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

Race
Ethnicity
Gender
Disability
Veteran Status
Military Status

Client registration records and other course information must be retained and made available for review.

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."

Co-hosted Training (Collaborative)

Meets the definition of "training" and is further defined as an activity where each host organization actively participates and contributes substantially to the training.

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

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

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

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

Reporting Training with Multiple Sessions: Each session of a multiple-session training program or course may be counted as an individual course on SBA Form 888. Sessions must correspond with the minimum training duration identified in the definitions listed above.

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Training Hours (Total Number of Training Hours)

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

Travel Time

The amount of time spent traveling to/from a location (separate from assigned post-of-duty) to meet with business or individual clients. If meeting with more than one client, travel time is only counted once. Travel time will not count toward counseling time, but will be tracked separately.

3.3 Statutorily Required Services

SBDCs are required to provide the following services:

1. On a non-fee basis, one-on-one confidential counseling:
 - ❖ Working with individuals to increase awareness of basic credit practices and credit requirements.
 - ❖ Working with individuals to develop business plans, financial packages, credit applications and contract proposals.
 - ❖ Working with the Administration to develop and provide informational tools to assist individuals with pre-business startup planning, existing business expansion and export planning.
 - ❖ Working with individuals referred by the SBA District Offices and SBA participating lenders. (Note: Providing any preferential treatment to clients of any specific lender is prohibited, as is the SBDC's acceptance of payment for the provision of counseling services.) and
 - ❖ SBDCs must have counselor resources available to meet the needs of entrepreneurs throughout the SBDC's designated service territory.
2. Technology transfer, research and development:
 - ❖ Working to increase the access of small businesses to the capabilities of automated flexible manufacturing systems;
 - ❖ Working through existing networks and developing new networks for technology transfer;
 - ❖ Encouraging partnerships between the small business and academic communities to help commercialize university-based research and development;
 - ❖ Introducing university-based engineers and scientists to their counterparts in small technology-based firms; and
 - ❖ Exploring the viability of developing shared production facilities under appropriate circumstances.
3. Rural Assistance:
 - ❖ Assisting small businesses in rural areas in an effort to increase their participation in exporting, government procurement, tourism, access to credit,

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incubators, innovation and technology and other small business programs, in cooperation with the U.S. Department of Commerce (DOC) and other relevant federal agencies; and

- ❖ The SBDCs may develop marketing and production strategies that will enable the rural businesses to better compete in the domestic market, provide technical assistance needed by rural small businesses, make available managerial assistance to rural small business concerns and provide information and assistance in obtaining financing for business startups and expansion.
4. Exporting Assistance:
- ❖ In cooperation with SBA's Office of International Trade, the Department of Commerce and other relevant federal and state agencies,
 - ❖ Recipients of awards made under this Program Announcement are required by law to have at least five (5) of their employees or ten percent (10%) of the total number of their employees (in the network), whichever is fewer, certified as export assistance counselors. SBA will work with Recipients to determine what constitutes adequate certification and will, subject to the availability of appropriations, reimburse Recipients for costs relating to the certification of employees as export assistance counselors. Recipients must submit, as part of their technical proposal and budget submission, the number that need to be certified to meet the requirement, the current number of certified counselors on board in the network at the time of application submission and their plan, including timeframe, for attaining compliance with this requirement.
 - ❖ assist small businesses in exporting by identifying and developing potential export markets; facilitating export transactions; develop trade linkages between U.S. and foreign small business firms; assist small businesses to participate in international trade shows; assist small businesses in obtaining export financing; and facilitate the development or reorientation of marketing and production strategies.
 - ❖ Where appropriate, the SBDC and the SBA may work in cooperation with state governments to establish a state international trade center for these purposes;
 - ❖ Provide exporting assistance to rural areas;
 - ❖ Refer small businesses to appropriate resources for trade adjustment and trade remedy assistance.
 - ❖ Report client data for exporting assistance including the numbers of clients assisted; numbers of new exporters; numbers of new markets entered; export revenues; referrals to a USEAC or SBA; referrals to the Department of Commerce, Department of Agriculture, Department of State, Ex-Im Bank, OPIC or the USTDA; number of jobs created or retained. Also, number of staff completing certification for export assistance as defined by SBA.
 - ❖ Develop a program in conjunction with the U.S. Export Assistance Centers

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and local and regional SBA offices that will enable SBDCs to serve as an information network and to assist small business applicants for trade finance programs, and otherwise identifying and helping to make available export financing programs to small businesses.

- ❖ Work with SBA's USEAC personnel to conduct Export Trade Assistance Partnership (E-TAP) programs to help increase small business participation in international trade.
- ❖ Work closely with the small business community, small business consultants, state agencies, universities and other appropriate groups to make translation services more readily available to small business firms doing business, or attempting to develop business, in foreign markets.
- ❖ The SBDC may provide small business owners with access to a wide variety of export-related information by establishing on-line computer linkages between SBDCs, U.S. Export Assistance Centers, the Department of Commerce (www.export.gov) and their respective informational international trade databases.

5. Base Closures Assistance:

Assisting small businesses to develop and implement strategic business plans to timely and effectively respond to the planned closure or reduction of a Department of Defense (DOD) facility within the community, or actual or projected reductions in such firms' business base due to the actual or projected termination or reduction of a DOD program or a contract in support of such program.

6. Regulatory compliance:

- ❖ Maintaining current information concerning environmental, energy, health, safety and other federal, state, and local regulations that affect small businesses and counseling small businesses on methods of compliance.
- ❖ Counseling and technology development shall be provided when necessary to help small businesses find solutions for complying with environmental, energy, health, safety and other federal, state and local regulations.
- ❖ Developing information publications, establishing resource centers of reference materials, making appropriate referrals to the SBA's Office of the National Ombudsman and distributing compliance guides published under section 212(a) of the Small Business Regulatory Enforcement Fairness Act of 1996, PL 102-121.

7. Specific informational needs:

- ❖ Providing specific informational needs and assistance, including:

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- ❖ Coordinating and conducting research into technical and general small business problems for which there are no ready solutions.
- ❖ Providing access to comprehensive physical and/or electronic libraries that contain current information and statistical data needed by small businesses.
- ❖ Maintaining a working relationship and open communications with financial and investment communities, legal associations, local and regional private consultants and local and regional small business groups and associations in order to help address the various needs of the small business community.
- ❖ Conducting in-depth surveys for local small business groups in order to develop general information regarding the local economy and general small business strengths and weaknesses in the locality
- ❖ Using and compensating qualified small business vendors, including but not limited to, private consulting engineers and private testing laboratories to provide services to small businesses.
- ❖ Maintaining lists of local and regional private consultants to which small businesses can be referred.
- ❖ Providing information and assistance to small businesses about establishing Drug-Free Workplace programs.

3.4 Localized Program Needs and Services

It is acknowledged that SBDCs receive funding and must meet the mandates of its other funding sources. Despite these mandates District Directors and SBDC State/Region Directors should negotiate services to meet local identified needs including:

1. Entrepreneurial Development Services
 - ❖ Assisting manufacturing workers interested in starting their own business and working closely with the U.S. Department of Commerce, National Institute of Standards and Technology's Manufacturing Extension Partnership (MEP) Program to assist small manufacturers.
 - ❖ Providing programs focused on existing businesses to assist them with growth and expansion.
 - ❖ Developing, facilitating and/or leveraging appropriate distance learning programs and/or initiatives that can be utilized by small business clients, and where appropriate, other SBA resource partners.
 - ❖ Using the SBDC Clearinghouse, also known as the SBDC Net, to assist in serving the needs of the small business community.
 - ❖ Assisting people with disabilities to consider entrepreneurial opportunities and to succeed in business.
 - ❖ Collecting, categorizing and making available, in consultation with the SBA, turn-key training programs representing the best-of-the-best from SBDCs. Such training programs must be in electronic format and include a course syllabus, lecture presentation, faculty notes, outreach materials and an accompanying student text or information summary.

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- ❖ Developing economic recovery programs and plans which include counseling of small business owners on ways and means to rehabilitate on-going businesses through a re-directed approach to marketing and financial management. Subjects for counseling may include advice in seeking alternative markets for products or repackaging of outstanding loans or other financial obligations and credit counseling for the reprogramming of debt. Training may also be offered to small business owners which will introduce them to the new methods of doing business, such as e-commerce, etc.

2. Economic Development Involvement

Participating in and actively supporting community development in their areas of geographic responsibility. This includes coordination and involvement with all levels of government – federal, state and local in support of initiatives that strengthen the infrastructure of the community and ensure stability and equality in community-based economic growth and development. The private sector, including business and professional organizations, should be invited to become stakeholders in the development of the community. SBDCs should act as catalysts to initiate development projects beneficial to the community as a whole.

3. Government Contracting Assistance

- ❖ Promoting SBA's SBIR and STTR programs.
- ❖ Providing information and assistance to small business owners interested in pursuing federal, state and local prime contract and subcontract opportunities.
- ❖ Advising and assisting small business owners in developing and executing effective marketing and sales plans for targeting federal prime contracts.
- ❖ Working cooperatively with the Procurement Technical Assistance (PTAC) program.

4. Access to Capital and Other SBA Programs

- ❖ Providing financial packaging and other financial counseling assistance; including assistance for disaster loans, Community Express and export financing programs.
- ❖ Providing access to tools and initiatives offered by SBA's Office of Veterans Business Development (OVBD).
- ❖ Informing small business contractors about SBA's Surety Bond Guarantee Program.
- ❖ Supporting the SBA Center for Faith-Based and Community Initiatives, as appropriate.

3.5 Other Guidelines

Center for Faith Based & Community Initiatives

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SBDC's are encouraged to coordinate activities through either a contractual or partnership relationship with faith based and community organizations. SBDC's are also encouraged to coordinate their efforts with SBA's Center for Faith-Based and Community Based Initiatives which is designed to open Government programs to these organizations to improve their communities. There are no grant funding set-asides for faith-based organizations. Instead, the Faith-Based and Community Initiative creates a level playing field for faith-based as well as other community organizations to work with the government to meet the needs of America's communities. SBA is one of ten federal agencies with a Center for Faith Based and Community Initiatives.

Co-sponsorship Agreement

If one or more organizations and the SBA is involved with an SBDC as co-sponsors, a Co-sponsorship Agreement must be executed by SBA, the SBDC, and all co-sponsors of an activity in accordance with SBA's Co-sponsorship SOP 90 75 2 or revised equivalent.

Environmental Assistance

Environmental assistance includes any activity that encourages, supports and enables small businesses to develop, market and/or adopt environmental technologies (including pollution prevention) to achieve economic growth and environmental compliance. SBDCs are encouraged to consult with appropriate state and/or local providers of environmental technical assistance programs.

Financial Assistance

SBDCs should work with their SBA District Offices to provide services that increase a small business' access to capital. SBDCs are encouraged to develop linkages with lenders, Small Business Investment Companies (SBICs), venture capital firms, Certified Development Companies (CDCs), SBA microlending intermediaries and state and local finance programs.

SBDCs will assist small businesses with business plan development, financial statement preparation and analysis, cash flow preparation and analysis, source and application of funds. In addition, SBDCs, in cooperation with SBA District Offices, are expected to offer service to new SBA clients and to assist delinquent SBA borrowers who are referred to them by SBA and/or lenders to assist in problem solving, business restructuring, cost analysis, market penetration and other similar subjects.

Financial Packaging Assistance Guidelines

SBDCs are encouraged to provide counseling services that increase a small business concern's access to capital, such as business plan development, financial statement preparation and analysis and cash flow preparation and analysis.

SBDCs should help prepare their clients to represent themselves to lending institutions. While SBDCs may attend meetings with lenders to assist clients in preparing financial packages, they may not take a direct role in representing clients in loan negotiations.

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SBDCs should inform their clients that counseling assistance or financial packaging assistance does not guarantee receipt of a loan.

Financial Assistance Restrictions

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

The SBDCs must not take a direct role in representing clients in loan negotiations. They should, however, help prepare their clients to represent themselves to lending institutions and may attend meetings with lenders to assist clients in preparing financial packages.

SBDCs must not advocate, recommend approval or otherwise attempt in any manner to influence SBA to provide financial assistance to any of its clients. SBDCs may not charge fees for providing assistance for financial packaging. (Note: Providing any preferential treatment to clients of any specific lender is prohibited, as is the SBDC's acceptance of payment for the provision of counseling services.)

International Trade Center (ITC)

International Trade Centers (ITCs) are specialty centers within the SBDC network dedicated specifically to providing international trade services. Where appropriate, SBDCs will establish ITCs to focus on export assistance to small businesses. ITCs must have a separately designated and full-time Director and qualified professional staff. They must have a separate budget within the SBDC and there must be separate international trade related counseling and training milestones established in the SBDC Cooperative Agreement. Separate brochures marketing the SBDC's international services must be developed and distributed.

The ITC will coordinate and use public and private resources to provide assistance to small businesses, and particularly to those small businesses new to exporting, or with export finance packaging needs.

ITCs will provide a broad range of services as appropriate and needed by the small business community, including the following:

- (A) Assist SBA by supporting Export Assistance Centers sponsored by SBA, the Department of Commerce, the Export-Import Bank, and other federal agencies.
- (B) Assess client's export-related financing needs and assist clients in structuring and compiling necessary documentation, (i.e., business plan development, financial statement and analysis, cash flow preparation and analysis, source and application of funds, letters of credit, etc.) for export financing, and particularly for SBA's Export Working Capital Program.

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- (C) Develop linkages with local lenders, SBA District Export Finance Officers, Ex-Im Bank personnel and U. S. Export Assistance Center personnel.
- (D) In cooperation with SBA, develop an Export Trade Assistance Partnership (E-TAP) program on an annual basis for new exporters. Create an E-TAP Task Force for its development and cooperation with other appropriate private and public sector partners to provide counseling and training for this program.
- (E) Develop and conduct seminars on opportunities and procedures involved in exporting, export finance, joint ventures, licensing, ISO 9000 and other International Standards Registration, metric conversion and so forth.
- (F) Identify and analyze client's international trade needs, capabilities and problems, and provide in-depth counseling in international trade techniques, procedures and opportunities.
- (G) Use services available through the Federal Bar Association/SBA Agreement to assist in the resolution of client's international trade/legal problems, the Export Legal Assistance Network (E-LAN).
- (H) Assist SBA in promoting and recruiting participants for SBA cosponsored events including those with the Department of Commerce, the Overseas Private Investment Corporation, the Agency for International Development and the Export-Import Bank.
- (I) Assist SBA in disseminating information on trade promotion, trade finance, trade adjustment and trade remedy assistance.

Manufacturing Assistance

Many SBDCs partner with the Department of Commerce, National Institute of Standards and Technology's Manufacturing Extension Partnerships (MEPs) to provide specialized services to small manufacturers. Through this partnership, a small manufacturer can receive business management assistance from the SBDC and engineering assistance from the MEPs. Most SBDCs and MEPs view the partnership as significant.

All SBDCs that are partnering with the NIST MEPs are encouraged to continue this valuable assistance to small business manufacturers. SBDCs without a working partnership with the NIST MEPs may wish to pursue one. The nature of any participation with MEPs must be reported in the semiannual and annual reports to SBA.

Minority Enterprise Development

SBDCs should work with their SBA District Offices to provide training and counseling to firms in all stages of participation in the 8(a) Program. Each SBDC must make all of its economic development and technical assistance services available to 8(a) firms in all stages, other minority business owners and prospective minority business owners. SBDCs are encouraged to make special efforts to assist SBA's Minority Enterprise

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Development 8(a) Program. These efforts include community-based seminars and workshops concerning the SBA's 8(a) Program application process.

SBDCs should inform their 8(a) clients that counseling assistance does not guarantee receipt of a contract.

Native American Assistance

Each SBDC must make its economic development and technical assistance services available to Native Americans. Local initiatives for Native Americans shall be supported when appropriate, and to the extent possible, by the appropriate SBDC where it is determined that this assistance is needed. Where appropriate, SBDCs shall provide support to initiatives of SBA's Office of Native American Affairs (ONAA).

Procurement Assistance

SBDCs are encouraged to provide services that provide basic information needed by small business concerns interested in procurement opportunities in the Government arena. These services should include, but not be limited to:

- (A) Providing information on Government buying methods.
- (B) Identifying the role of SBA Area Directors for Government Contracting located in SBA field offices and Procurement Center Representatives (PCRs) located at Federal Government purchasing activities.
- (C) Educating small businesses about the Federal government's move toward doing business by Electronic Data Interchange, marketing techniques and placement on agency bidders' lists.
- (D) Assisting with the preparation of bids and proposals.
- (E) Identifying subcontracting opportunities.
- (F) Providing counseling and referral information concerning bidders' rights and obligations, appeal procedures, termination and default actions, and size criteria (business advice, not legal advice).
- (G) Providing assistance on contractual, financial and contract administration issues.
- (H) Developing and/or maintaining computerized systems that identify federal, state and local procurement opportunities.
- (I) Assisting eligible small business firms to complete and submit of the HUBZONE Empowerment Contracting Program electronic application.

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- (J) Working cooperatively with the Procurement Technical Assistance (PTAC) program.

Rural Development

SBDC applicants must make a full range of business development and technical assistance services available to small businesses located in rural areas. These services will be designed to increase rural small business participation in exporting, government procurement, tourism, access to credit, incubators, innovation and technology and other small business programs.

Surety Bond Guarantee Assistance

SBDCs are encouraged to educate their resources and small business contractors about the Surety Bond Guarantee (SBG) Program. This includes making available program information at counseling and training sessions and at business, professional and trade association meetings. SBDCs should develop an outreach program and actively promote the SBG program to special emphasis contractors. SBDCs should refer small business contractors to the SBG specialist in one of the four SBG Area Offices (Philadelphia, Atlanta, Denver and Seattle) for detailed information about the program. The Office of Surety Guarantees in SBA Headquarters will provide a power point presentation for this purpose. An SBDC should contact (202)205-6540.

Many contractors are able to leave the program and obtain bonding on their own while others remain in the program for several years. One reason small contractors continue in the program is that they lack management expertise and have ongoing cash flow problems. SBDCs are encouraged to work with the SBG specialist in the appropriate Area Office to identify such contractors and give them the needed business management assistance. Among other areas, this may include business plan development, cash flow preparation and analysis, bid preparation, marketing and financial statement preparation and analysis.

Technical Assistance

The Lead SBDC must make technical assistance available to small businesses including, but not limited to: access to published technical information; eCommerce training, access to technical consultants; energy audits and conservation plans; product analysis and improvement; new product development; plant layout; assisting inventors and high technology firms to research, develop and market their ideas and inventions; assisting non-technological firms to gain access to existing technologies; solution of manufacturing or operations problems (using "Just-in-Time" computer aided manufacturing and computer aided design where appropriate); SBIR-related assistance; facilitating the transfer of technology and technical data from federal and university laboratories; assisting competitive positioning through total quality management (TQM), information technology, pollution prevention and other environmental assistance; and conducting economic studies and projects.

Training

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

Training generated by SBDCs must be coordinated with the SBA Project Officer to avoid duplication with training efforts offered by other local organizations and SBA. In addition, all training materials developed in an electronic format shall be made available to the SBA SBDC Project Officer, SBDC Clearinghouse and all SBA resources. SBDCs may charge reasonable fees to cover program costs associated with this training. These fees are considered program income and shall be used to expand services and further SBDC program objectives.

An SBDC training workshop or seminar is defined as an activity or event in which a counselor from a resource partner, District Office personnel or a third party actively delivers a structured program of knowledge, information or experience on a business-related subject. There must be two or more attendees. A training course must last a total of an hour or more to be counted as training. Courses with multiple sessions count as one course. An agenda, attendee list and evaluation must be kept in the file. The SBDC must use SBA Form 888 to document and report SBDC training activities. SBA's management information system collects both the number of sessions and hours for the course.

SBDC Co-hosted Training

SBDCs are encouraged to enter into co-hosted training arrangements with the private sector and other organizations to extend outreach and productivity. (Cooperation between members of the SBDC network; i.e., Lead Center with service centers or other organizations funded through the Cooperative Agreement with SBA is not considered a co-hosting.)

In order for an SBDC to receive credit for a co-hosted training event, it must actively participate (i.e., provide speakers, materials, publicity) with the organization assuming primary responsibility for financing the training session. Final responsibility for the quality of the training rests with the SBDC. When reporting training numbers for a training session co-hosted by the SBDC and another SBA resource partner (e.g., WBC, SCORE) and the training session is of such duration that each partner is training for less than one hour each, the partners must work together to determine how to equitably divide the number of clients among themselves. No double counting is permitted so the number that they partners report must equal the total number of attendees at the event. However, in the case where there are breakout sessions lasting one hour or more given individually by the resource partners, then each resource partner can count any attendees participating in their breakout sessions as long as there is a sign-in sheet, an evaluation, and an SBA Form 888 is prepared. Where the training is of such duration that its length is equal to or more hours than the number of ED partners co-hosting the

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event (i.e., one hour per partner), all partners can report the full number of attendees for the training.

