauthorization Act of 2003);
- 22 USC § 7104 (Prevention of Trafficking);
- Title 13, Code of Federal Regulations (CFR), Chapter 1, or SBA's Standard Operating Procedures (SOPs);
- Title VI of the Civil Rights Act of 1964;
- 44 USC § 3501 (Paperwork Reduction Act);
- Executive Order 12600 (Pre-disclosure notification procedures for confidential commercial information);
- 5 USC § 552 (Freedom of Information Act); and
- 15 USC § 648 (SB Act, SBDC Program).

Each applicant must adhere to Equal Employment Opportunities 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 accessible locations for individuals with disabilities. Reasonable accommodations will be made, upon request, for attendees with visual and hearing impairments. 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 individuals with disabilities to participate. The SBDC Network must comply with applicable regulations under 13 CFR Parts 112, 113, 117, and 136.

Appendix V: SBA Client Definitions and Reporting Instructions

COUNSELING DEFINITIONS	
TERM	DEFINITION
Client	<p>The client is the business, if it exists. In the case of a prospective business, the client is the individual.</p> <p><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.)</p> <p>AND</p> <p>At least one of the following:</p> <ul style="list-style-type: none"> ○ Has documented a transaction from the sale of a product or professional or personal service for the purpose of gain or profit; ○ Has contracted for or compensated an employee(s) or independent contractor(s) to perform essential business functions; ○ Has acquired debt or equity capital to pursue business operations (e.g., to purchase inventory, equipment, building, business, etc.); or ○ Has incurred business expenses in the operation of a business. <p><u>Nascent (Pre-venture) Entrepreneur</u>: those individuals who have taken one or more active steps to form a business, according to the Kauffman Foundation (www.kauffman.org). This includes individuals seeking assistance from SBA and/or one of its resource partners.</p> <p><u>Start-up</u>: those individuals who have been in business up to 12 months.</p>
Counseling	<p>Services provided to an individual and/or business that are:</p> <ol style="list-style-type: none"> 1) Substantive in nature and require assistance from a resource partner or district office personnel in the formation, management, financing, and/or operation of a small business enterprise; <p style="text-align: center;">AND</p> <ol style="list-style-type: none"> 2) Specific to the needs of the business or individual; <p style="text-align: center;">AND</p> <ol style="list-style-type: none"> 3) Require a signed SBA Form 641 or equivalent form that supports SBA's management information database.
Face-to-Face Counseling	<p>Meets the definition of "Counseling" and,</p> <p>The initial face-to-face counseling session should be no less than one hour (can include preparation time in this initial calculation) and includes any counseling</p>

	session thereafter regardless of time. Face-to-face counseling is conducted in-person between counselor(s) and client representatives.
Online Counseling	Meets the definition of “Counseling”, is computer or internet-based; 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 The initial online counseling session should be no less than 30 minutes (can include prep time in this initial consultation).
Telephone Counseling	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 The initial telephone counseling session should be no less than 30 minutes (can include prep time in this initial consultation).
Long-term Counseling	Meets the definition of “Counseling”; AND Includes 5 or more hours of contact and prep time per individual or business during that fiscal year.
Contact Hours (Form 641, line 50a)	The amount of time spent directly counseling/interacting with a business or individual client.
Preparation Hours (Form 641, line 50b)	The amount of time spent preparing and researching information for a business or individual client.
Travel Hours (Form 641, line 50c)	The amount of time spent traveling to/from a location (separate from assigned post-of-duty) to meet with a business or individual clients. If meeting with more than one client, travel time is only counted once.

TRAINING DEFINITIONS

TERM	DEFINITION
Training (including long-term training)	<p>An activity or event presented or co-sponsored by a resource partner, district office or other SBA office which delivers a structured program of knowledge, information or experience on an entrepreneurial or business-related subject. Training is designed for the participant’s acquisition of knowledge, skills, and competencies that relates to specific useful skills.</p> <p>The training must last for a minimum of one hour and include two or more clients in attendance.</p>
Co-hosted Training (collaborative)	<p>Meet the definition of “Training” and further defined as:</p> <p>An activity where each host organization actively participates and contributes substantially to the training.</p>
Total Hours of Training	<p>Total hours of training are the number of hours that the trainer spends teaching the training session.</p>
Online Training	<p>Online training is a structured program of knowledge, information or experience on an entrepreneurial or business-related subject and is delivered through a computer and/or the internet.</p> <p>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. Online training must include one or more participating clients.</p> <p>(e.g. a resource partner provides a registration and link to the training; it can count as online training. Note: It must meet other criteria listed above).</p> <p>Synchronous: A group of clients proceed through the training module(s) or program as a group.</p> <p>Asynchronous: A client individually proceeds through the training module(s) or program individually and is self-paced.</p>
Partner Events (Export Assistance Metric)	<p>An activity intended to generate additional leads and build program awareness. This may include, but is not limited to attending a networking event, speaking engagement not organized by the Director/Advisor, accompanying an economic development advisor on a business visit etc.</p>

