

**SUBMITTAL TO THE BOARD OF SUPERVISORS  
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



**ITEM: 3.23  
(ID # 15339)**

**MEETING DATE:  
Tuesday, July 20, 2021**

**FROM :** OFFICE OF ECONOMIC DEVELOPMENT:

**SUBJECT:** OFFICE OF ECONOMIC DEVELOPMENT: Ratify and Approve Subcontract No. S-7519-County of Riverside Office of Economic Development and S-7522-County of Riverside Office of Economic Development by and between CSU Fullerton Auxiliary Services Corporation (ASC) and the County of Riverside, by and through its Office of Economic Development for capital infusion consulting and expansion of services through the Coachella Valley Small Business Development Center (CVSBDC) for one year, Districts 4 and 5. [\$100,000 Economic Development Funds 100%]; California Environmental Quality Act (CEQA) Exempt

**RECOMMENDED MOTION:** That the Board of Supervisors:

1. Find that the approval of Subcontract No. S-7519-CROED (CIP Agreement) and S-7522-CROED (TAEP Agreement) are exempt from CEQA pursuant to State CEQA Guidelines Section 15061(b)(3);
2. Ratify and Approve the attached CIP Agreement by and between the ASC and the County of Riverside Office Economic Development to provide capital infusion consulting services through the Coachella Valley Small Business Development Center (CVSBDC), with a term that commenced on October 1, 2020 and will end on September 30, 2021 in the amount of \$50,000 with a \$50,000 match requirement to be paid from the existing 2020 U.S. Small Business Administration grant and the 2021 U.S. Small Business Administration grant pursuant Subcontract No. S-7308-RCBCS;

Continued on page 2

**ACTION:**

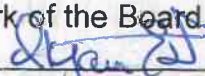
*Suzanne Holland*  
Suzanne Holland, Director of Office of Economic Development 7/8/2021

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**MINUTES OF THE BOARD OF SUPERVISORS**

On motion of Supervisor Jeffries, seconded by Supervisor Spiegel duly carried by unanimous vote, IT WAS ORDERED that the above matter is approved as recommended.

Ayes: Jeffries, Spiegel, Washington, Perez and Hewitt  
Nays: None  
Absent: None  
Date: July 20, 2021  
xc: ED

Kecia R. Harper  
Clerk of the Board  
By:   
Deputy

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**RECOMMENDED MOTION:** That the Board of Supervisors:

3. Ratify and Approve the attached TAEP Agreement by and between the ASC and the County of Riverside Office Economic Development for the expansion of technical assistance consulting services through the CVSBDC, with a term that commenced on October 1, 2020 and will end on September 30, 2021 in the amount of \$50,000 with a \$50,000 match requirement to be paid from the existing 2020 U.S. Small Business Administration grant and the 2021 U.S. Small Business Administration grant pursuant Subcontract No. S-7308-RCBCS;
4. Authorize the Chair of the Board of Supervisors to sign the CIP Agreement and the TAEP Agreement on behalf of the County; and
5. Authorize the Director of the County of Riverside Office of Economic Development, or designee, to take all necessary steps to implement the CIP Agreement and the TAEP Agreement, including, but not limited to, signing subsequent, necessary and relevant documents, and approve any non-substantive amendments to the CIP Agreement and the TAEP Agreement, provided a County match requirement is not required, subject to approval as to form by County Counsel.

<b>FINANCIAL DATA</b>	<b>Current Fiscal Year:</b>	<b>Next Fiscal Year:</b>	<b>Total Cost:</b>	<b>Ongoing Cost</b>
<b>COST</b>	\$ 50,000	\$ 50,000	\$ 100,000	\$ 0
<b>NET COUNTY COST</b>	\$ 0	\$ 0	\$ 0	\$ 0
<b>SOURCE OF FUNDS: OED-Economic Development Funds, 100%</b>			<b>Budget Adjustment: No</b>	
			<b>For Fiscal Year: 20/21</b>	