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

SBDCs are reminded that income received by the SBDC network for all co-hosted programs cannot be used for match funding and should be used to further support the SBDC.

Veteran and Service-Connected Disabled Veteran Business Ownership

Each SBDC will make available all of its economic development and technical assistance services to veterans, including service-connected disabled veterans and their immediate families as well as Reservists and National Guard members called to active duty. Both national and local initiatives for veterans shall be supported by the appropriate SBDC as needed. Each SBDC network will establish a minimum of one Veteran Entrepreneurial Training (VET) Program for veterans, service-connected disabled veterans, Reservists and National Guard members as well as active duty military personnel who are pending discharge. The program may include feasibility and marketing studies, preparation of business plans and loan packages and formation of support groups to provide follow-up and encouragement to participants.

The SBDC may be requested by SBA to provide specific training and counseling with respect to business opportunities or government contracting, in connection with a local base closing.

SBDCs should contact their state National Guard Adjutant General and all units of the Military Reserves to identify Reservists and National Guard members who are operators of small businesses; are otherwise self-employed, or are essential employees in small businesses, and who have been or may be mobilized pursuant to Title 10 U.S.C. for active duty. SBDCs should offer and provide business interruption counseling and training as needed to minimize adverse financial and operational problems. Such counseling could include, but is not limited to the offering advice on the best feasible means of winding up of business operations and the utilization of federal and state laws, (including the Soldiers and Sailors Relief Act), enacted to protect small business persons who are subject to mobilization to active duty. Additionally, business assistance for self-employed Reserve and National Guard members following their release from active duty will be critical to mitigate expenses, secure legal assistance, engage in significant marketing efforts and otherwise minimize the negative effects of the member's mobilization on their small business or practice.

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Each SBDC will undertake an initiative to identify veterans on its staff. Each SBDC should also encourage development of a veterans' business network and perhaps convene a local summit for veteran business owners and service-connected disabled veterans business owners as well as Reservists and National Guard members who are subject to be called to active duty. Each SBDC will contact its local VA regional office and link its veterans' business network to VA Vocational Rehabilitation Counselors.

Additionally, each SBDC should endeavor to raise the level of awareness to its audiences at small business seminars, conferences and outreach Program Announcements about the needs of veterans and service-connected disabled veterans. SBDCs also should strive to develop close working relationships with their respective State Department of Veterans Affairs to explore collaborative outreach and referrals.

Women's Business Ownership

Each SBDC will make available all of its economic development and technical assistance services to women business owners and prospective women business owners. Both national and local initiatives for women business ownership shall be supported by the appropriate SBDC where it is determined that this assistance is needed. Further, SBDCs will provide support for, coordination with, and referrals to the Women's Network for Entrepreneurial Training (WNET) mentoring program and the Women's Business Centers (WBCs). The SBDCs should develop training programs to help women prepare for the global marketplace.

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4.0 SBDC CONSULTING & TRAINING SERVICES

All policies and procedures regarding Consulting & Training Services will be found in the Counselors Guide

5.0 SBDC OPERATIONS

5.1 Hours of Operation

The Lead SBDC and Service Centers shall be open to the public throughout the year during the normal business hours of the host institution. In addition, provision should be made to provide evening and weekend assistance, both on-line and in Service Centers, as appropriate to meet local community demands and needs. Anticipated closings shall be included in the annual renewal application. Emergency closures shall be reported to the SBA Project Officer as soon as is feasible. Other SBDC service providers shall be open during the normal business hours of their sponsoring SBDC organization.

5.2 Changes in Points of Communication

SBDCs must notify the Lead Center in writing within 5 days when changes occur in contact information such as physical addresses, telephone numbers, fax numbers, e-mail and web-site addresses.

The Lead Center Director must notify the SBA District Director(s) and the Office of Small Business Development Centers within 10 days when changes occur in contact information such as physical addresses for Lead and service centers, telephone numbers, fax numbers, e-mail and web-site addresses.

5.3 Travel

The travel charged to the Cooperative Agreement must be in accordance with provisions of the grant and utilized in conformance with 13 CFR 130.460(g), and will be used under the same formula for travel reimbursement as provided by the host

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institution. Award funds are not available for the payment of per diem, lodging, meals or other subsistence expenses associated with local travel. However, award funds may be used to pay transportation expenses for local travel.

Travel to any conference or event located out-of-state/region must be approved in writing by the Lead Center Director. Attendee lists and estimated expenses must be attached to the request. The supporting documentation including, but not limited to, written approval, attendee lists and estimated expenses must be kept on file at the local service center and made available upon request.

Travel funds are authorized for the SBDC State Director and/or his/her designee to attend two Association of Small Business Development Center meetings per year. Travel funds may also be authorized for additional SBDC staff to attend meetings designed for professional development purposes. Further, one trip per year, as approved by the AA/SBDC, is authorized to allow the SBDC State/Region Director and/or his/her designee to meet with national SBA officials to discuss local program initiatives.

Travel outside the United States and its territories which is either: (1) charged to the Cooperative Agreement; or (2) performed while on duty for the recipient organization must be submitted to the District Director who shall submit a recommendation to the AA/SBDC or his/her designee for prior approval on a case-by-case basis. (Travel to be completed using vacation time regularly earned is not subject to approval by the AA/SBDC). Failure to obtain this approval may result in suspension or termination of funding.

5.4 Time & Effort Certification

SBDCs must maintain support documents related to salary and wages for all employees/contractors being compensated through any SBDC funds (federal funds or cash match sources). Recipients and sub-recipients must maintain the appropriate standard per 2CFR Part 200 to document costs for full-time and part-time personnel allocated to the program. This includes, but is not limited to, time and effort certification, appointment letters or contracts, performance reviews, payroll journals and/or activity reports. The records should be incorporated into the official records of the institution.

Time & Effort certifications should be completed no more frequently than monthly and no less frequently than quarterly. Personnel that complete timesheets and indicate on the timesheet time allocated to the SBDC program do not need to complete time & effort certifications. Personnel that are salaried and do not complete time & effort certifications must complete a separate sheet indicated percentage of time allocated to the SBDC program and signed by the employee.

5.5 Private Sector Competition

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SBDCs should not compete with the private sector and shall make every effort to avoid the appearance of competition with the private sector.

5.6 Standards of Conduct

2 CFR Part 200 require grantees/SBDCs to maintain a written code or standards of conduct that "shall govern the performance of their officers, employees or agents."

The written code or standards must contain statements regarding conflicts of interest and/or any appearance of a conflict of interest and should be directed at covering all SBDC employees and volunteers (See Appendix A for Conflict of Interest Agreement).

5.7 Conflict of Interest Policy

Each SBDC must utilize the SBDC Network's written conflict of interest policy which is disseminated to all employees, consultants, instructors and volunteers working with SBDC clients or client data (See Appendix A for Conflict of Interest Agreement.) The policy includes enforceable elements safeguarding the SBDC program from the actual or apparent conflict that could result from:

- Personal gain, remuneration or pecuniary interest in a past or current SBDC client(s).
- The solicitation or acceptance of any gift, loan, reward, equity in a business, compensation or other monetary remuneration, promise of future employment.
- A compensated recommendation for any goods or services to an SBDC client.
- Soliciting or accepting a compensated position for services which are part of the SBDC network services.
- Disclosing any private or confidential business or personal information to a third party other than SBA without written consent of the client.

5.8 Facility Requirements

The SBDC must establish a principal place of business which is located to provide maximum accessibility and benefit to the small businesses it intends to serve. Facilities must be accessible to the handicapped and have prominent exterior identification as a Small Business Development Center. Facilities must include a reception area, private office space with a separate telephone line and listing from the host. Nearby parking must be available for no cost or for a reasonable fee.

5.9 EEO and Disability Accessibility/Accommodation Requirements:

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EEO All SBDC services must be provided on a nondiscriminatory basis, and no individual may be excluded from any program because of race, color, religion, sex, age, disability or national origin. Workshops, seminars and conferences must be held in disabled accessible locations. Reasonable accommodation must be made, upon request, for visually and hearing impaired attendees. SBDCs are required to make modifications and accommodations (which do not fundamentally alter the program or activity or entail undue hardship) to enable otherwise qualified disabled individuals to participate. The SBDC network must comply with 13 CFR Parts 112, 113, 117 and 136.

5.10 Program Identification

The specific identification "Small Business Development Center" shall be a part of the name of every SBDC organization within the Orange County/Inland Empire SBDC network. No other name designations or variations will be accepted.

5.11 Disaster Operations Plan

The Lead SBDC and its service centers must have in place disaster plans which are in coordination with the host organization to ensure delivery of services to small businesses in its area of operations, and such plans must be kept on file and available for review by SBA officials. Plans should be reviewed annually by the center directors and updated as needed. SBDCs individually, and in cooperation with SBA and other Federal Agencies as well as State and local entities are encouraged to provide disaster recovery assistance to support impacted small businesses in local economies.

5.12 Legal Services Restrictions

No costs associated (either directly or indirectly) with civil, criminal or administrative litigation are allowable under an award made pursuant to this Announcement. Project funds may be used to pay the cost of non-litigation legal counseling services either to the recipient of this award or project beneficiaries. However, all parties receiving such services must agree in writing to waive any claims of privilege over such services with regard to SBA to the extent necessary for the Agency to perform its monitoring and oversight function.

SBDCs may offer training courses on business law issues, provided that legal topics are presented by individuals qualified by training and experience to address such topics. In furtherance of their educational mission, SBDCs may negotiate arrangements with law schools to offer clients access to supervised student legal clinics that are approved by the state attorney licensing entity. The SBDC must make appropriate disclosures and disclaimers to that effect.

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5.13 Publication and Postage Requirements

Any publication generated by an SBDC with program funds, whether copyrighted or not, must include an acknowledgment of support by SBA (See subsection 1.9 hereinabove). This includes, but is not limited to, newsletters and training brochures. Moreover, a brief statement indicating that SBDC programs are nondiscriminatory and available to individuals with disabilities must also be included.

Publications produced by the SBDC must promote SBDC services and provide information of direct benefit to the SBDC's local small business community.

Lead SBDCs and SBDC service centers are not authorized to utilize any type of SBA postage franking privilege.

5.14 Contract Compliance/Issue Resolution/Probation

If the SBDC service center is not in compliance with the terms and conditions of their subcontract, the Lead Center Director will initiate a probationary period if she/he believes that the problems are not so severe as to require immediate cancellation of the subcontract.

The Lead Center Director will provide a probation Notice to the SBDC service center via certified mail. The Notice will state that unless appealed by the SBDC service center, the proposed probation will take effect thirty (30) calendar days following the date of the Notice. The Notice will specify the reasons for the probation, the times which must be completed in order for the SBDC service center to be taken off probation, the timelines for completing those items and any reporting deadlines.

The SBDC service center may appeal the proposed probation to the SBA District Office. Any dispute shall be resolved in the manner prescribed and within the time frames stated in the SBDC Regulations (13 C.F.R. Part 130) and the Notice of Award (Cooperative Agreement). Every effort shall be made to resolve disputes at the district office level.

5.15 Small Business Week

SBDCs are encouraged to promote, support, plan, implement and participate in Small Business Week activities in cooperation and coordination with local and national SBA officials. SBDC State/Region Directors and other SBDC personnel, with their strong links to prominent entrepreneurs and small business advocates in their communities, should nominate individuals for Small Business Week awards.

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5.16 Examinations and Accreditations

As outlined in 15 USC 648(k), biennial program and financial examinations of SBDCs are conducted by SBA's Office of Small Business Development Centers (OSBDC). In addition, an accreditation program is operated by the ASBDC under contract from the SBA. As required by the Small Business Act, the SBA may not renew or extend any cooperative agreement with an SBDC unless it has been approved under the accreditation program. Where a finding of deferral (or denial, if SBA agrees to a short term extension of funding authorization) has been imposed upon an SBDC as a result of the accreditation process, a proposal including a plan of work describing actions to be taken and a timeframe for meeting the specified conditions identified in the denial or deferral must be prepared by the SBDC and provided to the AA/SBDC.

OSBDC and the ASBDC Accreditation Committee will work together to focus on improvements and/or corrective actions resulting from financial examinations and accreditation reviews. The AA/SBDC may waive the accreditation requirement and provide funding to an SBDC upon a showing that the SBDC is making a good faith effort to obtain accreditation.

5.17 Leveraging Resources

SBDC training and/or information materials, developed with SBDC program funds, (such as publications, training guides/materials, outline courses, online tools, web-sites, CD ROMs and videos), will be readily available to SBA for other federal purposes. All such materials will provide appropriate credit to the developing SBDC. A plan for sharing such SBDC generated training and information materials for other federal purposes will be prepared by the SBDC program office in cooperation with the ASBDC and the SBDC Advisory Board.

5.18 Transition Activities

In the event of a recipient organization exiting the program, there are a number of procedures which must be undertaken to ensure a smooth transition to a new recipient organization. These include, but are not limited to:

- Taking an inventory of all property bought with program (both Federal and match) funds including equipment, personal property, supplies, and intellectual property. The inventory should identify each item and describe its funding source (Federal, match), serial number, software installed if computer, acquisition value, current value, date acquired, current location, and current condition.
- Arranging for the transfer of supplies and equipment to the new host or SBA as directed.

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- Arranging for the transfer of clients documents, including counseling and training files.
- Preparing for the transfer of electronic records as soon as possible, to enable the new host to begin services immediately after the termination date. Allowance is made for the exiting host to transfer data records prior to the termination date.
- Reconciling all accounts for program funds (both federal and match) as well as program income.
- Referring clients requesting services to the new SBDC host upon the termination date, i.e. web page, telephone communications.
- Consistent with the termination of services, transferring the program income fund balance to the new SBDC host at the end of the program period.
- Providing for the submission of final billing as required in the Notice of Award.
- Providing for the participation in SBA closeout reviews including financial documentation.

For a complete list of closeout instructions and activities refer to Appendix M: SBDC Center Closeout Action Plan. The closeout process is based upon the following documents and sources:

- OSBDC Fiscal Review of Closeout, Service Center Monitoring
- SBA Cooperative Agreement
- OMB Circulars A-110, A-133 and A-122
- SBA regulations, 13 CFR, Part 130 including referenced sections 5(b)(6) and 21 of the Small Business Act as amended, 15 U.S.C. 634(b)(6) and 648, and all public laws referenced therein
- SBA regulations, 13 CFR, Part 130
- SBA Program Announcement;
- California State University, Fullerton Auxiliary Services Corporation Contract

5.19 Annual Staff Development Study

In 2011, the SBDC Network developed an annual staff development study to identify apparent trends across the Orange County / Inland Empire SBDC Network. The study is delivered to all network staff through electronic survey on an annual basis. The information in the survey is collected by the Lead Center and all responses will be

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anonymous. The results of the survey will only be shared in aggregate and by no means will responses be reviewed at the individual level. When budgets allow, the results of this survey will be used to support professional development needs across the network and on a statewide basis. The following questions are part of the survey.

1. What is the best time for you to attend professional development events?
2. Approximately how many professional development events per year would you be interested in attending?
3. How interested are you in each of the following presentation formats?
4. What classification best fits your job duties?
5. Please rate your interest in each of the following Professional Development workshop topics:
 6. I am recognized for my work.
 7. My organization values my opinion.
 8. My organization encourages new ideas (innovation).
 9. My organization welcomes feedback.
 10. The people I work with cooperate and work as a team.
 11. My organization has the right people and skills to do its work.
 12. My organization helps me help my community.
 13. My organization is a good place to work.

Results from the Staff Development Study will be tracked and trended by the Lead Center to promote staff development and satisfaction across the network.

5.20 Neoserra Lockdown

SBA requires that records uploaded to EDMIS be certified annually and, once they are certified, changes are not allowed. To ensure that all records remain historically accurate, the Lead Center locks records (lockdown) to establish parameters that disallow the editing, addition, or deletion of historical records.

Lock down takes place every quarter (The third Friday of January, April, July, and October); please ensure you input all information before lockdown. The report covers fiscal year. If consultants don't input all of their data, it will not be counted by SBA.

There is no way to enter the data after the fact, even if it is in Neoserra because it won't be uploaded to EDMIS.

5.21 A,B,C,D & S Client Stratification Process

Adopted in 2011 from the Michigan State SBDC network, the Orange County / Inland Empire SBDC network utilizes a client stratification document to classify the network's client caseload (See Appendix V Client Potential Assessment [Business Viability]). This stratification document and process facilitates client sharing across the network by

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defining a common jargon understood and accepted among all network staff. The client classifications are used internally to quickly describe the business stage of development and for reporting purposes, however, the client classification can change periodically as determined by the primary consultant based on work conducted with the client.

5.22 Staff Recognition

In 2011, the SBDC Network created the Staff Recognition Program and Staff Recognition Committee to develop a staff recognition program that reconciles center/regional and consultant/administrative differences and encourages high performance. The committee in its best effort to develop a comprehensive program solicits the guidance of service/lead center directors, consultants, administrative staff, and other state SBDC networks to create and update the Network's staff recognition program.

In 2013 Award Categories & Criterion were updated as follows:

Team Choice Award:

This is a center specific award. Each service center will respond to their respective survey to vote for staff members to recognize under this award on or before November 30. The survey will remain open for a minimum of two weeks. At the closing of the survey, the staff member with the highest number of votes will be awarded from each center.

Excellence Award:

This is a center specific award. Each center director will choose one staff member to recognize for outstanding performance under this award at their own discretion. Information regarding the winner of the Team Choice Award category will be disclosed to each director, however, it is at the discretion of each director to use this information in making the decision for the staff member to recognize.

Money Club:

The top 25% of staff from each center will be awarded based on combined contributions in capital infusion, change in sales, awards and contracts to the center's performance by November 30th. Reports will be run from Neoserra on December 1st to determine the appropriate staff to be recognized.

Job Generator Club:

The top 25% of staff from each center will be awarded based on combined contributions in jobs created and jobs retained to the center's performance by November 30th. Reports will be run from Neoserra on December 1st to determine the appropriate staff to be recognized.

Startup Club:

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The top 25% of staff from each center will be awarded based on contributions in business starts to the center's performance by November 30th. Reports will be run from Neoserra on December 1st to determine the appropriate staff to be recognized.

Recipients are recognized among their peers at the Network's annual December All-Staff Meeting.

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6.0 SBDC REVIEW AND REPORTING REQUIREMENTS

6.1 Required Performance Reports

The Local Service Center Director is responsible for submitting via email and hard copy to the Lead Center Director of the following reports on the reported due dates:

<u>Description</u>	<u>Due Date</u>
Annual Renewal Proposal for upcoming year	June 30
Semiannual Performance Report	July 15
Annual Performance Report for the previous year	January 30

6.1.1 Renewal Proposal

The renewal proposal presents the vision for delivering services and advancing the growth of the local service center for the following calendar year. The renewal proposal will serve as the Scope of Work for the service center's subcontract for the following year. The plan should describe the service centers operations and demonstrate how the service center's core services address the specific needs of its local small business community. The renewal proposal should be formatted to the guidelines attached in APPENDIX: T and include, a proposal narrative, a proposal budget, budget narrative, personnel listing, along with a signed CSUF Subrecipient Commitment form signed by an authorized host employee. The renewal proposal is due to the lead center on July 1st of each year for inclusion in the SBDC Network's renewal proposal to the Office of Small Business Development Centers (OSBDC).

6.1.2 Semiannual Performance Report

The SBDC service center should submit an original via hardcopy and email of the Quarterly Performance Report to the Lead Center Director within the due dates as specified hereinabove.

The Semiannual Performance Reports shall contain a listing of the SBDC's major activities and objectives. It should also include a discussion on the progress made toward achieving those objectives.

Activities should be reported in the following sequence, excluding any activities not proposed in the application, and adding any additional categories as appropriate:

100 ADVOCACY

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Report efforts to represent small business interests within the SBDC's jurisdiction to improve the climate for small business and to contribute to the vitality of the small business sector. Advocacy may include such activities as: public speeches, testimonies before state and/or federal legislatures and small business week activities.

200 CAPITAL FORMATION

Efforts to develop or assist in developing capital for small businesses, e.g., loans, microloans, and grants. This may include developing close linkages with SBICs, SSBICs, venture capital firms, Certified Development Companies (CDCs), and state and local finance programs.