OTHER DEFINITIONS

TERM	DEFINITION
Capital Infusion	<p>Capital infusion includes all forms of capital debt, investments from all sources (i.e. lines of credit, consumer debt products used specifically for the business, angel investors, owner’s capital contributions, etc.). Credit lines and other revolving debt facilities/instruments are to be recognized for the full amount of the line of credit when established and not to be based on individual draw-downs.</p> <p>Aggregate total of the following:</p> <ul style="list-style-type: none"> ▪ Dollar amount of SBA loans ▪ Dollar amount of non-SBA loans ▪ Dollar amount of equity capital (to include private investment)
Jobs Retained	<p>Jobs retained are identified as employee positions a business would have otherwise eliminated due to downsizing or closing. This measure is collected annually by survey and reported in EDMIS II in an economic impact area.</p>
SBA District Office Initial Client Assessment (Not required for OED resource partners)	<p>SBA District Office Initial Client Assessment is a new definition introduced in FY2008 to capture local service to small businesses not otherwise meeting the definition of “counseling”. The definition covers initial client contact and assessments for sessions of <u>less than one hour</u> of interaction with the client for face-to-face counseling and <u>less than one-half hour for online counseling</u>. Assistance longer than one hour will be considered as meeting the ‘Counseling’ definition. Initial Client Assessment can include basic needs assessment, information dissemination, assistance to onsite library users, and trade show booth visitors. Service to lenders is allowable so long as lender meets the appropriate SBA definition of “small business”.</p>

REPORTING

ITEM	INSTRUCTIONS
Reporting Online Counseling	<p>At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute, for online counseling.</p> <p>#3 – Client Name or approved client-coded name/number #4 – Email Address #10 – Zip Code</p>
Reporting Telephone Counseling	<p>At a minimum the following fields should be completed on SBA Form 641 or an SBA approved electronic substitute, for telephone counseling.</p> <p>#3 – Client Name or approved client-coded name/number #5 – Telephone Number #10 – Zip Code</p>
Reporting Face-to-Face Counseling	<p>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.</p> <p>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.</p>

<p>Reporting Training</p>	<p>The SBA Form 888 is used to collect and report information on traditional classroom-style training. There must be two or more clients in attendance.</p> <p>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 resource partner location and available for onsite review.</p>
<p>Reporting Online Training</p>	<p>An SBA Form 888 is required for all online training events. There must be one or more clients participating in the online training.</p> <p>At a minimum, the following fields should be completed on a registration form for online training.</p> <p style="padding-left: 40px;">Client Name or approved client-coded name/number Email Address Zip Code</p> <p style="padding-left: 40px;"><u>Every attempt should be made to collect data below:</u> Race Ethnicity Gender Disability Veteran Status Military Status</p> <p>Client registration records and other course information must be retained and made available for review.</p> <p>e.g. If the resource partner holds an online training session with five satellite events with individual sign-ins, facilitators, etc., they should count as five different training sessions, as each meets the definition of “online training.”</p>
<p>Reporting Co-hosted Training (collaborative)</p>	<p>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 <u>not</u> permitted.</p> <p><i>Examples involving multiple resource partners contributing to a single training event:</i></p> <p>A) If each resource partner contributes a significant amount of presentation time (defined as <u>one hour or more per partner</u>), then each host could count all attendees.</p> <p>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.</p> <p>B) If each partner puts in <u>less than one hour (per partner)</u> of presentation time, the attendee count would be divided among the hosts based on mutual agreement.</p>

	<p>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).</p>
<p>Reporting SBA District Office Initial Client Assessment</p>	<p>SBA District Office Direct Service will be reported on a form to be identified in early FY2008. District Offices will be provided additional reporting instructions on this new definition.</p>
<p>Reporting Training with Multiple Sessions</p>	<p>Each session of a multiple-session training program or course may be counted as an individual course on SBA Form 888. A SBA Form 888 should be completed for each session or component that requires a separate registration. Sessions must correspond with the minimum training duration identified in the definitions listed above.</p>
<p>Mentor-Protégé Roundtables (including WNET roundtables)</p>	<p>Mentor-protégé roundtables link more experienced businesses over a significant time, with less experienced businesses or nascent entrepreneurs. The participants usually meet on a regular basis, either one-on-one or in a group setting. The SBA and/or its resource partners provide the staff time and forge the partnerships necessary to pair mentors and protégés. The counselors' time should be allocated equally to attending clients.</p>
<p>Reporting Capital Infusion</p>	<p>Capital infusion will be tracked throughout each fiscal year and compiled from year-to-year to collect aggregate data.</p>

FFY 2017 SBDC RFP Appendix VI – Links to Additional Information Resources

1. FFY 2017 SBDC Program Announcement:

To be released by the SBA – This document will be updated when new information is made available

2. Sample Position Descriptions and Salary Requirements

- SBDC Export Assistance Director
<https://clients.ohiosbdc.ohio.gov/DocumentMaster.aspx?doc=4679>
- SBDC Center Director
<https://clients.ohiosbdc.ohio.gov/DocumentMaster.aspx?doc=4677>
- SBDC Business Advisor
<https://clients.ohiosbdc.ohio.gov/DocumentMaster.aspx?doc=4678>

3. Certified Business Advisor Handbook

<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3751>

4. Information relating to the USE of CDGB funds for Small Business Development Centers:

<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3753>

5. Time and Effort Reporting Guidance

<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3749>

6. State Travel Rules – including links to current state Mileage:

<http://ohiosharedservices.ohio.gov/TravelExpense/>

7. Ohio SBDC Policy Statement on Client Privacy

<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3745>

8. SBDC hiring Flow Chart:

<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3743>

9. Confidentiality and Conflict of Interest forms:

- Form 250A (SBDC Staff)
<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3742>
- Form 250 (for consultants)
<https://www.ohiosbdc.org/DocumentMaster.aspx?doc=3741>

10. Links to General Information about SBDCs:

- America's SBDC (National Association): <http://americassbdc.org/>
- SBA's Office of Small Business Development Centers: <https://www.sba.gov/offices/headquarters/osbdc>
- State of Ohio SBDC Program: <http://sbdc.development.ohio.gov>