**C.E.O. RECOMMENDATION:** Approve

**BACKGROUND:**

**Summary**

On August 25, 2020, the Board of Supervisor's approved Subcontract S-7308 between the Office of Economic Development and CSU Fullerton Auxiliary Services Corporation (ASC), to continue to operate the Coachella Valley Small Business Development Center (CVSBDC) to assist entrepreneurs and small business owners (Agenda Item No. 3.11). The CVSBDC is located in the Indio Workforce Development Center, and its service territory covers the area from the community of Cabazon to the City of Blythe in eastern Riverside County. The CVSBDC core service is small business consulting. The CVSBDC services are designed to assist small businesses in solving problems and fostering small business growth, expansion, innovation, productivity and management improvement. The purpose of this item is to request approval for the Subcontracts for capital infusion and expansion of technical assistance consulting services by the CVSBDC through an agreement with California Governor's Office of Business and Economic Development (GO-Biz) to provide funding for one-on-one business consulting, program development and training services.



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On July 15, 2020, ASC requested that its network of service providers, including the CVSBDC, request funding from GO-Biz for two separate programs: capital infusion consulting and the expansion of technical assistance services. The Office of Economic Development submitted a proposal on behalf of CVSBDC requesting \$50,000 in funding for capital infusion and \$50,000 for technical assistance expansion. ASC selected the Office of Economic Development's proposals and allocated the requested \$100,000 to the CVSBDC for fiscal years 2020-2021 and 2021-2022. The funding must be spent entirely on one-on-one consulting for CVSBDC clients seeking access to capital to start or expand their business and for the expansion of technical assistance services. The agreements memorializing the use of the GO-Biz funding for capital infusion and expansion of technical assistance consulting services are attached as Subcontract No. S-7519-CROED and S-7522-CROED.

**Subcontract No. S-7519-CROED Capital Infusion Program (CIP Agreement)**

The proposed CIP Agreement between the Office of Economic Development and ASC has a term commencing on October 1, 2020 and ending September 30, 2021, with a contract amount of \$50,000. ASC will reimburse the Office of Economic Development for capital infusion consulting services costs as set forth in Exhibit B attached to the proposed CIP Agreement. There is a one-to-one matching requirement that will be met through the existing CVSBDC contract funding from ASC derived from the SBA under the CVSBDC Agreement, which was previously executed by the Board on August 25, 2020, (Agenda Item No. 3.11). Thereafter, the matching funds shall be paid using funds derived from the Office of Economic Development's CVSBDC grant from SBA for FY 2021-2022 funding. No funds will be used from the County's general fund. To date, the CVSBDC has already provided capital infusion consulting services to 540 business clients under the expanded services provided through the GO-Biz Funding Agreement.

**Subcontract No. S-7522-CROED Technical Assistance Expansion Program (TAEP Agreement)**

The proposed TAEP Agreement between the Office of Economic Development and ASC has a term commencing on October 1, 2020 and ending September 30, 2021, with a contract amount of \$50,000. ASC will reimburse the Office of Economic Development for the expansion of existing technical assistance consulting services, marketing, program development and training costs as set forth in Exhibit B attached to the proposed TAEP Agreement. There is a one-to-one matching requirement that will be met through the existing CVSBDC contract funding from ASC derived from the SBA under the CVSBDC Agreement, which was previously executed by the Board on August 25, 2020, Agenda Item No. 3.11. Thereafter, the matching funds shall be paid using funds derived from the Office of Economic Development's CVSBDC grant from SBA for FY 2021-2022 funding. No funds will be used from the County's general fund. To date, the CVSBDC has already provided consulting services to 580 business clients under the expanded services provided through the GO-Biz Funding Agreement.

The proposed CIP Agreement and the TAEP Agreement were delayed due to internal administrative processes and a longer than anticipated contract development period.