300 INNOVATION AND TECHNOLOGY TRANSFER

Report activities to identify innovation and technology developed by the Federal Government and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability. Also include efforts toward transferring expertise and equipment available from the Federal Government to the private sector. Activities to transfer innovation and technology from business to business, SBIR activities, etc. should also be included.

Activities with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act and other environmental assistance activities should also be thoroughly described.

400 INTERNATIONAL TRADE

Report activities to promote increased export by small businesses. Activities will include providing support to Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance including conducting USEAC E-TAP programs; partnering with public and private sector organizations involved in export development; data base development; match services and market research; and participating in World Trade Week.

500 MINORITY SMALL BUSINESS DEVELOPMENT

Report activities which help minorities participate in the free enterprise system. Activities may include working on Asian American initiatives, Black or African-American initiatives, Hispanic American initiatives, Native American initiatives, Native Hawaiian or Pacific Islanders initiatives, assisting 8(a) clients in the developmental stage and other stages, linking minority clients with other assistance opportunities and conferences.

600 RESOURCE DEVELOPMENT

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Report activities which promote and/or develop other funding partners to assist the SBDC in its mission. Activities may include recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training and outreach efforts.

700 PROCUREMENT

Report activities which foster opportunities for increasing small business' share of procurement dollars spent by the government and private sector. Activities may include conferences, computer matching services, assistance to Certificate of Competency businesses and prime contractor outreach.

800 SPECIAL EMPHASIS GROUPS

Report activities targeted toward selected groups of entrepreneurs and nascent entrepreneurs. This may include activities that assist people with disabilities, Native Americans, young entrepreneurs, targeted associations, industry groups and other groups identified by SBA and/or the SBDC. (Note: Report minority, veteran and service connected-disabled veteran and women's activities separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business, and Women Owned Businesses.)

900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES

Report general activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory. Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators.

In addition, report activities aimed toward assisting small business and community economic development organizations. Such activities may include, but is not limited to: providing counseling, training and outreach to community organizations, churches or other such entities who have a significant focus on supporting the needs of small businesses.

1000 RESEARCH

Report research efforts aimed toward assisting small business and economic development. Such research may include but is not limited to database development and needs analysis.

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1100 OTHER ACTIVITY

Activities which do not fit in the categories above. The activities may include dissemination of basic business information as well as any specific information requested by the SBA Project Officer and mutually agreed upon with the SBDC State Director.

1200 SUCCESS STORIES

Report at least three examples of assistance provided in which tangible results occurred. Include a description of the business, the problems encountered, the assistance provided, the resources used, and the actual or expected results including economic impact. A signed statement from the success story client(s) of his/her consent for use of the success story by SBA must be kept on file. (See Success Story Writing Guide in Appendix I.)

1300 TRAVEL

Provide a description of any unplanned or unbudgeted out-of-state travel for Lead and service centers not disclosed in the cooperative agreement.

1400 PROBLEMS

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

1500 FINANCIAL REPORTS

Furnish copies of SF-269 and SF-272, SBA Form 2113 and any requested attachments as required.

1600 WOMEN-OWNED BUSINESSES

Describe activities targeted to women-owned small business, such as the Women's Network for Entrepreneurial Training (WNET) program, cooperation with the Women's Business Centers, and any seminars or specialized consulting approaches.

1700 ECONOMIC IMPACT

Provide the economic impact generated from the assistance you have given your clients during the budget year using the following format:

Customer Satisfaction: _____%

Business Start-ups: _____

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Start-Up firms remaining in business after one year _____

Jobs: Created # _____
 Retained # _____

Sales: \$ _____

Taxes: State \$ _____
 Federal \$ _____

Loans: SBA # _____ \$ _____
 Non-SBA # _____ \$ _____

Non-Debt Financing \$ _____

1800 VETERAN AND SERVICE CONNECTED-DISABLED VETERAN -OWNED
BUSINESSES, RESERVISTS ON ACTIVE DUTY AND OTHER RESERVE
COMPONENT MEMBERS OF THE U.S. MILITARY

Describe activities targeted toward veteran and service connected-disabled veteran owned businesses, as well as Reservists and National Guard members called to active duty, such as: Veteran Entrepreneurial Training Programs, summits for veteran business owners, activities in conjunction with the Department of Veterans Affairs Vocational Rehabilitation and Employment Services, Employer Support of the Guard and Reserve (E.S.G.R.) and National Guard State Adjutants, DELTA Program, base closing and RIF counseling.

1900 MANUFACTURING

Report activities related to providing assistance to manufacturing companies or their employees, including displaced manufacturing workers. Include all efforts and support to troubled companies, companies challenged by foreign competition, NAFTA and foreign labor alternatives. Also include activities related to cooperation efforts with other local organizations or government units concerned with manufacturing issues, including, but not limited to, the National Institute of Standards and Technology's (NIST) Manufacturing Extension Partnership (MEP) Program.

2000 ONLINE ACTIVITY

Report activities and accomplishments which demonstrate use of web-based technology to enhance direct client service delivery. This would include the use of online counseling (e-mail and real-time) and training, online expert systems or diagnostic tools to identify needed services, audio or video streaming, electronic

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registrations and scheduling, webinars, and other targeted uses of the Internet to facilitate delivering information to clients more cost effectively.

6.1.3 Annual Performance Report

The SBDC service center must provide an original via hardcopy and email of the annual programmatic report to the Lead Center Director within 30 days of completion of the previous budget year. This report should be in the same format as the quarterly report and should represent the consolidated effort of the entire SBDC service center, including satellites. Third and fourth quarter information should be included as necessary.

Failure to submit this report accurately and in a timely manner could jeopardize future funding.

The Annual Performance Report should include the following:

- (A) An overall summary of the activities reported in the semiannual report including a description and explanation of objectives in the Cooperative Agreement that were met or exceeded, as well as an explanation of those objectives not fully met;
- (B) A description of any new resources developed by the SBDC;
- (C) Overall observations, difficulties encountered, and recommendations for improving SBDC services; and
- (D) Economic impact data, e.g., jobs created, tax dollars generated; and
- (E) Number and description of informational services, requests and referrals received by the SBDC network that do not count toward consulting and training. This may include telephone assistance, electronic assistance, or any other assistance with a duration of less than one hour.

6.2 Annual Reviews

The SBA Project Officer and Lead Center Director will conduct simultaneous reviews of each service center on at least an annual basis. The review will cover all aspects of consulting, training, file management, and financial management and documentation. Each service center director shall receive at least fourteen (14) days notice prior to the review date.

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6.3 Examinations and Accreditations

As outlined in 15 USC 648(k), biennial program and financial examinations of SBDCs are conducted by SBA's Office of Small Business Development Centers. A certification program is currently operated by the Association of Small Business Development Centers. As required by the Small Business Act, the SBA may not renew or extend any cooperative agreement with an SBDC unless it has been approved under the certification program. Where conditions have been imposed as a result of the certification process, a proposal including a plan of work describing actions to be taken and a timeframe for meeting the specified conditions must be prepared by the SBDC. The AA/SBDCs may waive the certification requirement upon a showing that the SBDC is making a good faith effort to obtain certification.

7.0 SBDC FINANCIAL REQUIREMENTS AND PROCEDURES

7.1 Budget Period and Categories

Each service center's federal budget is on an annual (calendar year) basis. The following are the budget categories for reporting of Orange County/Inland Empire District SBDC network expenditures and cost sharing match:

Personnel:	For each position of the SBDC, show Federal, Match, Annual Salary, Number of months, Level of Effort in Percentage, and Total Amount used as the basis to estimate personnel costs. For key personnel, list name and position title. For SBDC employees who are not key persons or personnel to be hired only position title is required.
Fringe Benefits:	Show fringe rates for full-time and part-time staff. Do not include fringe cost in the total amount required for personnel.
Travel:	Provide purpose for in state and out of state travel. For local travel not requiring preauthorization provide total anticipated mileage and mileage rate. For travel requiring preauthorization, itemize destinations, mode of transportation, airfare or other transportation rates, number of trips, and number of travelers. Prior approval of the SBA is required for foreign and unplanned out-of-state (not in approved budget) travel.
Equipment:	List items costing \$5,000 or more. The recipient organization must maintain an inventory including cost and detailed description of each item. Equipment inventory must be made available upon request of the SBA.
Supplies:	Show anticipated cost of supply items such as general office, operational, computer supplies, and other supply items costing less than \$5,000. The recipient organization must maintain an inventory of controlled supplies of higher dollar value or high potential for loss such as projectors, cell phones, furniture, etc., and it must be made available upon request of the SBA.
Contractual:	Should service center propose sub-contractual cost, please provide budget details, such as statement of work, number of hours and rate of pay. Separate budgets (i.e., form 424A and budget justifications) are only required for Lead Center subcontracts with individual service center. Do not show indirect cost on contractual line. Service Center indirect cost must be shown on line j column 4 of the 424A.

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Consultants:	There may be an error on form 424A showing "construction" instead of "consultants" category. Please indicate consultants cost on that line for construction. Specify the consultant's purpose and indicate the number of hours and rate of pay.
Other:	This category may include, but is not limited to computer software, copying, postage, printing, publications, subscriptions, dues; telephone, conference fees, and office space (indicate square footage).
Indirect cost:	Indicate the indirect cost amount on budget justification line j and 424A, line 6j. Show indirect cost rate and method used to calculate indirect cost. You may obtain the Indirect Cost Allocation Worksheet from the SBDC website at www.sba.gov/sbdc . You may break out Lead Center Indirect vs. Contractual (Service Center) Indirect on line 23, Remarks. A copy of the Indirect cost rate agreement (ICR) approved by your cognizant agency for audits must be provided, including the signature page of the agreement to support indirect charges. The same rate approved under the ICR must be used to calculate indirect cost. Cash match does not include indirect costs, overhead cost or in-kind contributions. If the Lead or service center does not have an indirect cost rate agreement, please contact the Project Officer at the SBA District Office.

7.2 Budget Preparation

Budget proposals for the upcoming funding period must be submitted with the Annual Business Plan no later than July 1 of the current year and are subject to modification and approval by the Lead Center Director.

7.2.1 Lobbying and Membership Dues

There is a broad federal restriction on all grantees of the federal government, which prohibits the use of federal appropriated monies to lobby Congress or agencies concerning certain specified federal actions. 31 U.S.C. § 1352 (also known as the Byrd Amendment). In addition, OMB cost circulars (A-122 at §25 and A-21 at §24) provide that the use of grant funds for lobbying activities are generally unallowable costs. Reference should be made to the OMB Circulars, which set forth the unallowable activities as well as the limited activities that are allowed.

The use of grant funds to pay the costs of organizational membership in business, technical and professional organizations, including the ASBDC, are allowable expenses. However, dues paid with federal, matching, or program income funds cannot be used, directly or indirectly, for lobbying activities prohibited by the Byrd Amendment or the OMB Circulars. The only source of funds, which SBDCs may use to pay that portion of membership dues allocated to lobbying, is overmatch (other funds not declared as match). SBDCs must be able to document the source of any funds used for lobbying, whether directly or indirectly through dues.

7.2.2 Justification of Costs

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All proposed costs require justification and narrative explanation.

7.2.3 Subcontracting

No subgranting is allowed. All subcontracting awarded as a result of this Agreement will be in accordance with OMB Circular A-110, Subpart C - Post Award Requirements, Procurement Standards; and/or 13 CFR 143.36 and 13 CFR 143.37.

7.3 Procurement Standards

All procurement transactions shall follow host policy, and be conducted in a manner to provide, to the maximum extent practical, open and free competition. Positive efforts shall be made to utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible.

Any transaction for goods or services for an amount in excess of \$5,000.00 shall require an open bidding process, with a minimum of three (3) proposal submissions unless stipulated differently in written host policy. The proposals shall be submitted to the Lead Center for review and approval prior to award.

7.4 Budget Modifications

Budget modifications are allowable as follows:

- 1) Modifications for object cost category changes in excess of ten percent (10%) of the service center's budget may be made once per calendar year.
- 2) Additional variations for either increases or decreases in cash match or in-kind funds, regardless of amount, shall be submitted for written approval by the Lead Center Director or designee.
- 3) All requests for modifications to the approved budget shall be submitted in writing to the Lead Center Director or designee and must include an SBDC Budget Modification Form. The Lead Center Director or designee shall, within fourteen (14) working days from the date of receipt of the service center director's written request, provide the service center director with a written approval or disapproval of the request.

No requests for variations shall be submitted to the Lead Center after November 1 of the current funding year. Requests for modifications submitted after this date are automatically disapproved.

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7.5 SBDC Payment Request and Expenditure Summary

California State University Fullerton Auxiliary Services Corporation reimburses centers for expenditures of federal funds allocated through the Lead Center on either a monthly or quarterly basis, depending on the individual center's subcontract. In no event shall the SBDC service center request reimbursement for obligations entered into or for costs incurred prior to or after the current funding period.

SBDC service centers must submit the monthly/quarterly Invoice, including those for federal, cash, in-kind and program income, detailed ledgers for the same period, as well as all supporting documentation for reported matching funds.

Federal and Cash Match expenditures must be kept in separate accounts and clearly identifiable.

7.6 Cash/In-Kind Match Requirements

The SBDC network must provide matching funds equal to the total amount of Federal funding received. No less than fifty percent of the required contribution will be in cash. This cash outlay must not include indirect costs, in-kind contributions, or program income derived from activities supported in whole or in part with Federal or match funds. Direct cash match committed by the Lead Center or service center (i.e. personnel services, fringe benefits, consultants) may be included in the cash match only to the extent that these costs were committed as part of the specific direct line item costs verified by the Certifying Representative prior to funding.

Further, the cash match shall not include: (1) funds contributed from other Federal sources [see exception below]; (2) program income or fees collected from recipients of assistance, whether collected by the Lead SBDC, service centers or any other participants in the SBDC network; or (3) amounts committed by the SBDC network for unidentified and/or contingent costs in the budget proposal.

There is one exception to not allowing Federal funds as cash match. Community Development Block Grant (CDBG) funds received from the Department of Housing and Urban Development are allowed when: (1) the SBDC activities are consistent with the authorized CDBG activities for which the funds were granted; and (2) the CDBG activities are identified in the Consolidated Plan of the CDBG grantee or in the agreement between the CDBG grantee and the subrecipient of the funds.

The cash match must be committed up front and identified by source, amount, and account number in the SBDC budget proposal. In addition, the contributors, requirements, specifications, or deliverables must be clearly identified in the proposal. The cash match account (as well as SBA Federal Funds) allocated to the SBDC Program, must be under the direct management of the Orange County/Inland Empire

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Lead Center or service center Director. However, SBDC organizations are not required to establish separate bank accounts solely for SBDC purposes. The availability of this cash contribution for SBDC Program operations must be certified by the official from the applicant organization who signs the Federal Assistance Form (SF-424).

Match must be expended in accordance with SBDC program requirements and applicable OMB Circulars.

If the state is providing part of the cash match, the Certifying Representative must verify that these funds have been appropriated prior to award of the Cooperative Agreement. However, in situations where state appropriation cycles prohibit total compliance prior to award of the Cooperative Agreement, the Certifying Representative shall verify that sufficient upfront cash match will be available from the state or other sources, prior to any withdrawal of Federal funds.

In-kind match must be reported on at least a quarterly basis on the monthly/quarterly Invoice and must be received with all supporting documentation. Supporting documentation includes signed affidavits which verify amounts of in-kind contributions. (See In-Kind Affidavit, Instructions, and In-Kind Valuation Schedule in Appendix J.)

Support for in-kind costs (Contributions, when used as match, must be documented showing the name of donor, phone number, signature of donor, date of donation, justification of the value of goods or services {hours with labor rate of services} and narrative description of service provided or item donated.) OSBDC has implemented the following policy regarding in-kind contributions:

- Contributions may include, but are not limited to, cost items such as time and materials, office space, and equipment.
- A bona fide contribution exists and may be claimed when the source of the donation has no reasonable expectation of compensation such as a requirement that the contribution be made as a provision in a contract or purchase order for the products or service.
- Paid SBDC staff, i.e. host employees, are not eligible sources of in-kind contributions over and above the remuneration of salaries and benefits provided by the host organization.
- SBDC support documentation must include the following: dated and signed statement from the donor identifying the specific nature of the donation, contact information, and indicating that no additional remuneration is expected. Donor documentation may resemble an invoice with those provisions.
- The SBDC must document the annual basis for valuing the donation in a clear manner such as the following: 3 bids or quotes in response to a competitive procurement process for similar cost items; sales literature, price catalogs; published schedules; or documented pricing for similar cost items previously paid for by the host institution.

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- The total value of paid and donated services from each donor must represent a reasonable value to the government and be consistent with the procurement policies and standards of the host institution.
- Indirect costs are not allowable for cash match. Waived indirect shall be calculated as a non-cash match item.

In order to comply with the requirements stated above and in the program announcement, the Orange County/Inland Empire SBDC Network has adopted the following In-Kind Contribution Valuation Schedule into the SBDC Network Policies and Procedures and is updated annually. The following in-kind valuation schedule shall be used in conjunction with the In-kind Affidavit form to claim contributions of in-kind match to the SBDC network program in lieu of additional supporting documentation to adequately value the contribution, such as; three bids or quotes in response to a competitive procurement process for similar cost items; sales literature, price catalogs; published schedules; or documented pricing for similar cost items previously paid for by the host institution.

7.7 SBA Requirement for Allocation of Federal Funds

SBA requires that at least 80 percent of Federal dollars provided through the Cooperative Agreement must be allocated to the direct costs of the program.

7.8 Carryover Requests

The Lead Center Director may request approval to carry over a Federal unobligated, unexpended balance to the next budget period to make it available for spending during the next period. Carryover of unexpended funds is permissible only if funds are to be used for a non-recurring, non-severable project or activity within the scope of the SBDC program.

Carryover requests must consist of the following: (1) SF-424, budget pages, and justification; (2) narrative indicating why the funds were not expended during the period in which they were awarded; (3) SBA District Office approval; and (4) evidence of match.

The match requirement for carryover funds can be met by using unexpended overmatch from the current budget year, an increase in funds pledged by the SBDC, or overmatch from the year funds were carried over from or a combination of both.

A carryover request must be made at the time of submission of the final SF-269 (no later than 90 days after the end of the budget period) or the de-obligation process will begin. Approved carryover requests require the issuance of a revised Notice of Award. The Lead Center must document that carryover funds are spent to support the activities outlined in the carryover request.

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Carryover funds must be accounted for separately from Federal and Cash Match expenditures.

7.9 Program Income

Program income must be used to further the objectives of the SBDC program and cannot be used for other purposes by centers while participating in the SBDC program or after leaving the SBDC program. SBDCs must expend any program income which exceeds 25 percent of the SBDC's total budget (SBA federal funds and matching funds) by year end. Any remaining program income may be carried over to subsequent budget periods to be utilized to further program objectives. SBDC Program recipients are responsible for establishing a separately identifiable program income account to facilitate financial reporting. All program income must be reported on SBA Form 2113 (Program Income Report). The SBDC will include as an attachment to the SF-269 the SBA Form 2113 and a narrative description of how program income was used to further eligible program objectives.

7.10 Contract Close Out Package

The following general guidelines on closing out contracts are provided to assist SBDC service center directors in establishing systems to ensure contract compliance, expedite, the close-out process, document successful completion and close the contract file in a manner that will provide an audit trail.

Below is a listing of the required documentation for the close-out of a contract:

- A. A final invoice of all expenditures for the contract period. This final invoice must agree with the final budget.
- B. A revised budget (if necessary) reflecting actual expenditures using the Budget format.
- C. A narrative on the accomplishments achieved through the contract funding, special projects completed, milestones achieved by category and any other highlights of the service center's performance for the contract period.
- D. Detailed inventory list of SBDC property. This list should include: furniture, equipment, computers, software, telephone systems, copy machines, etc. with a purchase price/value in excess of \$500 and listed in a format consistent with Appendix R SBDC List of Equipment & Other Property.
- E. List of all SBDC equipment. All items purchased with SBDC funds (federal, cash match or in-kind donations) remain the property of the SBDC program. Inventory must be tagged with labels. Inventory lists must be kept current and may be requested at any time.
- F. Required reports (i.e. Quarterly, Special Projects, etc.)

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7.11 Miscellaneous Financial Requirements & Procedures

Additional guidance related to financial requirements pertaining to sponsorships, events, Faculty, and Clients is listed below.