Pursuant to the California Environmental Quality Act (CEQA), the CIP Agreement and TAEP Agreement to provide funding to the CVSBDC (Project) were reviewed and determined to be categorically exempt under State CEQA Guidelines Section 15061(b)(3), General Rule or

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“Common Sense” Exemption. The agreements relate to GO-Biz Funding which provides capital infusion consultation and training program funding to CVSBDC within the existing Indio Workforce Development Center Office. This will involve one-on-one counseling for access to capital assistance and training seminars to small businesses and does not involve any commitment to any specific project which may result in a potentially significant physical impact on the environment. The Project is exempt under the common sense exemption of State CEQA Guidelines section 15061(b)(3) in that it can be seen with certainty there is no possibility that the consulting services to be provided out of the CVSBDC within the existing Indio Workforce Development Center Office may have a significant effect on the environment, as the services to be provided solely relate to the provision of consulting services, is administrative in nature, will have financial effects, and will not lead to any direct or reasonably indirect physical environmental impacts. A Notice of Exemption will be filed by the Office of Economic Development staff with the County Clerk within five (5) days of the approval of the Subcontracts.

Office of Economic Development staff recommends ratification and approval of the attached CIP Agreement and the TAEP Agreement, including the attached exhibits. County Counsel has approved the Subcontracts as to form.

**Impact on Residents and Businesses**

By providing capital infusion consulting and expanding technical assistance services, the County is encouraging private sector job growth for citizens, promoting public-private partnerships and providing assistance to encourage new business starts and help existing businesses expand and succeed.

**Additional Fiscal Information**

The Subcontract No. S-7519-CROED and S-7522-CROED will require match payments which will be derived from the 2020 and 2021 SBA Subcontracts and will not require any Office of Economic Development matching funds. Fund 21100 Department ID 1901000000 of the Economic Development Program will be utilized to track all expenditures of the GO-Biz capital infusion consulting and training programs. Financial reporting of revenue and expenditures for the Subcontract No. S-7519-CROED and S-7522-CROED will be prepared and submitted as required by the Subcontracts.

Attachments:

1. Subcontract No. S-7519-County of Riverside Office of Economic Development (CROED)
2. S-7519-CROED Exhibit A
3. S-7519-CROED Exhibit B
4. S-7519-CROED Exhibit C
5. S-7519-CROED Exhibit D



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6. Subcontract No. S-7522-County of Riverside Office of Economic Development (CROED)
7. S-7522-CROED Exhibit A
8. S-7522-CROED Exhibit B
9. S-7522-CROED Exhibit C
10. S-7522-CROED Exhibit D

**SUBCONTRACT NO. S-7519-CROED**

THIS SUBCONTRACT NO. S-7519-CROED (hereinafter referred to as the "Subcontract") is entered into by and between **the COUNTY OF RIVERSIDE**, a political subdivision of the State of California, by and through its Office of Economic Development (hereinafter "Subcontractor"), host administrative agent for the Coachella Valley Small Business Development Center, located in Indio, California and **CSU FULLERTON AUXILIARY SERVICES CORPORATION** (hereinafter, "ASC") a California non-profit corporation which is a recognized auxiliary and fiscal agent of California State University, Fullerton, operating pursuant to California Education Code Section 89900, et seq. and California Code of Regulations Title 5, Section 42400, et seq. (hereinafter, "CSUF"), and host administrative agent for the Lead Center SBDC (hereinafter, "Lead Center") located in Fullerton, California. Subcontractor and ASC are individually referred to herein as a "Party" and collectively as the "Parties." The term "SBDC" used herein shall mean Small Business Development Center.

**RECITALS**

- A. **WHEREAS**, ASC is the prime awardee of an award issued by the California Governor's Office of Business and Economic Development GO-Biz (hereinafter "Prime Sponsor") under Agreement Number CIP2020-L4 (hereinafter referred to as the "Agreement"), incorporated herein with this reference and attached as **Exhibit C** (Prime Award);
- B. **WHEREAS**, ASC desires to retain Subcontractor to perform services as specified in **Exhibit A** (Scope of Work) attached hereto and incorporated herein with this reference and intends to compensate Subcontractor for such services, as described in **Exhibit B** (Budget) attached hereto and incorporated herein with this reference;
- C. **WHEREAS**, in undertaking the performance of this Subcontract, Subcontractor represents that it is knowledgeable in its field and that any services performed by Subcontractor will be performed in compliance with this Subcontract, and the Exhibits; and,
- D. **WHEREAS**, Subcontractor and any additional subcontractors retained by Subcontractor agree to abide by all of the terms and conditions of this Subcontract and the Prime Award as set forth therein.

**NOW, THEREFORE**, in consideration of the mutual and representative promises and subject to the terms and conditions hereinafter set forth, the Parties agree as follows:

**1. Principal Contacts.**

**For ASC:**

**Technical/Programmatic**

Michael Daniel

Regional Director

California State University, Fullerton

800 N. State College Blvd., SGMH-4157B

Fullerton, CA 92831

**Administrative**

Sydney Dawes

Director, Office of Sponsored Programs

CSU Fullerton Auxiliary Service Corp.

1121 N. State College Blvd.

Fullerton, CA 92831-3014



Telephone: (657) 278-5168  
Email: [midaniel@fullerton.edu](mailto:midaniel@fullerton.edu)

Telephone: (657) 278-4103  
Email: [sdawes@fullerton.edu](mailto:sdawes@fullerton.edu)

**For Subcontractor:**

**Technical/Programmatic/Administrative**

Robert Moran

Deputy Director, County of Riverside Office of Economic Development

3403 10<sup>th</sup> Street, 4<sup>th</sup> Floor

Riverside, CA 92501

Telephone: (951) 955-6673

Email: [rmoran@rivco.org](mailto:rmoran@rivco.org)

Changes in Principal Contacts must be approved in writing by **Charles D. Kissel**, Executive Director of the CSU Fullerton Auxiliary Services Corporation and by **Suzanne Holland**, Director, County of Riverside Office of Economic Development, or their respective designees, for the respective Party.

2. **Scope of Work.** Subcontractor shall complete Leading Indicator Metrics of 166 clients assisted and 833 consulting hours provided and assist Lead Center to achieve the Lagging Indicators described in the Scope of Work which is attached and incorporated as **Exhibit A**.
3. **Term of Contract.** The period of performance of this Subcontract shall be from October 1, 2020 through September 30, 2021, subject to extension by the Prime Sponsor and mutual agreement of both Parties.
4. **Compensation.** Reimbursement of funds under this Subcontract is limited to **Fifty Thousand Dollars (\$50,000.00)**, as shown in **Exhibit B**.
5. **Matching Funds Requirement.** Subcontractor shall provide total Matching Funds of **Fifty Thousand Dollars (\$50,000.00)**, as shown in **Exhibit B**.

Note: The matching funds requirement is being met through the core SBDC grant from SBA OSBDC, under SBA Cooperative Agreement number SBAHQ20B0071. Thereafter, the matching funds shall be met through the core SBDC grant from SBA for 2021 funding.

6. **Delivery.** All materials and services called for under this Subcontract shall be completed and delivered to ASC on or before September 30, 2021.
7. **Allowable Costs and Fees.** Allowable costs and fees eligible for reimbursement to the Subcontractor for performance of this Subcontract must be in accordance with the terms of this Subcontract, including the attached Exhibits and the requirements of the Prime Sponsor.
8. **Termination of Subcontract.** Either Party may terminate this Subcontract upon thirty (30) days advance written notice to the other Party. Upon termination of this Subcontract, ASC agrees to



compensate Subcontractor for all unavoidable expenses reasonably incurred by Subcontractor in the performance of its work under this Subcontract by the date of termination, and Subcontractor agrees to complete services and/or provide required deliverables through the date of termination.