Sponsorships:

Per OMB Cost Principles at 2 CFR 220, Appendix A, J. 15, the SBDC cannot sponsor or be perceived as a sponsor of an event. Sponsorships are unallowable expenses under OMB guidelines. The SBDC can purchase a table at an event that provides professional development training for staff and is in alignment with the network's strategic plan. Seating priority will be given to SBDC staff within the SBDC network.

Events:

The costs of meetings and conferences, the primary purpose of which is the dissemination of technical information, are allowable. This includes costs of meals, transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences per OMB-A21 Section J, 32. Meetings & Conferences.

The SBDC may host an event in partnership with other organizations as long as the SBDC is seen as the primary host of the event with prominent logo placement, along with shared costs and contribution by partners and sponsors involved in the event. The burden of expenses shall not be placed on the SBDC to pay for the entire event.

Working with Faculty:

If the SBDC needs specific work done that a faculty member can execute for the SBDC, the SBDC will pay equal to the faculty member's hourly/salaried rate and no more than that rate- Any amount greater than the faculty member's base rate of pay for their primary assignment is unallowable.

The SBDC network is required to ensure that effort expended on sponsored activities is certified. The effort reporting system assures federal sponsors that salaries and wages are consistent with the effort devoted to the projects they sponsor. Thus, the faculty member must provide time and effort forms with the dates and times equal to the time spent on the project. The SBDC will not pay the faculty member if time and effort forms and dates do not match the effort and date range spent to complete the project.

Clients:

The SBDC cannot be perceived as investing in anyway in a client's business. This includes: purchase of or gifting of services, admission to an event, purchasing of a meal for the client, etc.

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7.12 Region Office Financial On-Site Reviews

Per the terms and conditions of this award, the California State University Fullerton-Auxiliary Services Corporation (CSUF-ASC), as the recipient of a federal award from the U.S. Small Business Administration, is required to monitor its sub-awards and to provide administrative oversight. Records and documentation pertaining to this award are required to be maintained for review for up to three years after the close of a grant year. The purpose of the review by the CSUF-ASC is to locate any problematic areas so that they may be corrected. If unallowable expenditures are noted during the review, adjustments in invoicing will be required. It is assumed that each service center's host institution is familiar with the relevant federal regulations and the specifics of the contract issued by CSUF-ASC to them, and that appropriate systems are in place to ensure compliance with all applicable regulations and requirements.

The Director of the Office of Sponsored Programs or his/her designee will typically perform all on-site reviews. The financial review consists primarily of the review of expenditure documents, including payroll records, and host financial statements as provided by the center, for both federal and match expenditures. Program income accounts will also be reviewed, as will policies and procedures on procurement, travel, cash handling, property management, and time and effort systems. Interviews will be conducted with various personnel who prepare service center invoices, initiate and/or approve expenditure documents, perform bookkeeping functions, or review and approve invoices submitted to CSUF-ASC for reimbursement. This may include personnel at the host institution's central administration level who are involved in the preparation of the center's invoice, so those individuals should be available during the review.

(See in Appendix J.)

Subrecipients will be reviewed using as standards the requirements of the OMB Circulars applicable to all subrecipient awards under the SBA award to CSUF-ASC, and the terms and conditions of the subrecipient agreement.

1. The Director of the Office of Sponsored Programs or her designee will then perform the following activities using financial records provided by the center under review:
 - 1) comparison of budgeted expenses to actual expenses,
 - 2) review of selected expenditure source documentation, including payroll and paid benefit documentation,
 - 3) comparison of invoice amounts to federal and matching expenditure source documentation, as well as to institutional financial records,
 - 4) re-calculation of certain total figures, indirect costs if applicable, re-budgeting percentages, and other calculations;

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- 5) review of any in-kind match documentation,
- 6) review of institutional documents such as indirect cost agreements and proposals, general ledger account summaries and transaction listings, property inventory listings, and time and effort reports, written administrative policies as exist.
- 7) review of program income records to amounts reported to CSUF-ASC, and
- 8) interview personnel to determine systems and internal controls.

2. Standards of Comparison. Specifically, all federal and matching account expenditures and/or accounting entries for the selected months are reviewed for comparison to the following standards:

- 1) **Invoice amounts** coincide with institutional financial statements (disbursement records).
- 2) **Federal funds** are established in a separate account under the direct control of the director, and are not co-mingled with any other project activity.
- 3) **Matching funds** are established in a separate account under the direct control of the director, and are not co-mingled with any other project activity, or are established in the same account with federal funds for the SBDC, separate from any other project activity.
- 4) Account **reconciliations** are performed routinely to ensure only authorized expenditures were posted to SBDC ledgers.
- 5) **Budget classifications** used are correct and re-budgeting is within the 10% allowed.
- 6) **Salary charges** match time and effort records, timesheets, and institutional payroll disbursement records.
- 7) **Leave reports** are generated and reconcile back to leave requests.
- 8) **Time and effort** documents meet OMB cost circular requirements, including frequency and appropriate certifications.
- 9) **Expenditures comply** with OMB cost circulars – Section J.
- 10) Clear **description and benefit** is evident on expenditure source documents.
- 11) **Cost splits** between accounts, if done, are reasonable.
- 12) **Travel** requests are approved in advance by the supervisor, reimbursements are approved by the supervisor and include the purpose and benefit of the travel; **Mileage logs** include the purpose and benefit of local travel as well as destination information for mileage verification purposes.
- 13) **Source documents** reflect that expenditures are approved by the center director.
- 14) Expenditures are within the **proper budget period**.
- 15) **Fringe benefits** are supported by institutional documentation.
- 16) **Long distance records** are certified as being business related and reconcile to charges on ledgers.
- 17) **In-kind matching** documentation, if applicable, fully supports reported amounts, are reasonable, the depreciated amount of equipment has not been exceeded, and items are not duplications of costs included in negotiated indirect cost

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calculations (where one exists).

- 18) **Program income** is established in a separate account under the direct control of the center director; that accounting records reflect revenue, expenditures and balances reported to the UH; and that procedures exist to ensure all revenue is received by the SBDC; and that fund balances are made available to the center director at the beginning of each fiscal year.
- 19) **Property management** system complies with OMB administrative circulars and a spot check of physical inventory is successfully completed
- 20) **Equipment** purchases were approved either in the proposal budget or by letter from the CSUF-ASC.
- 21) Where applicable, the latest **indirect cost** proposal is available for review to review for duplication of costs between direct and indirect.
- 22) Host institution **written policies** for compensation, travel, purchasing, cash handling and property management are adequate to ensure appropriate administrative oversight of program funds and that those policies and procedures are enforced.

After the completion of the review, the Director of the Office of Sponsored Programs or her designee, will discuss any issues or concerns with the center director. A report of finding and recommendations will be issued to the center director. Some findings may need correction at the institutional level. In this case, the center director should distribute the report to all appropriate personnel for review. The center director should respond to the findings as listed in the center financial review report (unless no findings were made), providing a timetable for resolution of all issues cited in the report.

Center Directors are encouraged to contact the Director of the Office of Sponsored Programs or her designee, regarding questions or procedures of a financial or administrative nature at any time

Cost allowability as applied to the CSUF-ASC Small Business Development Centers as established under a Federal program funded by the US Small Business Administration under 2 CFR Part 200:

Allowable Direct Costs

Advertising-personnel recruitment
Advertising-procurement of goods/services
Communications costs-long distance
Compensation for personal services
Equipment-special purpose (qualified)
Fringe benefits
Insurance (qualified - some IDC)
Maintenance and repair costs
Material Costs-supplies and fabricated parts
Professional activities-meetings/conferences
Subscriptions-business/professional
Patent costs
Professional Services
Rearrangement and alteration costs
Reconversion costs

Unallowable Direct Costs

Advertising-convocations
Advertising-promotional items
Advertising-promote the institution
Alcoholic beverages
Alumni activities
Bad debt
Civil defense
Coffee Bar Expenses
Commencement
Contingency contributions
Defense or prosecution costs-criminal or civil-
(qualified)
Depreciation / use allow (norm. IDC)
Donations and Contributions-value
Employee morale, health, welfare (norm IDC)

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Recruiting costs
Rental costs of buildings and equipment (qualified)
Royalties (qualified)
Sabbatical leave costs (qualified)
Severance payments (qualified)
Specialized service facilities (qualified)
Taxes
Transportation costs
Travel costs (qualified)
Termination costs of agreement (qualified)

Entertainment
Fines or Penalties
Goods or service for personal use
Housing and personal living expenses
Interest, fund raising and invest mgmt costs
Labor relations costs (normally IDC)
Lobbying
Losses on other sponsored agreements
Memberships-civic or community org.
Memberships-social or dining club
Promotional items – T-Shirts, mugs
Proposal Costs -(normally IDC)
Scholarships and student aid costs
Student activity costs
Trustees - travel or subsistence
Water Coolers/Bottled Water for offices

Allowable as a Direct Cost-Major Program (normally treated as an indirect cost)

Communications - local telephone costs
Memberships-professional organizations
Office supplies
Postage

May be allowable as a Direct Cost - if included in proposal only or prior approved by SBA

Advertising-costs of displays/exhibits (qualified)
Advertising-costs of meeting rooms (qualified)

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8.0 RECORDKEEPING REQUIREMENTS

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

In addition to the performance, financial, and program reports already mentioned in this announcement, you must maintain the following reports:

8.1 Counseling Activity Reports

All SBDCs are required to collect the information currently requested on SBA Form 641 or an equivalent form that supports SBA's management information database.

They are also required to adhere to the following:

Compliance with legislation passed by the Congress and Executive Orders issued by the President, Federal executive agencies, including the Small Business Administration (SBA). Regulations and policies implementing these laws and Executive Orders can be found in Title 13, Code of Federal Regulations (CFR), Chapter 1, or SBA's Standard Operating Procedures (SOPs). In order to provide the required notices, the following is a brief summary of the various laws and Executive Orders that affect SBA's entrepreneurial development programs.

Paperwork Reduction Act (44 U.S.C. § 3501)

SBA is collecting record keeping information on form OMB 83-I in order to facilitate business assistance services to its clients and for agency analyses related to the operation and management of the entrepreneurial development programs. Periodically, the SBA may use the information collected on this form to produce summary reports for program and management analysis, as required by law. SBA also intends to use the individual client data to select participants for follow-up surveys designed to evaluate SBA assistance services.

PLEASE NOTE: The estimated burden for completing this information is 3 minutes. Your responses to the requested information are voluntary under these programs. You are not required to respond to the questions on this form if it does not display a currently valid OMB control number. If you have questions or comments concerning any aspect of this information, please contact the U.S. Small Business Administration Information Branch, Washington, DC 20416 and/or Desk Officer for the Small Business Administration, Office of Management and Budget, Office of Information Regulatory Affairs, 725 17th St., NW, Washington, DC 20503.

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Privacy Act (5 U.S.C. § 552)

Any person can request to see or get copies of any personal information that SBA has in the requestor's file, when that file is retrieved by individual identifiers, such as name or social security number. Requests for information about another party may be denied unless SBA has the written permission of the individual to release the information to the requestor or unless the information is subject to disclosure under the Freedom of Information Act.

Note: Any person concerned with the collection, use and disclosure of information, under the Privacy Act may contact the Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, Suite 5900, 409 3rd St, SW, Washington, DC 20416 for information about the Agency's procedures relating to the Privacy Act and FOIA.

Freedom of Information Act (5 U.S.C. § 552)

This law provides, with some exceptions, that SBA must supply agency records, (i.e., information in its files and records) to a person requesting it. This generally includes statistical data on SBA's business assistance programs, which are in the aggregate. SBA does not routinely make available a client's proprietary data (without first doing pre-notification, as required by Executive Order 12600), or information that would cause competitive harm or constitute a clearly unwarranted invasion of personal privacy.

Address a request under this Act to the appropriate SBA office and identify it as a Freedom of Information Act request. For information about the Freedom of Information Act, contact Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, 409 3rd St., SW, Suite 5900, Washington, DC 20416.

Agreement:

"I request business management counseling from a Small Business Administration resource partner, the Small Business Development Center. I agree to cooperate should I be selected to participate in surveys designed to evaluate SBA assistance services. I understand that any information received by an SBA resource partner counselor will be held in strict confidence by the counselor to the extent allowable by law.

I further understand that SBA resource partner counselors have agreed not to: (1) recommend goods or services from sources in which the individual counselor has an interest; and (2) accept fees or commissions developing from any SBA

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resource partner counselors. In consideration of the provision of management and/or technical assistance by a resource partner counselor, I agree to waive all claims arising out of this assistance, against SBA personnel, the resource partner from whom I sought assistance, its host organizations, and the counselor(s) arising from this assistance."

These forms shall be retained in accordance with current OMB and SBA requirements.

SBDCs are responsible for reporting all counseling activities on SBA Form 1062, "Business Development Counseling Record," or SBA Form 641, "Counseling Information Form" or an equivalent form that supports SBA's management information database. Copies of these forms must be retained at the SBDC and available for review by the SBA. An electronic version of these forms may also be used as long as the data elements are the same.

8.2 Training Activity Reports

SBDCs utilize SBA Form 888, "Management Training Report" or similar program developed form to report small business management training activities. The SBA Form 888 should be prepared by the SBDC when the SBDC is responsible for managing a training activity. SBDCs may use a computerized version of this report.

Reporting Co-hosted (Collaborative) training:

When reporting training numbers for a co-hosted training, the hosts (SBA and ED resource partners) must work together to determine how to equitably divide the number of clients among themselves. Double counting of clients is not permitted.

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

- A) If each resource partner contributes a significant amount of presentation time (defined as one hour or more per partner), then each host could count all attendees.

Accordingly, if five partners co-hosted a training event with five hours of total presentation time (each partner delivering training for at least one hour) and fifteen persons attended the event, each partner could count fifteen persons trained for one hour each.

- B) If each partner puts in less than one hour (per partner) of presentation time, the attendee count would be divided among the hosts based on mutual agreement.

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Accordingly, if five partners co-hosted a training event with 1.5 hours of total presentation time (each partner delivering training for less than one hour) and fifteen persons attended the event, the partners would negotiate how to divide the number of attendees (e.g., each partner could count three persons trained for 1.5 hours).

Reporting Training with Multiple Sessions (Temporary Operating Definition for FY2007):

Each session of a multiple-session training program or course may be counted as an individual course on SBA Form 888. Sessions must correspond with the minimum training duration identified in the definitions listed above.

SBDC's will submit all training information from the SBA Form 888s or equivalent form quarterly to SBA's EDMIS2 system.

The list must be certified with the signature of the State/Region Director. The SBA Form 888 or similar program developed form must be maintained at the SBDC for review by the SBA Project Officer.

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APPENDIX A: Conflict of Interest Agreement

CONFLICT OF INTEREST POLICY AND AGREEMENT

Part A

Revised May 18, 2012

Regulations of the United States Small Business Administration (SBA) set forth the basic requirements for conflict of interest policy. With regard to Small Business Development Centers, it is stated in 13 CFR 130.330 that "The Lead Center and other SBDC service providers must have a conflict of interest policy applicable to their **SBDC consultants, employees, instructors and volunteers.**"

Further guidance with respect to conflict of interest policy can be found in the SBA Program Announcement for Renewal of the Cooperative Agreement for Current Recipient organizations. It is stated in the announcement that:

"Each SBDC network must have a written conflict of interest policy which is signed annually by all employees, consultants, instructors and volunteers of the SBDC network. The policy must include enforceable elements safeguarding the SBDC program from the actual or apparent conflict that could result from:

- Personal gain, remuneration or pecuniary interest in a past or current SBDC client(s).
- The solicitation or acceptance of any gift, loan, reward, equity in a business, compensation or other monetary remuneration, promise of future employment.
- A compensated recommendation for any goods or services to an SBDC client.
- Soliciting or accepting a compensated position for services which are part of the SBDC network services.
- Disclosing any private or confidential business or personal information to a third party other than SBA without written consent of the client."

Each SBDC Network has a responsibility to establish a conflict of interest policy that is acknowledged and signed **each year** by employees, consultants, instructors and volunteers. Likewise, each consultant and each client must sign a Form 641 Counseling Information Form.

In order to comply with the requirements stated in the regulations and program announcement, the Orange County / Inland Empire Lead Small Business Development Center has adopted the following policy into the SBDC Network's Policies and Procedures. With regard to Standards of Conduct, the Lead Center policy states that "Each SBDC must have a conflict of interest policy which is disseminated to all employees, consultants, instructors and volunteers of the SBDC network with access to confidential client information through the SBDC client activity tracking system known as WebCATS."

By signing this Agreement, SBDC staff and volunteers with access to confidential client information through the SBDC client activity tracking system known as WebCATS (collectively "Personnel") agree to be bound by the following terms and conditions:

- Personnel shall not enter into any agreement, contract, or partnership with any SBDC active client, inactive SBDC client, or Affiliated Entity for a period of 90 days

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from the date the client ceases to be an active client (the "Restricted Period"). An Affiliated Entity is defined as an entity in which a client, an entity controlled by client, or a family member of client holds more than 20% ownership or control. In the event a client wishes to engage with a SBDC consultant prior to the end of the Restricted Period, Part B of the Conflict of Interest Policy and Agreement form must be completed and submitted to the Regional Director for review and approval. The Regional Director will review and approve/disapprove requests on a case by case basis.

- Personnel are prohibited from deriving any personal financial gain, remuneration, or pecuniary interest from a SBDC client or Affiliated Entity while the client is active or during the Restricted Period unless an approved Part B of the Conflict of Interest Policy and Agreement for client(s) is in place.
- Personnel shall not recommend to clients the purchase of goods and/or services in which they have a personal interest; solicit or accept fees or commissions from third parties who have supplied goods and/or services on the recommendation of the SBDC personnel; accept fees, commissions, or gifts of any value from the client for services rendered through the Orange County / Inland Empire SBDC Network; or solicit or accept the private engagement of services or future employment at any time during the term of engagement with the SBDC client and the Restrictive Period.
- Personnel shall treat all client information with the strictest degree of confidentiality during and after employment with the SBDC and shall only use the information as it relates to his or her work with the SBDC. Additionally, SBDC personnel will not disclose any confidential client information to third parties other than the SBA, without the written consent of Client.

I HAVE READ THE FOREGOING CONFLICT OF INTEREST POLICY AND AGREEMENT, I AGREE TO ITS TERMS, AND MY ACTIONS HAVE BEEN AND WILL CONTINUE TO BE GUIDED THEREBY.

DATE

STAFF/VOLUNTEER

DATE

SBDC DIRECTOR

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CONFLICT OF INTEREST POLICY AND AGREEMENT
Part B- CLIENT-SBDC RELEASE FORM

(To be completed by SBDC client)

I, _____, (*Client*) have recently requested consulting from or have been a client of the _____ SBDC (*SBDC*); In the course of working with the SBDC, I worked with, _____ (*Consultant*) who is a consultant for the SBDC. I have independently, and of my own free will, decided that I would like to retain the consultant to privately work with me on developing my business. I understand that the SBDC does not charge any fees for consulting services and that any contractual relationship that I enter into with the consultant is entirely between me and the consultant and is totally independent of my request for assistance from the SBDC. In order to avoid any possible conflict of interest on the consultant's part, or any appearance of impropriety, I hereby release the SBDC from any responsibility related to this arrangement and ask that a signed copy of this request be placed in my SBDC client file.

Please provide a brief description of the nature of the service(s) is to be rendered:

In consideration of the foregoing, I understand that the scope of services I may receive from the SBDC is limited to any area for which you provide assistance other than <list areas, be specific i.e. government contracting, on-line marketing/social media, etc.>. I understand that this does not limit my ability to utilize the SBDC for other types of business assistance that the SBDC offers.