9. **Modification or Waiver.** No part of this Subcontract shall be modified without the express written consent of both Parties. The waiver by one Party of any breach of any term or condition of this Subcontract shall not be construed as a waiver of any similar or other breach of any term or condition of this Subcontract. Nor shall said waiver be construed as a continuing waiver of the original breach.
10. **Independent Contractor.** SUBCONTRACTOR shall, during the entire term of this Subcontract, be construed to be an independent contractor and not an employee of ASC. This Subcontract is not intended nor shall it be construed to create an employer-employee relationship, a joint venture relationship, or to allow ASC to exercise discretion or control over the professional manner in which SUBCONTRACTOR performs the services that are the subject of this Subcontract. The services to be provided by SUBCONTRACTOR, however, shall be provided in a manner consistent with all applicable laws, standards and regulations governing such services. SUBCONTRACTOR shall pay all salaries and wages, employees' social security taxes, unemployment insurance, and similar taxes relating to its employees and shall be responsible for all applicable withholding taxes.
11. **Assignment.** No part of this Subcontract may be assigned by either Party without the prior written consent of both Parties.
12. **Reporting Requirements.** Both financial and performance reporting are due at the end of each quarter of the contract period. In the event that there was no activity in the quarter, a financial and performance report are still due and would state that there was no activity or spenddown during the quarter. Subcontractor must submit an electronic version of the quarterly performance report in Microsoft Word to the Lead Center within ten (10) days after the completion of a calendar quarter. Reports must be submitted utilizing GO-Biz template in Excel and PDF format. Each quarterly report must include the following items: (a) one (1) unique success each quarter, (b) PDF of GO-Biz template which must be signed by the Director, (c) general ledger for each invoice is to match the GO-Biz template, (d) host institution invoice required and must match general ledger and GO-Biz template, (e) Neoserra activity report for consulting and training by consultant: (i) the Go-Biz template must be accompanied by an activity report for consulting and training activities that matches the GO-Biz template stated hours for consulting and training per consulting, and (ii) funding sources must properly align in Neoserra with what is being reporting and invoiced, (f) underperformance report required if metrics or invoicing milestones are not met as indicated as follows: (i) Q1 spenddown or metrics achieved are not at 15%, (ii) Q2 spenddown or metrics achieved are not at 40%, (iii) Q3 spenddown or metrics achieved are not at 75%, (iv) Q4 spenddown or metrics achieved are not at 100%.

The annual report is due within twenty (20) days upon close of the grant period. Subcontractor must submit required reports utilizing GO-Biz template provided in **Exhibit D (Reporting Template) attached hereto and incorporated herein with this reference.**



Failure to submit required reports as identified in **Exhibit A** will result in the voiding of invoice payments for the period unless prior approval to submit late reports has been granted by the Lead Center Director, or designee.

The Lead Center reserves the right modify or request additional reporting information from the Subcontractor as requested by the Prime Sponsor.

- 13. Invoicing and Payment.** Subcontractor shall invoice ASC for actual expenses incurred during the term of the Subcontract and in accordance with the budget in **Exhibit B**. Invoices shall be mailed to the address listed below and emailed to both [kmpayne@fullerton.edu](mailto:kmpayne@fullerton.edu), [jessjuarez@fullerton.edu](mailto:jessjuarez@fullerton.edu) and [cc: icmiranda@fullerton.edu](mailto:icmiranda@fullerton.edu):

OCIE SBDC  
Ms. Katrina Smith, Associate Regional Director  
1 Banting, Suite A  
Irvine, CA 92618

Subcontractor shall invoice the Lead Center for actual expenses incurred during the term of the Subcontract and in accordance with the budget in Exhibit B, and shall deliver such invoices to the Lead Center within twenty (20) days of the close of each quarter. Subcontractor will submit itemized invoices to the Lead Center quarterly. Each invoice shall include an itemized expenditure report, accompanied by general ledger with a detailed transaction report, supporting documentation and any necessary chart of accounts. The Lead Center agrees to pay *approved* invoices within forty-five (45) days upon receipt. In no event shall the Subcontractor request reimbursement from the Lead Center for obligations entered into or for costs incurred prior to the commencement date or after the expiration of this Subcontract.

The invoice containing final costs to be paid by the Lead Center shall be identified as the “Final Invoice”. Final Invoice expenditures shall reflect costs incurred but not previously submitted for the period ending September 30, 2020. The Final Invoice shall be paid upon satisfactory completion of Subcontract work and submittal of all the reports required in this Subcontract.