Client Name (Print or Type)

Client Street Address City State Zip

Signature Date

Acknowledged:

SBDC Director Date Consultant Date

Regional Director Date

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

APPENDIX B: Client Information Form – SBA FORM 641

Client Information Form

1. Name of the Office Providing the Service:

1a. Type of Client: ☐ Face to Face ☐ Online ☐ Telephone

2. City/State of Office Location:

PART I: Client Request for Counseling

3. Client Name (Last, First, MI)		4. E-mail Address	
5. Telephone Home: _____ Business: _____		6. Fax	
7. Street Address/P.O. Box		8. City	9. State
		10. ZIP Code	
<p>11. I request business management assistance from the Small Business Administration (SBA)/Small Business Development Center (SBDC). I agree to cooperate should I be selected to participate in surveys designed to evaluate SBA/SBDC assistance services. I authorize the SBA/SBDC to furnish relevant information to the assigned management counselor(s), although I expect that information to be held in strict confidence by him/her.</p> <p>I further understand that all counselors have agreed not to recommend goods or services from sources in which they have an interest. SBA/SBDC will not accept fees or commissions developing from this counseling relationship. By my signature below, and in consideration of the center's furnishing of management or technical assistance, I waive all claims against SBA, SCORE, California State University Fullerton, SBDC and its host organization.</p> <p>I understand that there are no warranties or assurances in connection with the counseling assistance.</p> <p>I permit SBA or its agent the use of my name and address for SBA surveys and information mailings regarding SBA products and services (<input type="checkbox"/> Yes <input type="checkbox"/> No)</p>			
12. Preferred date/time for appointment Date: _____ Time: _____		13. Client Signature Date: _____	

PART II: Client Intake (to be completed by all Clients)

14. Race <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Native American or Alaskan Native <input type="checkbox"/> Native Hawaiian or Pacific Islander <input type="checkbox"/> White		15. Ethnicity <input type="checkbox"/> Hispanic Origin <input type="checkbox"/> Not of Hispanic Origin	16. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	17. Person with Disability? <input type="checkbox"/> Yes <input type="checkbox"/> No																								
18. Veteran Status <input type="checkbox"/> Non-Veteran <input type="checkbox"/> Veteran <input type="checkbox"/> Service-Disabled Veteran		18a. Military Status <input type="checkbox"/> Member of Reserve or National Guard <input type="checkbox"/> On Active Duty																										
19. What inspired you to contact us? <input type="checkbox"/> SBA <input type="checkbox"/> Client/Word of Mouth <input type="checkbox"/> Chamber of Commerce <input type="checkbox"/> Bank <input type="checkbox"/> Magazine <input type="checkbox"/> Educational Institution <input type="checkbox"/> Business Owner <input type="checkbox"/> Internet <input type="checkbox"/> Local Economic Development Official <input type="checkbox"/> Television/Radio <input type="checkbox"/> Newspaper <input type="checkbox"/> Other: _____																												
20. Is the client currently in business? <input type="checkbox"/> Yes <input type="checkbox"/> No (if no, skip to 30)		21. Name of Company																										
22. Business Type <table border="0"><tr><td><input type="checkbox"/> Mining</td><td><input type="checkbox"/> Manufacturing</td><td><input type="checkbox"/> Real Estate</td><td><input type="checkbox"/> Professional Services</td></tr><tr><td><input type="checkbox"/> Utilities</td><td><input type="checkbox"/> Finance and Insurance</td><td><input type="checkbox"/> Health Care</td><td><input type="checkbox"/> Management</td></tr><tr><td><input type="checkbox"/> Information</td><td><input type="checkbox"/> Wholesale Trade</td><td><input type="checkbox"/> Accommodation/Food Services</td><td><input type="checkbox"/> Agriculture</td></tr><tr><td><input type="checkbox"/> Construction</td><td><input type="checkbox"/> Public Administration</td><td><input type="checkbox"/> Arts/Entertainment</td><td><input type="checkbox"/> Administrative Support</td></tr><tr><td><input type="checkbox"/> Retail Trade</td><td><input type="checkbox"/> Educational Services</td><td><input type="checkbox"/> Transportation/Warehousing</td><td><input type="checkbox"/> Waste Management</td></tr><tr><td></td><td></td><td></td><td><input type="checkbox"/> Other Services</td></tr></table>					<input type="checkbox"/> Mining	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Real Estate	<input type="checkbox"/> Professional Services	<input type="checkbox"/> Utilities	<input type="checkbox"/> Finance and Insurance	<input type="checkbox"/> Health Care	<input type="checkbox"/> Management	<input type="checkbox"/> Information	<input type="checkbox"/> Wholesale Trade	<input type="checkbox"/> Accommodation/Food Services	<input type="checkbox"/> Agriculture	<input type="checkbox"/> Construction	<input type="checkbox"/> Public Administration	<input type="checkbox"/> Arts/Entertainment	<input type="checkbox"/> Administrative Support	<input type="checkbox"/> Retail Trade	<input type="checkbox"/> Educational Services	<input type="checkbox"/> Transportation/Warehousing	<input type="checkbox"/> Waste Management				<input type="checkbox"/> Other Services
<input type="checkbox"/> Mining	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Real Estate	<input type="checkbox"/> Professional Services																									
<input type="checkbox"/> Utilities	<input type="checkbox"/> Finance and Insurance	<input type="checkbox"/> Health Care	<input type="checkbox"/> Management																									
<input type="checkbox"/> Information	<input type="checkbox"/> Wholesale Trade	<input type="checkbox"/> Accommodation/Food Services	<input type="checkbox"/> Agriculture																									
<input type="checkbox"/> Construction	<input type="checkbox"/> Public Administration	<input type="checkbox"/> Arts/Entertainment	<input type="checkbox"/> Administrative Support																									
<input type="checkbox"/> Retail Trade	<input type="checkbox"/> Educational Services	<input type="checkbox"/> Transportation/Warehousing	<input type="checkbox"/> Waste Management																									
			<input type="checkbox"/> Other Services																									
23. Business Ownership Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Male/Female (50/50)		24. Date Established	25. Business Online? <input type="checkbox"/> Yes <input type="checkbox"/> No	26. Home-Based Business? <input type="checkbox"/> Yes <input type="checkbox"/> No																								
27a. Full-Time Employees	28. For the most recent full year, what were your: Gross Revenues/Sales \$ _____ +Profits/-Losses \$ _____		29. Organization Type <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Corporation <input type="checkbox"/> LLC <input type="checkbox"/> Sub S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other: _____																									
27b. Part-Time Employees																												
30. Area(s) of Counseling Requested <table border="0"><tr><td><input type="checkbox"/> Start-up Assistance</td><td><input type="checkbox"/> Human Resources/Managing Employees</td><td><input type="checkbox"/> Marketing/Sales</td><td><input type="checkbox"/> Technology/Computers</td></tr><tr><td><input type="checkbox"/> Business Plan</td><td><input type="checkbox"/> Customer Relations</td><td><input type="checkbox"/> Government Contracting</td><td><input type="checkbox"/> eCommerce</td></tr><tr><td><input type="checkbox"/> Financing/Capital</td><td><input type="checkbox"/> Business Accounting/Budget</td><td><input type="checkbox"/> Franchising</td><td><input type="checkbox"/> Legal Issues</td></tr><tr><td><input type="checkbox"/> Managing a Business</td><td><input type="checkbox"/> Cash Flow Management</td><td><input type="checkbox"/> Buy/Sell Business</td><td><input type="checkbox"/> International Trade</td></tr><tr><td></td><td><input type="checkbox"/> Tax Planning</td><td></td><td><input type="checkbox"/> Other: _____</td></tr></table>					<input type="checkbox"/> Start-up Assistance	<input type="checkbox"/> Human Resources/Managing Employees	<input type="checkbox"/> Marketing/Sales	<input type="checkbox"/> Technology/Computers	<input type="checkbox"/> Business Plan	<input type="checkbox"/> Customer Relations	<input type="checkbox"/> Government Contracting	<input type="checkbox"/> eCommerce	<input type="checkbox"/> Financing/Capital	<input type="checkbox"/> Business Accounting/Budget	<input type="checkbox"/> Franchising	<input type="checkbox"/> Legal Issues	<input type="checkbox"/> Managing a Business	<input type="checkbox"/> Cash Flow Management	<input type="checkbox"/> Buy/Sell Business	<input type="checkbox"/> International Trade		<input type="checkbox"/> Tax Planning		<input type="checkbox"/> Other: _____				
<input type="checkbox"/> Start-up Assistance	<input type="checkbox"/> Human Resources/Managing Employees	<input type="checkbox"/> Marketing/Sales	<input type="checkbox"/> Technology/Computers																									
<input type="checkbox"/> Business Plan	<input type="checkbox"/> Customer Relations	<input type="checkbox"/> Government Contracting	<input type="checkbox"/> eCommerce																									
<input type="checkbox"/> Financing/Capital	<input type="checkbox"/> Business Accounting/Budget	<input type="checkbox"/> Franchising	<input type="checkbox"/> Legal Issues																									
<input type="checkbox"/> Managing a Business	<input type="checkbox"/> Cash Flow Management	<input type="checkbox"/> Buy/Sell Business	<input type="checkbox"/> International Trade																									
	<input type="checkbox"/> Tax Planning		<input type="checkbox"/> Other: _____																									
31. Describe specific assistance requested:																												

SBA Form 641 (5/04), Softshare revision 9/05

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Completing FORM 641

ITEM BLOCK 1

Name of the Office Providing the Service: Type the name of the SBDC Office that is providing you with service.

ITEM BLOCK 1a

Type of Client: Place a check mark next to the appropriate box.

ITEM BLOCK 2

City/State of Office Location: Type the city and state of the office location.

ITEM BLOCK 3

Client Name: Provide the client last name, first name and middle initial.

ITEM BLOCK 4

E-mail Address: Type the e-mail address in the space provided.

ITEM BLOCK 5

Telephone: Type the home and business telephone numbers in the spaces provided.

ITEM BLOCK 6

Fax: Type a fax number in the spaces provided.

ITEM BLOCK 7

Street Address/PO Box

ITEM BLOCK 8

City

ITEM BLOCK 9

State

ITEM BLOCK 10

ZIP Code

ITEM BLOCK 11

Read the authorization agreement. Place a checkmark in the box Yes or No box to indicate whether or not you permit the SBA to use your name and address for SBA surveys.

ITEM BLOCK 12

Preferred date/time for appointment:

ITEM BLOCK 13

Client Signature/Signature Date:

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

PART II: CLIENT INTAKE

ITEM BLOCK 14

Race:

Place a checkmark next to the appropriate box.

ITEM BLOCK 15:

Ethnicity:

ITEM BLOCK 16

Gender: M/F

ITEM BLOCK 17

Person with Disability: Y/N

ITEM BLOCK 18

Veteran Status: Place a checkmark next to the appropriate box.

ITEM BLOCK 18a

Military Status: Place a checkmark next to the appropriate box.

ITEM BLOCK 19

What inspired you to contact us? Place a checkmark next to the appropriate box.

ITEM BLOCK 20

Is the client currently in business? Y/N

ITEM BLOCK 21

Name of Company: Type the name of the company in the space provided.

ITEM BLOCK 22

Business Type: Place a checkmark next to the box that most closely represents your business type.

ITEM BLOCK 23

Business Ownership Gender: Place a checkmark in the box that reflects the ownership gender.

ITEM BLOCK 24

Date Established: Type the name of date the business was established in MM/DD/YYYY format.

ITEM BLOCK 25

Business Online? Y/N

ITEM BLOCK 26

Home based business? Y/N

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

ITEM BLOCK 27a

Full-Time Employees: Type the number of full time employees.

ITEM BLOCK 27b

Part-Time Employees: Type the number of part time employees.

ITEM BLOCK 28

Most recent year gross revenues/sales: This information must be completed as accurately as possible.

ITEM BLOCK 29

Organization Type: Place a checkmark in the box next to the type of organization.

ITEM BLOCK 30

Areas of Counseling Requested: Place a checkmark in the box(es) to indicate the type of counseling you are requesting.

ITEM BLOCK 31

Describe specific assistance requested in the space provided.

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

APPENDIX C: Counseling Information Form – SBA FORM 641 Part III

SBA FORM 641 Part III, "Counseling Information Form," is used for recording client consulting actions and other data. This form is generated in WebCATS from the Request for Consulting and the consultant's case report.

COUNSELING RECORD (1062)				
A. Location Code 437230	B. SBDC Code RVRSD	C. Client No. VV2826	D. Date of Contact 10/20/2012	E. Type of Action Follow-up [3]
F. Name of Company Beauty Mechanics Hair Salon			G. Name of Inquirer (Last, First, MI) Sander, Kathryn A.	
H. Address of Company/Inquirer 12053 Mariposa Rd. Ste. J			I. City/Town HESPERIA	J. State CA
K. Zip Code 92345-1616		L. Telephone Number (760) 244-4700		
BUSINESS INFORMATION			STATUS INFORMATION	
M. Type of Business Service Establishment [2]			P. Ownership Gender Woman-Owned [2]	
N. SIC/NAICS CODES SICs: 7231 NAICS: 811511			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]	
O. SBA Client None []			R. Ownership Military Status Non-veteran [4]	
S. Area of Counseling Provided Financing/Capital [2]				
T. Contact Hours 0.25	U. Preparation Hours 0.5		V. Travel Hours 0	W. COUNSELOR NUMBER LLM
X. COUNSELOR(S) Louise L. Miller			Y. RESOURCE Consultant [7]	
Z. Problems/Comments/Recommendations				
<p>Follow up</p> <p>A. Client History (Complete this section after the initial session only.) Client seeking business plan/funding assistance to expand hair salon</p> <p>1. Provide a description about what occurred during this session. Client reported that she is still waiting for her accountant to provide her with her previous year's financials/taxes as well as her cash flow projections. Client stated that the delay has been caused by health issues.</p> <p>2. What are the issues and steps that need to be taken? (Describe the needs of the client and any questions or concerns he/she have.)</p> <p>3. Client Action Items: (Explain any action items given to the client and due dates.)</p> <p>4 Consultant Action Items: (Explain any action items to be completed by the consultant and due dates.) Follow up within 30 days.</p>				

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

APPENDIX D: Sample Counseling forms with Critique

COUNSELING RECORD (1062)				
A. Location Code Lcenter	B. SBDC Code LC	C. Client No. 00006	D. Date of Contact 2/23/2005	E. Type of Action Initial [2]
F. Name of Company Caudill, Wesley M.			G. Name of Inquirer (Last, First, MI) Caudill, Wesley M.	
H. Address of Company/Inquirer 800 N. State College, LH640			I. City/Town Fullerton	J. State CA
K. Zip Code 92831		L. Telephone Number (612) 123-1212		
BUSINESS INFORMATION			STATUS INFORMATION	
M. Type of Business Service Establishment [2]			P. Ownership Gender Male [1]	
N. SIC/NAICS CODES SICS: 5812 NAICS: 722110			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]	
O. SBA Client None []			R. Ownership Military Status Non-veteran [4]	
S. Area of Counseling Provided Source of Capital [2]				
T. Contact Hours 1	U. Preparation Hours 1		V. Travel Hours 0	W. COUNSELOR NUMBER MJS
X. COUNSELOR(S) Michael James Smith			Y. RESOURCE Employee [4]	
Z. Problems/Comments/Recommendations Client was advised on the necessary information to proceed.				

SBA Form 1062

- Improvements:
- #1 A description of the business other than the codes.
 - #2 What are the Issues and Actions to be taken? What occurred to substantiate 2 hours of time?
 - #3 What are the Client follow-up Actions?
 - #4 What are the Consultant follow-up Actions?

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

COUNSELING RECORD (1062)				
A. Location Code Lcenter	B. SBDC Code LC	C. Client No. 00007	D. Date of Contact 2/23/2005	E. Type of Action Initial [2]
F. Name of Company The Emery Market Deli			G. Name of Inquirer (Last, First, MI) Clepper, Andy	
H. Address of Company/Inquirer 800 N. State College, LH640			I. City/Town Fullerton	J. State CA
K. Zip Code 92831		L. Telephone Number (612) 123-1212		
BUSINESS INFORMATION			STATUS INFORMATION	
M. Type of Business Retail Dealer [2]			P. Ownership Gender Male [1]	
N. SIC/NAICS CODES SICS: 5499 NAICS:			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]	
O. SBA Client None []			R. Ownership Military Status Non-veteran [4]	
S. Area of Counseling Provided Source of Capital [2]				
T. Contact Hours 1	U. Preparation Hours 3	V. Travel Hours 0	W. COUNSELOR NUMBER MJS	
X. COUNSELOR(S) Michael James Smith			Y. RESOURCE Employee [4]	
Z. Problems/Comments/Recommendations Situation: Client has been approached to start a deli/market on the first floor of one of the newly renovated loft apt. buildings in downtown Portland. He has no experience in food business. Gave preliminary plan to consult for review. Consultant Actions: Reviewed business plan and made notes: problems with market data and with non-standard pro formas. Met with client and discussed various models for store, esp. Silverglades on Clough Pike and the Dilly Deli in Marimont. Worked with client to revise pro formas and present them more logically. Client Actions: To gather better market data and to meet with Al Silverglade to review numbers and business plan. Follow-up: Consultant/Client in 60 days.				

SBA Form 1062

- Good:
- #1 Description about what occurred
 - #2 Issue identified and steps: needs market data and reworked pro formas
 - #3 Client follow-up actions identified
 - #4 Consultant follow-up actions identified
- Dates of expected follow-up
- File Documents:
Pro formas; Business Plan

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

COUNSELING RECORD (1062)					
A. Location Code Lcenter	B. SBDC Code LC	C. Client No. 00008	D. Date of Contact 2/23/2005	E. Type of Action Follow-up [3]	
F. Name of Company Hawkins Research			G. Name of Inquirer (Last, First, MI) Hawkins, Gale		
H. Address of Company/Inquirer 800 N. State College, LH640			I. City/Town Fullerton	J. State CA	
K. Zip Code 92831		L. Telephone Number (612) 123-1212			
BUSINESS INFORMATION			STATUS INFORMATION		
M. Type of Business Retail Dealer [2]			P. Ownership Gender Male [1]		
N. SIC/NAICS CODES SICS: 5499 NAICS:			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]		
O. SBA Client None [1]			R. Ownership Military Status Non-veteran [4]		
S. Area of Counseling Provided Source of Capital [2]					
T. Contact Hours 1	U. Preparation Hours 3		V. Travel Hours 0	W. COUNSELOR NUMBER MJS	
X. COUNSELOR(S) Michael James Smith			Y. RESOURCE Employee [4]		
Z. Problems/Comments/Recommendations Worked on financial data for the pre-qual application.					

Improvements:

- #1 Description about what occurred.
 - Identify what documents were prepared
- #2 Good: Issue identified and steps to be taken:
 - Financials needed for business loan application
- #3 Client follow-up Actions:
 - Add: to wait on the consultant for financials, expected date.
- #4 Consultant follow-up Actions:
 - To prepare financials for the client

File Documents:

- Financials

SBA Form 1062

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

COUNSELING RECORD (1062)				
A. Location Code Lcenter	B. SBDC Code LC	C. Client No. 00009	D. Date of Contact 2/23/2005	E. Type of Action Initial [2]
F. Name of Company Henry City Care Team			G. Name of Inquirer (Last, First, MI) Druin, Nellie	
H. Address of Company/Inquirer 800 N. State College, LH640			I. City/Town Fullerton	J. State CA
K. Zip Code 92831		L. Telephone Number (612) 123-1212		
BUSINESS INFORMATION			STATUS INFORMATION	
M. Type of Business Service Establishment [2]			P. Ownership Gender Male [1]	
N. SIC/NAICS CODES SICS: 8322 NAICS:			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]	
O. SBA Client None []			R. Ownership Military Status Non-veteran [4]	
S. Area of Counseling Provided Government Procurement [2]				
T. Contact Hours 1	U. Preparation Hours 3	V. Travel Hours 0	W. COUNSELOR NUMBER MJS	
X. COUNSELOR(S) Michael James Smith			Y. RESOURCE Employee [4]	
Z. Problems/Comments/Recommendations -Call Nellie and give her information for the center for not for profit excellence. -Angela had questions about her and her husband's surveying company. -They are having problems with thier CPA. I gave her our accounting contact sheet. She knows Jim Jennings and will call him about her concerns. -She is interested in woman-owned business certification for government bids. Suggested that she contact Department of Transportation.				

SBA Form 1062

- Improvements:
- #1 How can consulting continue based on this narrative? What statements could be added to indicate next steps? Who is the client – Nellie or Angela?
 - #2 What are the Issues/Actions to be taken?
 - #3 What are the Client follow-up Actions?
 - #4 What are the Consultant follow-up Actions?

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

COUNSELING RECORD (1062)					
A. Location Code Lcenter	B. SBDC Code LC	C. Client No. 00010	D. Date of Contact 2/23/2005	E. Type of Action Follow-up [3]	
F. Name of Company Nelson, Jonathan			G. Name of Inquirer (Last, First, MI) Nelson, Jonathan		
H. Address of Company/Inquirer 800 N. State College, LH640			I. City/Town Fullerton	J. State CA	
K. Zip Code 92831		L. Telephone Number (612) 123-1212			
BUSINESS INFORMATION			STATUS INFORMATION		
M. Type of Business Not in Business [6]			P. Ownership Gender Male [1]		
N. SIC/NAICS CODES SICS: 7349 NAICS:			Q. Inquirer Background a. Race: White/Caucasian [5] b. Hispanic? Not of Hispanic Origin [2]		
O. SBA Client None []			R. Ownership Military Status Service-Disabled Veteran [2]		
S. Area of Counseling Provided Business Start-up/Acquisition [2]					
T. Contact Hours 1	U. Preparation Hours .25	V. Travel Hours 0	W. COUNSELOR NUMBER MJS		
X. COUNSELOR(S) Michael James Smith			Y. RESOURCE Employee [4]		
Z. Problems/Comments/Recommendations I met with Jonathan at the library to review his cash flow worksheets and to answer questions regarding his projected financials. We included some additional expenses to better reflect the business proposal. I will work on inputting data to spreadsheets for clients use in visiting with loan officers. At this time, he plans to approach Bank One and PNC Bank. I will provide financials to client once completed. Client will work on narrative and forward to me by email for review.					

SBA Form 1062

	<u>Good:</u>
#1	Description about what occurred
#2	Issue identified and steps to improve financials
#3	Client follow-up identified
#4	Consultant follow-up actions identified
	<u>Improvements</u>
	Dates to expect narrative and financials
	<u>File Documents:</u>
	- Business Plan
	- Financials

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

APPENDIX E: Training Form 888

MANAGEMENT TRAINING REPORT

1. Office Providing Service:

City/State:

2. Organization/PIMS		3. Dates of Training Started: Ended:		4. Number of Sessions	5. Training Hours (Outreach Hours)
6. Title of Training		7. Location of Training City: State: Zip:			
8. Total Number Trained ____ _____ Currently in Business _____ Not Yet in Business _____ People with Disabilities _____ Women _____ Total Veterans _____ Service-Disabled Vets _____ Members of Reserve/Nat'l Guard				9. Total Number of Minorities Trained ____ Race _____ Asians _____ Blacks or African-Americans _____ Native Americans or Alaskan Natives _____ Native Hawaiians or other Pacific Islanders _____ White Ethnicity _____ Hispanic Origin _____ Not of Hispanic Origin	
10. Training Topic					
11. Resource Partners Participating <input type="checkbox"/> SCORE <input type="checkbox"/> Chamber of Commerce <input type="checkbox"/> SBA District Office <input type="checkbox"/> SBDC <input type="checkbox"/> Trade or Professional Society <input type="checkbox"/> Native American Center <input type="checkbox"/> Women's Business Center <input type="checkbox"/> For-Profit Organization <input type="checkbox"/> Other Government Agency <input type="checkbox"/> VBOC <input type="checkbox"/> Online Training Resource <input type="checkbox"/> Other <input type="checkbox"/> Educational Institution					
12. Program Format					
13. Attendee Fees Full Fee 0 x \$0.00 = \$0.00 Discounted Fee #1 0 x \$0.00 = \$0.00 Discounted Fee #2 0 x \$0.00 = \$0.00 Discounted Fee #3 0 x \$0.00 = \$0.00 No Fee 3 x \$0.00 = \$0.00 No Show Income 0 x \$0.00 = \$0.00 Other Income = \$0.00			15. Fee Distribution SCORE: \$0.00 SBDC: \$0.00 SBA: \$0.00 Cosponsor(s): \$0.00		
14. Total Gross Income \$			16. Language Used English		
17. Name of Sponsor					
18. Name of Cosponsor(s)					

SBA Form 888 (5/04), Softshare revision 10/05

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Completing FORM 888

ITEM BLOCK 1:

Office Providing Service: xxxxx

ITEM BLOCK 2:

Organization/PIMS: xxxxx

ITEM BLOCK 3:

Place beginning and ending date of training.

ITEM BLOCK 4:

Number of Sessions: xxxx

ITEM BLOCK 5:

Place the total hours of training. For example, training was held from 7:00-9:00 p.m. and there were 20 attendees. The Total Hours of Training come to 40. This is calculated as follows: 20 (number of attendees) X 2 (number of hours of training program).

ITEM BLOCK 6:

Total Number Trained: xxxx

ITEM BLOCKS 7:

Location of Training:

ITEM BLOCK 8:

Total Number Trained:

This section is very important. Enter the total number of attendees. Demographic data is collected in this section. Item (8a)-"Total" should be the total that attended the event, not the number who turned in an evaluation. Items 8a-8h, "business ownership, minorities, women, total veterans, Vietnam-era veterans, disabled veterans and SBA clients," may add up to more or less than the total number of attendees.

ITEM BLOCK 9:

Total Number of Minorities Trained

ITEM BLOCK 10:

Training Topic: Provide brief description of the training topic.

ITEM BLOCK 11:

Resource Partners Participating: Place a checkmark next to any resource partners that participated in the training event. If the appropriate check box is not listed check the other box.

ITEM BLOCK 12:

Program Format: Select a program format from the drop down box.

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Pre-business workshop: This workshop provides a comprehensive introduction to the fundamentals of starting a business. Pre-business workshops are not supported by EDMIS and will automatically be exported to the EDMIS System as a conference.

Conference: To be considered a conference, the training must be less than a total of eight hours. BE AWARE, however, that training of less than two hours is not acceptable for reporting purposes.

Course: This consists of a series of sessions. This training may last one day or more, but must exceed eight hours in total.

TV/Media: This type of training denotes a session or series conducted on television/media.

If the training has not been presented in the past year, list it as new. If it has been presented in the past year, list it as on going.

ITEM BLOCK 13:

Attendee Fees: Provide the number of attendees and the corresponding fee amount. Place the amount of the discounted fee charged for the training. If there are varied levels of discounted fees, list the discounted amounts in the spaces provided and retain in the Training Event file. On FORM 888, place the average discount fee only. This is calculated as follows: Total the revenue received from the discounted fees, divide this amount by the number of attendees that paid discounted fees, and place this average discounted fee amount on the FORM 888. In the space provided place the total number of attendees that paid discounted fees. Enter the number of attendees that paid no fees for the training in the spaces provided.

ITEM BLOCK 14:

Total Gross Income: xxx

ITEM BLOCK 15:

Indicate the total amount of gross fee income collected from the training. This amount is the amount of income before any expenses are deducted. Show the distribution of fee income accordingly. Also list cosponsor contact(s)/telephone that received fee income. This amount must equal the amount shown under ITEM BLOCK 14. Again, this amount accounts for the total income from the training prior to any expense deductions. For example, the center paid \$200 for the speaker from the total amount \$500 allocated to the center. The amount reported should be \$500. This was the amount distributed to the center prior to any expense deductions.

ITEM BLOCK 16:

Language Used:

ITEM BLOCKS 17

Name of Sponsor:

ITEM BLOCKS 18:

Name of Cosponsors

Leave blank

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APPENDIX F: Co-Sponsorship Agreement

Co-Sponsorship Agreement
_____ SBDC

The undersigned parties agree as follows:

1. This agreement is between the _____ Small Business Development Center and _____.
2. The purpose of this agreement is to describe the rights and responsibilities of each party regarding the co-sponsorship described below. Except as properly amended, this agreement is the final and complete agreement of the parties.
3. Co-sponsorship activity:
Events: _____
Place: _____
Estimated number of clients: _____
Types of assistance to be provided: _____
4. Tuition from the above mentioned programs will go to _____. All fees from the above mentioned programs will go directly to _____.
5. Neither the _____ SBDC nor the _____ co-sponsorship constitutes or implies any endorsement of any of the opinions, products, or services of either (or any other) co-sponsor.
6. Any political candidates participating in educational services under this co-sponsorship will refrain from political comment as part of their participation.
7. Co-sponsors who have a pre-existing business relationship with _____, the _____ SBDC, or SBA understand that co-sponsoring these activities creates no special consideration by the cosponsors regarding any other matter.
8. This agreement may be amended. Mutually agreeable amendments will be recorded in writing within three (3) months of the conversation creating the amendment, signed by both parties, and reviewed by the Small Business Development Center Network Office and the SBA district office.
9. Any party may terminate its participation in the co-sponsorship upon six (6) months written notice to the other parties. Such termination will not require changes to materials already produced and will not entitle the terminating party to a return of funds or property distributed. Both _____ and the _____ SBDC reserve the right to give appropriate notice to the public of termination in case a violation of the agreement occurs.

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10. Each of the persons executing this agreement represents that she or he has the authority to enter into this agreement on behalf of the entity involved.

Executed by:

Co-sponsoring Organization

Name

Date

Title

SBDC Director

Date

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APPENDIX G: Sample Training Workshop Evaluation

Please rate each question on a scale of 1 to 5 (5 being excellent and 1 unacceptable). *Circle* your choice.

- | | | | | | | |
|----|---|---|---|---|---|---|
| 1. | How would you rate the workshop: | | | | | |
| | Overall value | 5 | 4 | 3 | 2 | 1 |
| | The format | 5 | 4 | 3 | 2 | 1 |
| | Relevancy of material to my business/job | 5 | 4 | 3 | 2 | 1 |
| | The quality of overheads if used | 5 | 4 | 3 | 2 | 1 |
| | The quality of hand-outs if used | 5 | 4 | 3 | 2 | 1 |
| | The quality of videos if used | 5 | 4 | 3 | 2 | 1 |
| 2. | How would you rate the instructor: | | | | | |
| | Organization | 5 | 4 | 3 | 2 | 1 |
| | Knowledge of the subject | 5 | 4 | 3 | 2 | 1 |
| | Preparation | 5 | 4 | 3 | 2 | 1 |
| | Encouragement of group interaction | 5 | 4 | 3 | 2 | 1 |
| | Attitude toward participants | 5 | 4 | 3 | 2 | 1 |
| | Presentation skills | 5 | 4 | 3 | 2 | 1 |
| 3. | How would you rate the location: | | | | | |
| | Room (size, arrangement, temperature) | 5 | 4 | 3 | 2 | 1 |
| | Overall facility (parking, restrooms, access) | 5 | 4 | 3 | 2 | 1 |

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APPENDIX H: Training Summary Report

(Available as an Excel Spreadsheet. Contact Lead Center for File.)

Training Summary Report

Category: _____

Title: _____

Date: _____

Instructor: _____

Total number of Attendees: _____

Referral Summary

_____ SBDC
_____ Direct Mail
_____ Publication
_____ Lenders/Banks
_____ SBA Office
_____ Heard about it at a lunch or dinner
_____ website
_____ Other

Industry Summary

_____ 0 Retail
_____ 0 Construction
_____ 0 Wholesale
_____ 0 Service
_____ 0 Manufacturing
_____ 0 Internet

Customer Suggestions

How long new seminars should be? 2 Hrs. _____ 4 Hrs. _____ 8 Hrs. _____ Over 8 Hrs. _____
Best days to attend new seminars? Mon _____ Tues _____ Wed _____ Thurs _____ Fri _____ Sat _____
How much would you pay for new seminars? \$30 _____ \$45 _____ \$65 _____ \$80 _____
What did you think of the registration process and facilities?
Very Good _____ Good _____ Fair _____ Poor _____

Trainer Summary

	Very Good		Good		Fair		Poor		Mean
	# of Responses	%	# of Responses	%	# of Responses	%	# of Responses	%	
Written materials used:	0	4%	#####	#####	#####	#####	#####	#####	#####
Communication skills:	#####	#####	#####	#####	#####	#####	#####	#####	#####
Ability to hold participants interest:	#####	#####	#####	#####	#####	#####	#####	#####	#####
Organization of the program:	#####	#####	#####	#####	#####	#####	#####	#####	#####
Number in Survey _____									
AVERAGE MEAN #DIV/0!									
Total Satisfaction of Attendees out of 4.0 = #####									

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APPENDIX I: Success Story Writing Guide

The value and impact of a well-written success story is powerful. For this reason, we have developed this guide to help you write engaging and persuasive success stories.

Format

Frequently, the story that is submitted, whether it is with semi-annual reports or sent via e-mail, will look exactly the same way when it is distributed to stakeholders. Therefore, success stories submitted to the State Director's Office must be able to be photocopied for distribution, and:

- Must be on your SBDC's letterhead or masthead;
 - Should include client pictures, images, logos, or other graphic elements; and
 - Should feature client quotes about their positive experiences with the SBDC.

In general, success stories should be formatted to address the following:

1. Background information about the client
2. The problem(s) the client faced
3. The assistance and help the SBDC provided
4. Outcome and impact of the assistance

Required Information

The following is basic information about clients that should be included with all success stories:

- Business name
- First and last name of client (**only if publicity release is on file**)
- Job title
- Business address
- Website address
- County
- Date business established

Additional key points to focus on:

1. Jobs created
2. Increase in/new sales
3. New markets penetrated
4. Use of multiple SBDC services (i.e. EMAP, international trade, educational programs, etc.)
5. Financing obtained

Questions to Answer to Make for an Interesting Story

The questions below offer the kind of information that would make for a good success story.

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Please do not write your success story in direct response to these questions.

Characters

- Who are the small business owners?
- Where do they live? (suburban area, big city, rural location, etc.)
- What did they do before they became entrepreneurs?
- Why did they decide to become entrepreneurs?
- Why did they select the particular type of business?
- Is there a client quote or comment about the SBDC?

Conflict

- What challenges/obstacles have been overcome to start/grow the business?
- Was the entrepreneur turned down for loans?
- Did a first business fail?
- Does the entrepreneur face physical, financial or other obstacles?

Content

- How did the person hear about the SBDC? Who referred them?
- How did the person decide to open a business?
- How long did it take?
- What is the basic chronology of events?
- What is the SBDCs involvement? What type of assistance was provided?
- What other resource agencies helped (DCED, SBA, etc.)?

Conclusion

- How did SBDC consulting make a difference?
 - How much growth (employees, sales, new locations, etc.) has the business experienced?
 - What are the contributions the business and entrepreneur make to the community?

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APPENDIX J: In-Kind Affidavit & In-Kind Valuation Schedule



CALIFORNIA
SBDC

Small Business
Development Centers
Santa Ana Regional Network

In- Kind Contributions

1. SBDC Information				
a. Full Name, Mailing Address & Phone				
2. Contributor Information				
a. Full Name, Mailing Address & Phone			b. Type of Contributor	
			<input type="checkbox"/> Individual	
			<input type="checkbox"/> Company	
			<input type="checkbox"/> Other	
c. Company Name				
3. Service Contributed				
a. Description	b. Date (mm/dd/yyyy)	c. Hours	d. Fair Market Rate	e. Fair Market Amount
f. Total Amount of Service Contributed				
4. Equipment, Supplies, Goods, and Non/Service Contributions				
a. Description	b. Date (mm/dd/yyyy)	c. Fair Market Amount		
d. Total Amount of Equipment, Supplies, Goods, and Non/Service Contributions				
5. Total Contribution (combined Amount of 3f and 4d)				
Contributor's Signature			Date	
SBDC Use Only Period Claimed: _____ (Quarter/mm/yyyy)		Please sign and date the complete form and return it to the SBDC by mail or fax.		
Affidavit Number: _____				

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In Kind Affidavit Instructions

1. SBDC Information

- a. Click the black arrow in the box 1a. Select the relevant SBDC location from the list provided and press enter.

2. Contributor Information

- a. Type the **Full Name, Mailing Address, and Phone Number** of the contributor.
- b. Check the appropriate box next to the **Type of Contributor**
- c. Type the **company name** if applicable.

3. Services Contributed

- a. Provide an itemized **Description** of the In-Kind Services that were performed.
- b. Provide the **Date** the In-Kind Services were performed.
- a. List the number of **Hours** contributed- not to exceed reasonable working hour in a day.
- b. Provide the **Fair Market Rate** Per Hour – Reference In-Kind Valuation Schedule for more information and rates of commonly donated service rates
- c. Provide **Total Market Amount**. This field should equal the Number of Hours * the Fair Market Rate per Hour.
- d. **Total Amount of Services Contributed**

4. Equipment, Supplies, Goods and Non-Service Contributions

- a. Itemized **Descriptions** of any **Non-Service Contributions**
- b. **Date** the **Non-Service** Contributions were supplied.
- c. **Fair Market Amount** of the Non/Service Contributions.
- d. **Total Non-Service Contributions**. Sum of each itemized non service contribution.

5. Total Contribution

- a. Total Amount of Services and Non-Services

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In-Kind Valuation Schedule

Category	Position Description	Annual Salary + Benefits	Hourly Rate	Source
Attorney I	Prepares and examines contracts involving leases, licenses, purchases, sales, insurance, etc. Provides legal advice to an organization, prepares resolutions and forms, and participates in major legal actions. Responsible for foreseeing and protecting company against legal risks. Must be a graduate of an accredited law school with 0-3 years of experience. Familiar with standard concepts, practices, and procedures within a particular field. Relies on limited experience and judgment to plan and accomplish goals. Performs a variety of tasks. Works under general supervision. A certain degree of creativity and latitude is required.	\$126,745	\$ 60.94	Salary.com
Attorney II	Prepares and examines contracts involving leases, licenses, purchases, sales, insurance, etc. Provides legal advice to an organization, prepares resolutions and forms, and participates in major legal actions. Responsible for foreseeing and protecting the company against legal risks. Must be a graduate of an accredited law school with 2-5 years of experience and admitted into the state bar. Familiar with a variety of the field's concepts, practices, and procedures. Relies on experience and judgment to plan and accomplish goals. Performs a variety of tasks. A wide degree of creativity and latitude is expected.	\$166,562	\$80.08	Salary.com
Attorney III	Prepares and examines contracts involving leases, licenses, purchases, sales, insurance, etc. Provides legal advice to an organization, prepares resolutions and forms, and participates in major legal actions. Responsible for foreseeing and protecting the company against legal risks. Must be a graduate of an accredited law school with 5-8 years of experience and admitted into the state bar. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. May lead and direct the work of others. A wide degree of creativity and latitude is expected.	\$214,615	\$103.18	Salary.com
Attorney IV	Prepares and examines contracts involving leases, licenses, purchases, sales, insurance, etc. Provides legal advice to an organization, prepares resolutions and forms, and participates in major legal actions. Responsible for foreseeing and protecting the company against legal risks. Requires a bachelor's degree in area of specialty and 8-10 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to a manager or head of a unit/department.	\$229,755	\$110.46	Salary.com

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Attorney V	Prepares and examines contracts involving leases, licenses, purchases, sales, insurance, etc. Provides legal advice to an organization, prepares resolutions and forms, and participates in major legal actions. Responsible for foreseeing and protecting the company against legal risks. Requires a bachelor's degree in area of specialty and at least 10 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to a manager or head of a unit/department.	\$295,125	\$141.89	Salary.com
Public Relations Director	Directs and implements a company's public relations strategies. Manages media relations, announcements, editorial placement, and speaking opportunities. Develops press releases, white papers and supporting materials. Requires a bachelor's degree in a related area and at least 10 years of experience in the field. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to top management.	\$179,916	\$86.50	Salary.com
Website Manager	Responsible for development, implementation and maintenance of the organization's website. Monitors web traffic, oversees the development of web content, and maintains web server. Ensures that the site meets the business needs of the organization. Requires a bachelor's degree in area of specialty and at least 7 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to a head of a unit/department.	\$132,829	\$63.86	Salary.com
Information Services Consultant	Works with end user groups to identify technical solutions to business problems or inefficiencies. Evaluates existing systems and/or user needs and makes recommendations. May require certification in specific applications. Requires a bachelor's degree and at least 7 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on experience and judgment to plan and accomplish goals. Performs a variety of complicated tasks. May lead and direct the work of others. A wide degree of creativity and latitude is expected. Typically reports to a head of a unit/department.	\$133,216	\$64.05	Salary.com

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Private Banker I	Manages a private banking portfolio of individuals with high-net worth. Responsible for accomplishing deposit and loan volume goals through customer service and adhering to policies and procedures. May require a bachelor's degree and 0-2 years of experience in the field or in a related area. Familiar with standard concepts, practices, and procedures within a particular field. Relies on limited experience and judgment to plan and accomplish goals. Performs a variety of tasks. Works under general supervision. A certain degree of creativity and latitude is required. Typically reports to a supervisor or manager.	\$94,133	\$45.26	Salary.com
Private Banker II	Manages a private banking portfolio of individuals with high net-worth. Responsible for accomplishing deposit and loan volume goals through customer service and adhering to policies and procedures. May require a bachelor's degree and 2-4 years of experience in the field or in a related area. Familiar with standard concepts, practices, and procedures within a particular field. Relies on limited experience and judgment to plan and accomplish goals. Performs a variety of tasks. Works under general supervision. A certain degree of creativity and latitude is required. Typically reports to a supervisor or manager.	\$118,267	\$56.86	Salary.com
Private Banker III	Manages a private banking portfolio of individuals with high-net worth. Responsible for accomplishing deposit and loan volume goals through customer service and adhering to policies and procedures. May require a bachelor's degree and at least 5 years of experience in the field or in a related area. Familiar with standard concepts, practices, and procedures within a particular field. Relies on experience and judgment to plan and accomplish goals. Performs a variety of tasks. Works under general supervision. A certain degree of creativity and latitude is required. Typically reports to a manager.	\$156,515	\$74.25	Salary.com
Accounting Manager	Responsible for managing the general accounting function. Oversees the completion of ledger accounts and financial statements. Evaluates and makes appropriate improvements to internal accounting processes ensuring that practices are in line with the overall goals of the organization. Designation of CPA may be required. Requires a bachelor's degree in area of specialty and at least 7 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to top management.	\$122,672	\$58.98	Salary.com
Controller	Responsible for directing an organization's accounting functions. These functions include establishing and maintaining the organization's accounting principles, practices, procedures, and initiatives. Prepares financial reports and presents findings and recommendations to top management. Requires a bachelor's degree and at least 15 years of direct experience in the field. Typically requires a CPA. Demonstrates expertise in a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals.	\$277,409	\$133.37	Salary.com

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	Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to top financial officer or CEO.			
Investor Relations Administrator	Maintains communications with shareholders of an organization and answers shareholder inquiries. Establishes relationships with shareholders that reflect positively on the company's stock price. Requires a bachelor's degree and 0-2 years of experience in the field or in a related area. Has knowledge of commonly-used concepts, practices, and procedures within a particular field. Relies on instructions and pre-established guidelines to perform the functions of the job. Works under immediate supervision. Primary job functions do not typically require exercising independent judgment. Typically reports to a supervisor or manager.	\$108,058	\$51.95	Salary.com
Investor Relations Director	Directs and oversees an organization's investor relations function. Communicates with shareholders and/or the general financial community to develop and maintain positive relationships. Implements strategies to ensure the organization's relationships with shareholders reflect positively on the company's stock price. Requires a bachelor's degree with at least 10 years of experience in the field. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to top management.	\$235,299	\$113.12	Salary.com
Intellectual Property Attorney I	Responsible for preparing legal documents, reviewing company policies and litigating matters regarding intellectual property. May be responsible for preparing patent or trademark documents, licensing agreements, service agreements, transfer agreements and other contracts or agreements as necessary. Aids in protecting the organization's assets in the area of intellectual property. Requires a JD with 0-2 years of experience in the field or in a related area. Familiar with standard concepts, practices, and procedures within a particular field. Relies on experience and judgment to plan and accomplish goals. Performs a variety of tasks. Works under general supervision. A certain degree of creativity and latitude is required. Typically reports to a manager.	\$206,714	\$99.38	Salary.com
Intellectual Property Attorney II	Responsible for preparing legal documents, reviewing company policies and litigating matters regarding intellectual property. May be responsible for preparing patent or trademark documents, licensing agreements, service agreements, transfer agreements and other contracts or agreements as necessary. Protects the organization's assets in the area of intellectual property. Requires a JD with 2-4 years of experience in the field or in a related area. Familiar with a variety of the field's concepts,	\$225,815	\$108.56	Salary.com

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	practices, and procedures. Relies on experience and judgment to plan and accomplish goals. Performs a variety of tasks. A wide degree of creativity and latitude is expected. Typically reports to a manager.			
Intellectual Property Attorney III	Responsible for preparing legal documents, reviewing company policies and litigating matters regarding intellectual property. May be responsible for preparing patent or trademark documents, licensing agreements, service agreements, transfer agreements and other contracts or agreements as necessary. Protects the organization's assets in the area of intellectual property and may provide risk or legal counseling to upper management. Requires a JD with 4-6 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. May lead and direct the work of others. A wide degree of creativity and latitude is expected. Typically reports a manager.	\$266,351	\$128.05	Salary.com
Intellectual Property Attorney IV	Responsible for preparing legal documents, reviewing company policies and litigating matters regarding intellectual property. May be responsible for preparing patent or trademark documents, licensing agreements, service agreements, transfer agreements and other contracts or agreements as necessary. Protects the organization's assets in the area of intellectual property and may provide risk or legal counseling to upper management. Requires a JD and at least 6 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on extensive experience and judgment to plan and accomplish goals. Performs a variety of tasks. Leads and directs the work of others. A wide degree of creativity and latitude is expected. Typically reports to a manager.	\$297,261	\$142.91	Salary.com
IT Procurement Administrator	Directs the daily activities of the technology purchasing function. Reviews technology purchasing decisions, orders, and vendor contracts. Oversees the ordering of materials and supplies from vendors. Researches, interviews, and negotiates with suppliers to obtain prices and specifications. Creates purchase orders for the acquisition of materials and performs related administrative tasks. May require a bachelor's degree in area of specialty and 0-2 years of experience in the field or in a related area. Familiar with a variety of the field's concepts, practices, and procedures. Relies on experience and judgment to plan and accomplish goals. Performs a variety of tasks. A certain degree of creativity and latitude is expected. Typically reports to a supervisor or manager.	\$89,312	\$42.94	Salary.com

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APPENDIX J: On-Site SBDC Center Review Worksheet

Center: _____

Grant Period Covered: _____

Date of Review: _____

Name of Reviewer: _____

Name and Title of Center Employees Interviewed: Months Reviewed: _____

	<i>Federal Funds</i>	<i>Match Funds</i>
<i>Accounts Reviewed:</i>	_____	_____
	_____	_____

Invoices

(insert ✓ if OK)

- | | | |
|---|-------|-------|
| a) Monthly amounts match institutions ledger summary | _____ | _____ |
| b) Year-end totals match cumulative amounts on final | _____ | _____ |
| c) Line item totals are within 10% re-budgeting allowance
or re-budget request is on file and approved | _____ | _____ |

Exceptions Noted: _____

Time and Effort Reporting

- | | | |
|--|-------|-------|
| (a) All employees sign a T&E report or timesheet? | _____ | _____ |
| (b) Distribution by percentage of effort recorded? | _____ | _____ |
| (c) Correlation between effort recorded | | |

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and the salary charged? _____

(d) Employee & supervisor signed the T&E reports? _____

**Federal
Funds**

**Match
Funds**

(insert ✓ if OK)

(e) Contains a certification to correctness? _____

(f) Leave reports are reconciled to institutional records? _____

(g) Reference to the SBA project,
either by account number or title? _____

Exceptions Noted: _____

Review of expenditure documents

a) Expenditures comply with OMB Cost Circulars
Section J. of A-21 _____

Exceptions Noted: _____

b) Clear descriptions and benefit _____

c) Cost splits reasonable _____

d) Mileage logs include purpose of trip _____

e) Budget classifications correct _____

f) Expenditures approved by center director _____

g) Expenditures within proper grant period _____

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Exceptions Noted:

4. Review of misc. administrative functions

YES NO
(insert ✓ as appropriate)

a) Fringe Benefits - institutional supporting documentation available?

b) Long distance records are retained in dept. and reconciled to institutional records?

In-Kind Expenditures

a) Furniture / equipment – fully depreciated?

b) Time and effort reflected on time sheets? and tie back to salary documentation?

c) Duplication of costs included in IDC pools? (if applicable)

d) Other In-kind documentation acceptable? (auditable detail?)

Exceptions Noted:

6. Program Income

YES NO
(insert ✓ as appropriate)

a) Separate account established?

b) All program income returned?

c) Ledger totals for expenses and balances match Prog. Income as reported to UH?

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- d) Reconciliation process in place to ensure income totals receipts and that all deposits are received? _____

Exceptions Noted:

Property Management

YES **NO**
(insert ✓ as appropriate)

- | | | |
|---|-------|-------|
| (a) Equipment purchased listed in budget or letter of approval on file? | _____ | _____ |
| (b) Reviewed property inventory listing? | _____ | _____ |
| (c) Spot check of inventory to actual ok? | _____ | _____ |
| (d) Computers (high-risk, non-capital assets) inventoried? | _____ | _____ |

Exceptions Noted:

Indirect Costs (F&A Costs)

- | | | |
|---|-------|-------|
| (a) Recent Indirect Cost proposal available for review? | _____ | _____ |
| (b) Duplication of direct costs in F&A costs? | _____ | _____ |

Review of Written Institutional Policies – Adequacy and Adherence

- | | | |
|-------------------|-------|-------|
| a) Compensation | _____ | _____ |
| (b) Purchasing | _____ | _____ |
| (c) Cash Handling | _____ | _____ |
| (d) Travel | _____ | _____ |

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(e) Property Management

Notes: _____

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APPENDIX K: Minimum Definitions for Economic Impact
(Adopted by California SBDC program in CY2011.)

Awards and Contracts

Awards and contracts are tracked for varying purposes. Awards are not counted in Sales, Jobs, or Investment categories in WebCATS. Income from awards and contracts **should be recorded as increase in sales as it occurs.**

Businesses Created

As computed by EDMIS, a business start-up is deemed as being created as a result of ongoing center assistance if at any previous session (the client was not "in business," and at a subsequent session or update (in the fiscal year being reported) was "in business".

A client is in business when they have completed required registration(s), if applicable, with the local, state, and/or Federal government (e.g., DBA registration, get a business license, agency issued tax identifications, etc.) AND have documented transactions from the sale of a product or professional or personal service for the purpose of gain or profit

Other criteria for being in business may include;

- 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.

It is critical to ensure new clients **Date Established** is correctly entered into WebCATS as the date they **met** the criteria above. No date should be entered until they **do** meet those criteria. Entering a date established will prompt the user to allow the system to create a business started milestone, and creating a new business started milestone record will prompt the user to allow the system to enter a date established in the client record. The answer in both cases should be **yes**.

Change in Staff

Change in Staff and *Jobs Created* both roll up to *Jobs Created*.

Change in Staff is a confusing legacy milestone and misunderstanding can detract from center's *Jobs Created*. We have discontinued it's use.

Increase in Sales

Record *increases* only.

Record increases in sales for the current period over previous like period.

Report no more than *quarterly*.

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Continue recording increases for as long as the SBDC continues providing *any* counseling to that client.

Sales increases are aggregate numbers. The new value is the **new total** number, and the initial value is where you started. For example if a client has annual sales and tells you sales are up 10,000 in the first quarter over last year it is reported like this; **Sales increase 110,000 starting value = 100,000**. Initial values should auto populate from the client record. Mistakes can result in negative milestones.

Examples of SBDC counseling that may result in an increase in sales;

- Develop a marketing plan or advise on advertising
- Assist client in preparing a business plan to start a business
- Assist an existing business with a business acquisition resulting in an increase in sales
- Obtain financing to expand existing business
- Export actions
- Obtain government contract
- Barter

Jobs Created

May be full or part time

Owner's job counts as one, unless the owner isn't working the business

A job is created if our services help someone create a job that wasn't in existence before

Job increases are aggregate numbers. The new value is the **new total** number, and the initial value is where you started. For example if a client has 2 jobs and reports 2 new ones it is reported like this; **jobs= 4 and initial jobs= 2**. Initial values are recorded (and kept updated) in the client record. Mistakes can result in negative milestones.

Examples of SBDC counseling that may result in jobs created;

Assist in starting a business

Business expansion

Assist an existing business with a business acquisition resulting in an increase in employees

Assist business in increasing Sales

Jobs Retained

Job Retention is jobs that would have been eliminated due to downsizing or closure. A milestone resulting from jobs retained should never be double-counted as a jobs created. It is important to identify that jobs are at risk as part of the client assessment. In addition, identify as at-risk in your Scope of Work (SOW) and select jobs retained as a potential outcome of the

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SOW. If you're in the middle of a SOW and it becomes apparent that the business is at-risk, document in your session notes and revise the SOW.

Here are some criteria you can use to identify at-risk businesses;

- A looming potential for layoffs
- Can't make payroll
- Behind on loan payments
- Behind on payables
- Behind on rent
- Any apparent significant negative change in cash flow
- Client facing imminent decline in sales for any reason
- Client is or will be facing new or increased competition
- Detrimental changes in COGS
- Company is disaster-struck (i.e. fire, flooding, unexpected facility or equipment loss, etc.)
- Transitional hardships for the business such as change in ownership causing financial stress
- Unmanageable budget deficit

Others – please identify in session notes if you determine the client's business to be "at risk" for any other reason not listed here

If the business remains at-risk from one year to another, jobs are considered to be retained in the new year and until the business is turned around and should be reported as jobs retained each year until the business stabilizes. The same job should not be counted as retained for more than 3 years. If the business has not stabilized after this time SBDC resources may be better utilized elsewhere.

Examples of SBDC counseling that may result in job retention;

- Improve cash flow of the business by increasing Sales, improving profitability, reducing expenses, improved accounts receivable collections, or reducing bad debts
- Obtain financing, but only in instances where additional capital enabled the business to increase sales, cash flow or profitability
- Provide overall management assistance

Capital Infusion

Capital infusion includes all forms of debt and investments from all sources (i.e., lines of credit, consumer debt products used specifically for the business, angel investors, owner's capital contributions, etc.). Credit lines and other revolving debt facilities/instruments are to be recognized for the full amount of the line of credit when established and not to be based on individual draw-downs.

It is an aggregate total of the following:

- Dollar amount of SBA loans
- Dollar amount of non-SBA loans
- Dollar amount of equity capital (to include private investment)

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Reporting Capital Infusion

Capital infusion will be tracked throughout each year. Capital infusion is the aggregate amount of total SBA Loans, total non- SBA loans, and total Equity Capital Received. Capital infusion shall be reported in WebCATS as it occurs, and uploaded to EDMIS on a quarterly basis.

Examples of SBDC counseling that may result in capital infusion;

- Assist client in preparing a business plan
- Assist client in preparing financial projections
- Provide analysis & guidance in obtaining capital. This includes obtaining a business loan, line of credit, equipment leasing, Accounts Receivable financing, export financing, personal & home equity loans, venture capital, and other equity investments.

Milestones

Milestones are business results tracked and recorded in the normal course of case management by the Business Advisors and entered into WebCATS. Clients should be willing to attest any milestone recorded was accomplished with some assistance from SBDC services. There should also be evidence in the session notes and activity that the milestone represents results based on counseling in that subject. Do not invest time recording negative milestones

APPENDIX L: SBDC Center Closeout Action Plan

Action Steps	Description	Submission Deadline	Date Submitted/ Completed
Transfer of Client Files to Lead Center	All SBDC Active/Inactive Files from the past three (3) years are to be transferred to the Lead Center.		
Complete List of Equipment and Other Property <ul style="list-style-type: none">• <i>Appendix R: SBDC List of Equipment and Other Property</i>	Please complete the provided spreadsheet for all equipment and supplies obtained for the SBDC. Include quarter and year of purchase. Use original purchase price in "value" column.		
Transfer of Equipment and Other Property to Lead Center or Designee	Equipment and other Property accumulated all years since the inception are to transfer to the Lead Center.		
Complete List of Intellectual Property,	Please complete the provided spreadsheet.		

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Curriculum and other SBDC Materials <ul style="list-style-type: none"> APPENDIX N: SBDC Service Center Closeout List of Intellectual Property 			
Transfer of Intellectual Property to Lead Center or Designee	<p>Intellectual Property developed in all years since inception are to transfer to the Lead Center.</p> <p>For curriculums, provide electronic copies of marketing materials, handouts, slide decks, power points, presenter notes and supporting documents used for each training. Where none exist, please provide an explanation.</p>		
Complete List of Contracts, Programs and Partnerships <ul style="list-style-type: none"> APPENDIX O: SBDC Service Center Closeout List of Contracts, Programs and Partnerships 	<p>All contracts, partnerships and sponsorship arrangements that have been made directly with the SBDC and/or have gone toward supporting programs, marketing, administration or operations of the SBDC are to be listed for the Center since host institution began its involvement with the program.</p> <p>This includes both cash and in-kind match and all funding that was not included in SBA reported match but that went toward SBDC operations in any manner.</p> <p>This list should be inclusive for the past three (3) years of operation.</p>		
Transfer all Contracts, Partnership Agreements, Sponsorship Agreements and MOUs to Lead Center or Designee	<p>Copies of all contracts, agreements, MOUs must be provided. Where no formal written document was recorded, please provide supporting emails and/or materials that represent the partnership(s) if any money was received by the SBDC and/or by the host institution on behalf of the SBDC.</p>		

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<p>Complete and send to Lead Center the List of SBDC Advisors and Stakeholders</p> <ul style="list-style-type: none"> • <i>APPENDIX Q: Closeout List of Advisors and Stakeholders</i> 	<p>Include both current and past Advisory Board Members.</p> <p>Include relevant contacts from local jurisdictions worked with.</p> <p>Include corporate contacts that have sponsored activities of the SBDC and/or participated in panels, forums or other programs of the SBDC.</p>		
<p>Program Income Detailed Report</p> <ul style="list-style-type: none"> • <i>APPENDIX S: SBDC Fiscal Reports and Billing Templates</i> 	<p>The SBDC Lead Center will use the most current Program Income Report to be submitted by the host institution as the Closeout Program Income Report.</p>		
<p>Transfer of Program Income to Lead Center</p>	<p>Please issue a check of the program income balance as of the effective termination date to California State University, Fullerton Auxiliary Services Corporation.</p>		
<p>Final Neoserra Data Upload</p>	<p>Neoserra passwords granted to employees and contractors will be disabled on [effective date of termination]. If there is a need to extend Neoserra access to specific named individuals in order to complete Neoserra data entry, special arrangements can be made.</p> <p>The host organization is accountable for complete Neoserra data upload. All paid consultant hours will be cross-referenced between invoices and Neoserra by the Lead Center to ensure complete and accurate final upload.</p>		
<p>Complete Closeout Program Narrative Report</p>	<p>Format for this report is attached. Please note that the format for this report is different than quarterly progress reports submitted by the</p>		

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<ul style="list-style-type: none">• <i>APPENDIX P: Closeout Program Narrative Report</i>	Center and replaces the normal year-end report that is submitted for a continuing center. Please be complete in response to all elements of the attached format.		
Closeout Fiscal Reports and Billing <ul style="list-style-type: none">• <i>APPENDIX S: SBDC Fiscal Reports and Billing Templates</i>	Format for this report is attached. No expenses will be reimbursed that are incurred after the effective termination date. Copies of backup documentation supporting general ledger journal entries must be submitted along with general ledger and invoice summary.		
Stakeholder and Client Notifications	Referring clients requesting services to the new SBDC host upon the termination date, i.e. web page, telephone communications.		

APPENDIX N: SBDC Service Center Closeout List of Intellectual Property

SBDC Service Center:

Physical Address:

Person Completing Form:

Date of Completion:

I have reviewed the list of intellectual property provided below and find it to be an accurate and complete record of all intellectual property developed by and for the SBDC Service Center and donated to the SBDC Service Center.

Host Authorized Signature:

Name:

Title:

Instructions: Please provide a complete listing of intellectual property developed by, on behalf of, purchased by or donated to the SBDC Service Center during its operation. Provide the quarter and year of development/purchase/donation and the value at that time. Please note whether each item was used to generate program income and if so, the total amount of program income generated per year of use. The final column to the right will be completed by the Lead Center upon receipt of all Intellectual Property.

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Categories/ Items	Description	Developmental Costs/ Dollars invested	How was the IP used?	Program Income generated, by year from IP	Date Developed/ Acquired	Source of Funds Used	Most recent update/modification
<u>Training Curriculum</u>							
<u>Handouts and Client Materials</u>							
<u>Trademarks, Copyrights, Patents</u>							
<u>Other</u>							

I have reviewed the list of intellectual property detailed above and find it to be an accurate and complete record of items received by the Orange County/Inland Empire SBDC Lead Center on behalf of California State University, Fullerton Auxiliary Services Corporation. Any discrepancies from the typed document and what was transferred have been initiated by the Host and Lead Center representatives at the time of transfer.

Lead Center Authorized Signature:

Name:

Title:

APPENDIX O: SBDC Service Center Closeout List of Contracts, Programs and Partnerships

SBDC Service Center:

Physical Address:

Person Completing Form:

Date of Completion:

I have reviewed the list of Contracts, Programs and Partnerships provided below and find it to be an accurate and complete record of all Contracts, Programs and Partnerships of the SBDC hosted by the [Host Institution Name].

Host Authorized Signature:

Name:

Title:

Instructions: Please provide a complete listing of all contracts, partnerships, MOUs and other collaborations that resulted in a contribution of money and/or in-kind donations (including contributed promotions, free speakers, and other donations) to the SBDC or Host Institution on behalf of the SBDC over the duration of the relationship. As appropriate, note multiple contract years and dollar/in-kind amounts per year.

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List of Agreements: With Whom SBDC and/or Host Institution partnered with?	Description of Partnership/ Agreement	Financial Contribution Amount (or In-Kind Donation)	Start & End Dates	Amount (if any) documented as match to SBA funding.	Quarter and Year of SBA match	Any outstanding obligations as of 12/31/11 ?	Contact Info (name, phone, email)	Reviewed by Lead Center
<u>Corporate Contracts/ Partnerships/ Agreements</u>								
<u>Jurisdictional Contracts/ Partnerships/ Agreements</u>								
<u>Federal and State Government Contracts/ Partnerships/ Agreements</u>								
<u>Other</u>								

I have reviewed the list of contracts, programs and partnerships detailed above and have cross referenced it with the physical documents (contracts, partnership agreements, MOUs, etc.) provided to the Lead Center. My initials above and my signature below indicate consistency between the list provided and the supporting documents provided.

Lead Center Authorized
Signature: _____

Name: _____

Title: _____

APPENDIX P: Closeout Program Narrative Report

I. Information about 2011 Operations

A. Highlights for the entire year of 2011

- a. Please include information about major events and new partnerships.
- b. Please include an analysis of contractual milestones (service and economic impact) and commentary on any shortcomings)

B. A description of resources developed by the SBDC in 2011.

C. Two polished Client Success Story using standard formatting.

D. SBDC major activities that fall into any of the below SBA categories:

- a. ONLY major items within these categories.

- 0100 ADVOCACY
- 0200 CAPITAL FORMATION
- 0300 INNOVATION AND TECHNOLOGY TRANSFER
- 0400 INTERNATIONAL TRADE
- 0500 MINORITY SMALL BUSINESS DEVELOPMENT
- 0600 RESOURCE DEVELOPMENT
- 0700 PROCUREMENT
- 0800 SPECIAL EMPHASIS GROUPS
- 0900 ECONOMIC DEVELOPMENT
- 1000 RESEARCH
- 1100 OTHER ACTIVITY

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- 1200 SUCCESS STORIES
- 1300 TRAVEL
- 1400 PROBLEMS
- 1500 FINANCIAL REPORTS
- 1600 WOMEN-OWNED BUSINESSES
- 1700 ECONOMIC IMPACT
- 1800 VETERANS AND RESERVISTS
- 1900 MANUFACTURING
- 2000 ONLINE ACTIVITY

II. Closeout Information About the Center

- A. A short description of SBDC's history under the departing host's leadership, including major accomplishments and challenges, by year, since the Center's inception.
- B. Overall observations, difficulties encountered, and recommendations for improving SBDC services and operations going forward.
- C. Copies of major media exposure of Center and SBDC Clients.

III. Outstanding Obligations

- A. All in-process counseling cases (clients with in-process Scopes of Work)
 - a. Indicate the name of the client, the WebCATS I.D. number for the business and the consultant who has most recently worked with that client.
- B. All in-process/already calendared trainings and events
 - a. Include a description of each, any partners/sponsors involved, any trainers who have already been assigned and other relevant information
- C. All other in-process and/or incomplete projects and programs that may continue forward under new leadership of the center and/or need to be renegotiated by the Lead Center/ new host going forward.
 - a. Include conversations held with potential funding partners that have not yet materialized, but that were potentially going to materialize in 2012.

APPENDIX Q: Closeout List of Advisors and Stakeholders

SBDC Service Center:

Physical Address:

**Person Completing
Form:**

Date of Completion:

I have reviewed the list of Advisors and Stakeholders provided below and find it to be an accurate and complete of all Advisors and Stakeholders of the Center.

**Host Authorized
Signature:**

Name:

Title:

Instructions: Please provide a complete listing of all Advisors and Stakeholders who worked closely with the Center or Host on behalf of the Center. This list should include individuals who contributed expertise, contacts money and other support to the Center since it's inception.

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NAME	ORGANIZATION	TITLE	PHONE	EMAIL	STREET ADDRESS	CITY	STATE	ZIP	Month/Year of Last Communication with this Person
<u>Board of Advisors</u>									
<u>Corporate Advisors/ Stakeholders</u>									
<u>Host Advisors/ Stakeholders</u>									
<u>Other</u>									

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Appendix R: SBDC List of Equipment and Other Property

SBDC Service Center:

Physical Address:

Person Completing Form:

Date of Completion:

I have reviewed the list of equipment and other property provided below and find it to be an accurate and complete record of items purchased and/or donated for use by the SBDC Service Center hosted by the [Host Institution Name].

Host Authorized Signature:

Name:

Title:

Instructions: Please provide a complete listing of equipment and other property purchased by or donated to the SBDC Service Center during its operation. Provide the quarter and year of purchase/donation and the value at that time. Any item with a purchase price/ value of \$500 or more at the time of purchase or donation should be included in this list. If there are multiple units of a particular item, please list each unit individually. The final column to the right will be completed by the Lead Center upon receipt of all Equipment and Other Property.

Categories/ Items	Description	Serial/ID Number	Listing of Software installed if CPU	Price/ Value Each	Date Acquired	Source of Funds Used	Current Location	Useful Life (Yrs)
<u>Computers/ installed software</u>								
<u>Un-installed Software</u>								
<u>Monitors</u>								
<u>Furniture</u>								
<u>Phones/speakers/projectors</u>								
<u>Other</u>								
<u>Accounts</u> Center Paypal Center Domain Web Host	Web Address	Account Name	Admin User Name	Admin PW				

I have reviewed the list of equipment and other property detailed above and find it to be an accurate and complete record of items received by the Orange County/Inland Empire SBDC Lead Center on behalf of California State University, Fullerton Auxiliary Services Corporation. Any discrepancies from the typed document and what was transferred have been initialed by both the Center Host and Lead Center representatives at the time of transfer.

Lead Center Authorized

Signature:

Name:

Title:

APPENDIX S: SBDC Fiscal Reports and Billing Templates

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Expenditure Summary and Payment Request Form				CASH MATCH	
Contract Number: SBDC					
Grantee Name:	Host Institution Name				
	SBDC Service Center Name				
Reporting Period:	Date Range of report				
Request Number:	0				
Fund Source:	CASH MATCH				

MATCH SOURCES	PROPOSED	RECEIVED	BALANCE
Please list all sources of Cash Match funding and the amount(s) per source.			
Inland Empire SBDC	\$0	\$0	\$0

List all costs in these categories. If this information is not received with reimbursement request, your reimbursement will be delayed until this form is completed.

LIST ALL LINE ITEMS FROM BUDGET.

Cost Categories	Approved Contract Budget	Year to Date Expenditures (Prior Request)	Expenses Incurred This Report	Line#	Total Year to Date Expenditures
Personnel - Total	0.00	0.00	0.00		0.00
Director	0.00	0.00	0.00	CMP.1	0.00
Contracts Manager	0.00	0.00	0.00	CMP.2	0.00
Lead Counselor	0.00	0.00	0.00	CMP.3	0.00
Counselor	0.00	0.00	0.00	CMP.4	0.00
Counselor/Biznet	0.00	0.00	0.00	CMP.5	0.00
Staff Accountant	0.00	0.00	0.00	CMP.6	0.00
Admin. Assistance	0.00	0.00	0.00	CMP.7	0.00
Fringe Benefits	0.00	0.00	0.00		0.00
Fringe Benefits ____%	0.00	0.00	0.00	CMF.1	0.00
Travel - Total	0.00	0.00	0.00		0.00
In-State	0.00	0.00	0.00	CMT.1	0.00
Equipment-Total	0.00	0.00	0.00		0.00
Equip/Program Technology	0.00	0.00	0.00	CME.1	0.00
Supplies-Total	0.00	0.00	0.00		0.00
Gen Office/Operational	0.00	0.00	0.00	CMS.1	0.00
Contractual-Total	0.00	0.00	0.00		0.00
Workshops/Training	0.00	0.00	0.00	CMC.1	0.00
Client Counseling	0.00	0.00	0.00	CMC.2	0.00
Other Contractual Services	0.00	0.00	0.00	CMC.3	0.00
Consultants-Total	0.00	0.00	0.00		0.00
Special Projects	0.00	0.00	0.00	CMC.4	0.00
Other-Total	0.00	0.00	0.00		0.00
Employee Development	0.00	0.00	0.00	CMO.1	0.00
Client Resource Library	0.00	0.00	0.00	CMO.2	0.00
Outreach/Advertising	0.00	0.00	0.00	CMO.3	0.00
Facilities Operations	0.00	0.00	0.00	CMO.4	0.00
Telecommunications	0.00	0.00	0.00	CMO.5	0.00
Postage	0.00	0.00	0.00	CMO.6	0.00
Printing	0.00	0.00	0.00	CMO.7	0.00
Other	0.00	0.00	0.00	CMO.8	0.00
Total Direct	0.00	0.00	0.00		0.00

Certification: I hereby certify that all expenditures from these project funds are for approved project costs only. Further, I certify that supporting documentation on actual expenditures is on file in our office.

Center Director	Date	Date Prepared
Preparer		

EXHIBIT E
S-6128-COUNTY OF RIVERSIDE
ECONOMIC DEVELOPMENT AGENCY (CREDA)

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Expenditure Summary and Payment Request Form				IN-KIND MATCH	
Contract Number: SBDC					
Grantee Name:	<div style="border-bottom: 1px solid black; margin-bottom: 2px;">Host Institution Name</div> <div style="border-bottom: 1px solid black; margin-bottom: 2px;">SBDC Service Center Name</div>				
Reporting Period:	<div style="border-bottom: 1px solid black; margin-bottom: 2px;">Date Range of report</div>				
Request Number:	<div style="border-bottom: 1px solid black; margin-bottom: 2px;">0</div>				
Fund Source:	<div style="border-bottom: 1px solid black; margin-bottom: 2px;">IN-KIND MATCH</div>				
0					
MATCH SOURCES	PROPOSED	RECEIVED	BALANCE		
Please list all sources of Cash Match funding and the amount(s) per source.					
	\$0	\$0	\$0		
List all costs in these categories. If this information is not received with reimbursement request, your reimbursement will be delayed until this form is completed.					
LIST ALL LINE ITEMS FROM BUDGET.					
Cost Categories	Approved Contract Budget	Year to Date Expenditures (Prior Request)	Expenses Incurred This Report	Line#	Total Year to Date Expenditures
Personnel - Total	0.00	0.00	0.00		0.00
	0.00	0.00	0.00	IKP.1	0.00
	0.00	0.00	0.00	IKP.2	0.00
Fringe Benefits	0.00	0.00	0.00		0.00
Fringe Benefits ____ %	0.00	0.00	0.00	IKF.1	0.00
Travel - Total	0.00	0.00	0.00		0.00
In-State Travel Match	0.00	0.00	0.00	IKT.1	0.00
Equipment-Total	0.00	0.00	0.00		0.00
Equip/Program Technology	0.00	0.00	0.00	IKE.1	0.00
Supplies-Total	0.00	0.00	0.00		0.00
Gen Office/Operational	0.00	0.00	0.00	IKS.1	0.00
Contractual-Total	0.00	0.00	0.00		0.00
Workshops/Training	0.00	0.00	0.00	IKC.1	0.00
Client Counseling Match	0.00	0.00	0.00	IKC.2	0.00
Other Contractual Match	0.00	0.00	0.00	IKC.3	0.00
Consultants-Total	0.00	0.00	0.00		0.00
Special Projects	0.00	0.00	0.00	IKC.4	0.00
Other-Total	0.00	0.00	0.00		0.00
Client Resource Library	0.00	0.00	0.00	IKO.1	0.00
Outreach/Advertising	0.00	0.00	0.00	IKO.2	0.00
Facilities Operations	0.00	0.00	0.00	IKO.3	0.00
Telecommunications	0.00	0.00	0.00	IKO.4	0.00
Postage	0.00	0.00	0.00	IKO.5	0.00
Printing	0.00	0.00	0.00	IKO.6	0.00
Other	0.00	0.00	0.00	IKO.7	0.00
Total Direct	0.00	0.00	0.00		0.00
Indirect	0.00	0.00	0.00	IKI.1	0.00
Total Charges	0.00	0.00	0.00		0.00
Certification: I hereby certify that all expenditures from these project funds are for approved project costs only. Further, I certify that supporting documentation on actual expenditures is on file in our office.					
Center Director			Date	Date Prepared	
Preparer					

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SF2113 / PROGRAM INCOME				
Contract Number: SBDC				
HOST INSTITUTION	Host Institution Name SBDC Service Center Name	PERIOD	Date Range of report	
1) Net Program Income Carried Forward From the Prior Year(s)		\$	0.00	
2) Current Year Gross Program Income				
Reporting Period:		Date Range of report		
SOURCE	PRIOR ACCUM.	CURRENT ACCUM.	CURRENT YTD ACCUM.	
Training	0.00	0.00	0.00	
Sales of Books etc	0.00	0.00	0.00	
Advertising	0.00	0.00	0.00	
Research Work	0.00	0.00	0.00	
Trade Shows	0.00	0.00	0.00	
Other (Describe):	0.00	0.00	0.00	
Computer Use	0.00	0.00	0.00	
Conference Room Rental	0.00	0.00	0.00	
Loan repayment	0.00	0.00	0.00	
Copier Use	0.00	0.00	0.00	
			0.00	
			0.00	
TOTAL	0.00	0.00	0.00	
TOTAL CURRENT YEAR PROGRAM INCOME		\$	0.00	
3) Current Year Program Income Expenditures				
Reporting Period:		Date Range of report		
EXPENSE CATEGORY	PRIOR EXPEND.	CURRENT EXPEND.	CURRENT YTD EXPEND.	
Personnel	0.00	0.00	0.00	
Fringe	0.00	0.00	0.00	
Consultants	0.00	0.00	0.00	
Subcontracts	0.00	0.00	0.00	
Travel	0.00	0.00	0.00	
Equipment	0.00	0.00	0.00	
Supplies	0.00	0.00	0.00	
Loan to SBDC	0.00	0.00	0.00	
Loan to SBRC	0.00	0.00	0.00	
Workshop change	0.00	0.00	0.00	
TOTAL	0.00	0.00	0.00	
TOTAL CURRENT YEAR PROGRAM EXPENDITURES		\$	0.00	
4) Current Year Net Income (2-3)		\$	0.00	
5) Net Program Income Carried Forward to Following Year (1+4)		\$	0.00	
6) Narrative Description of how program income was used to further program objectives.				
I certify that this report is true in all respects and that all disbursements have been made in accordance with current SBA requirements. I further certify that this institution maintains working papers supporting these figures.				
NAME and TITLE				
SIGNATURE		DATE:	Date Prepared	
Preparer				

APPENDIX T: Annual Renewal Proposal Template



Orange County / Inland Empire SBDC Network Renewal Proposal Template

Prepared By: [Director Name], SBDC Director

Date:

Address:

Website:

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

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300 INNOVATION AND TECHNOLOGY TRANSFER	aaa
400 INTERNATIONAL TRADE	aaa
500 MINORITY SMALL BUSINESS DEVELOPMENT	aaa
600 RESOURCE DEVELOPMENT	bbb
700 PROCUREMENT	bbb
800 SPECIAL EMPHASIS GROUPS	bbb
900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES	bbb
1000 RESEARCH	ccc
1100 OTHER ACTIVITY	ccc
1200 SUCCESS STORIES	ccc
1300 TRAVEL	ccc
1400 PROBLEMS	ccc
1500 FINANCIAL REPORTS	ccc
1600 WOMEN-OWNED BUSINESSES	ccc
1700 ECONOMIC IMPACT	ccc
1800 VETERAN AND SERVICE CONNECTED-DISABLED VETERAN -OWNED BUSINESSES, RESERVISTS ON ACTIVE DUTY AND OTHER RESERVE COMPONENT MEMBERS OF THE U.S. MILITARY	ddd
1900 MANUFACTURING	ddd
2000 ONLINE ACTIVITY	ddd
SBDC SCHEDULED CLOSURES	ddd
ADVISORY BOARD	eee
CONFLICT OF INTEREST POLICY	eee
TRAINING	eee
PERSONNEL RESUMES	eee
OTHER FUNDS	eee

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

PROGRAM MANAGEMENT

Provide a brief summary describing:

1. The service area of the Service Center;
2. The methodology and justification for the service area resources distribution using, but not limited to, multiple factors such as population or business census, population/counselor distribution formulas, etc.);
3. Correlation of resource distribution to needs assessment studies; and
4. The management and coordination of the SBDC throughout the area being served.

If applicable, describe plans for the addition of any new programs. As part of the management strategy, describe the staffing plan including management strategy for vacancies (interim measures and acceptable vacancy timeframes), general staffing policy as it pertains to key personnel, desirable client wait time for counseling assistance and changes you anticipate making in the coming year.

ON-LINE CLIENT SERVICES

It is incumbent on all Federal Government agencies to increase use of available technology to improve services and streamline operations. The continued expansion and use of technology in all sectors of commerce today is creating new opportunities as well as placing increased demand on the SBDC program to provide greater access to services through web-based technology. SBA views the use of web-based technology as a means to increase outreach within existing budgets, access populations or areas otherwise difficult to reach, and offer services 24/7 when appropriate. Providing clients with tools and access to information on-line, should provide greater flexibility for SBDC counselors to provide counseling and other one-on-one activities with clients.

Submit a project plan which uses web-based technology for direct client service delivery. As part of the proposal narrative, applicants should describe how on-line service delivery is incorporated into their overall service delivery plan. Where possible and to reduce duplicative efforts, SBA's Small Business Training Network (SBTN) at www.sba.gov/training should be used for on-line training. The project plan for online services should describe the current level of service and/or the approach being taken to progress to a higher level. This discussion should include the planned operating environment and the process to be taken to achieve it, including timelines, benchmarks, anticipated results, resources and budget.

ORGANIZATION STRUCTURE

Include an organizational chart for the SBDC. The chart must indicate the positioning of the Service Center within the organization and the department or division and person to whom the SBDC Center Director reports.

PROGRAM OBJECTIVES

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Provide a brief summary of major program objectives and ongoing programs, highlighting any new programs, special projects or activities. To facilitate reporting, categorize the information presented using the reporting titles listed below B to the extent possible listed below. (Success stories do not need to be included in the renewal proposal.)

100 ADVOCACY

Describe planned activities related to the following:

1. Support for small business interests within the SBDC's jurisdiction to improve the climate for small business and contribute to the vitality of the small business sector.
2. Include, as appropriate: public speeches, testimonies before state and/or federal legislatures and small business week activities.

200 CAPITAL FORMATION

Describe planned activities related to the following:

1. Develop or assist in developing capital for small businesses (e.g., loans, microloans, grants, Community Express).
2. Developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.

300 INNOVATION AND TECHNOLOGY TRANSFER

Describe planned activities related to the following:

1. Identifying innovation and technology developed by the Federal Government and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability.
2. Transferring expertise and equipment available from the Federal Government to the private sector
3. Transferring innovation and technology from business to business, SBIR activities, etc. Note in particular, any collaboration with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act and other environmental assistance activities.
4. Providing information and education on the use of technology in everyday business activities or processes.

400 INTERNATIONAL TRADE

Describe planned activities related to the following:

1. Promoting increased exports by small businesses such as: supporting Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance including conducting USEAC E-TAP programs and other co-partnership events; partnering with public and private sector organizations involved in export development; data base development; match services and market research; and participating in World Trade Week

500 MINORITY SMALL BUSINESS DEVELOPMENT

ORANGE COUNTY / INLAND EMPIRE SBDC NETWORK POLICIES & PROCEDURES

Describe planned activities related to the following:

1. Helping minorities participate in the free enterprise system such as: working on Asian American initiatives; Black or African-American initiatives; Hispanic American initiatives; Native American initiatives; Native Hawaiian or Pacific Islanders initiatives; assisting 8(a) clients in the developmental stage and other stages; and linking minority clients with other assistance opportunities and conferences.

600 RESOURCE DEVELOPMENT

Describe planned activities related to the following:

1. Collaborating with funding or other partners to assist the SBDC in its mission through recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training and outreach efforts.
2. Address key partnerships and collaborations

700 PROCUREMENT

Describe planned activities related to the following:

1. Fostering opportunities for increasing small business' share of procurement dollars spent by the government and private sector through conferences, computer matching services such as SBA's —Business Matchmaking assistance to Certificate of Competency businesses and prime contractor outreach.

800 SPECIAL EMPHASIS GROUPS

Describe planned activities related to the following:

1. Assistance to: people with disabilities; Native Americans; young entrepreneurs; targeted associations; industry groups and other groups identified by SBA and/or the SBDC.
(Note: Report minority, veteran and service connected-disabled veteran and women's efforts separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business and Women Owned Businesses.)

900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES

Describe planned activities related to the following:

1. Activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory.
2. Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators.
3. Activities aimed toward assisting small business and community economic development organizations such as providing counseling, training and outreach to community