“Satisfactory completion” as used in this Subcontract means that the Subcontractor has complied with all the terms, conditions, and performance requirements of this Subcontract. All award and matching funds shall be used solely for the purpose of performing the work as set forth in their Subcontract and **Exhibit A**.

“Approved invoice” means a complete and accurate invoice and performance package.

**14. Content and Order of Precedence**

Included in this Subcontract are the following exhibits and all exhibits are hereby incorporated by reference into this Subcontract

- a. Exhibit A Scope of Work
- b. Exhibit B Budget



- c. Exhibit C Prime Award
- d. Exhibit D Reporting Templates

The contents of each instrument below are incorporated within this Subcontract as fully as though set forth herein in their entirety. In the event of a conflict between the provisions of each instrument, the following order of precedence shall govern the rights and obligations of the Parties:

- 1. Subcontract
- 2. Prime Award

- 15. Indemnification.** All Parties to this Subcontract agree to defend, indemnify, and hold harmless the other Party, its officers, agents, employees, students, and volunteers, from and against all loss, cost, and expense arising out of any liability or claim of liability, sustained or claimed to have been sustained, arising out of the activities, or the performance or nonperformance of obligations under this Subcontract, of the indemnifying Party, or those of any of its officers, agents, employees, students, or volunteers. The provisions of this Paragraph do not apply to any damage or losses caused solely by the gross negligence or intentional acts of the non-indemnifying Party or any of its agents or employees. The indemnity set forth in this Paragraph 14 shall survive for a period of one (1) year after the expiration or earlier termination of this Subcontract.
- 16. Force Majeure.** If by reason of force majeure the Subcontractor's performance hereunder is delayed, hampered or prevented, then the performance by the Subcontractor may be extended for the amount of time of such delay or prevention. The term "Force Majeure" shall mean any fire, flood, earthquake, or public disaster, strike, labor dispute or unrest; embargo, riot, war, insurrection or civil unrest; any act of God; any act of legally constituted authority; or any other cause beyond Subcontractor's control which would excuse the Subcontractor's performance as a matter of law.
- 17. Notice of Force Majeure.** Subcontractor agrees to give ASC written notice of an event of force majeure under this Paragraph within ten (10) days of the commencement of such event and within ten (10) days after the termination of such event, unless the Force Majeure prohibits Subcontractor from reasonably giving notice within this period. Subcontractor will give such notice at the earliest possible time following the Force Majeure.
- 18. Public Records.** Subcontractor acknowledges that ASC is subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). This Subcontract and materials submitted by Subcontractor to ASC may be subject to a PRA request, except in the event that such documents submitted to ASC are considered confidential information and exempt under the PRA. In the event records of the Subcontractor are requested through a PRA, ASC will notify the Subcontractor, as soon as practicable that a PRA request for the Subcontractor's information has been received, but not less than five (5) business days prior to the release of the requested information to all the Subcontractor to seek an injunction. ASC will work in good faith with the Subcontractor to protect the information to the extent an exemption is provided by law.
- 19. Nondiscrimination.** Subcontractor shall comply with all applicable federal and state laws and statutes related to nondiscrimination, including those Acts and amendments prohibiting discrimination on the basis of race, color, natural origin, gender, handicap or disability, sexual



preference, drug addiction and alcoholism.

20. **Retention of Records.** Subcontractor agrees to maintain and preserve all records relative to this Subcontract for three (3) years after termination. Subcontractor agrees to permit ASC's duly authorized representatives to have access to and to examine and audit any non-privileged pertinent books, documents, papers, and records related to this Subcontract. Furthermore, all records related to this Subcontract shall be reasonably available for inspection by the State of California pursuant to Government Code § 8546.7 which states in pertinent part: "...every contract involving the expenditure of public funds in excess of ten thousand dollars (\$10,000) entered into by any state agency, ... or by any other public entity, including a city, county..., shall be subject to the examination and audit of the State Auditor, at the request of the public entity or as part of any audit of the public entity, for a period of three years after final payment under the contract."
21. **Audit.** The non-privileged books and accounts, files, and other records of the Subcontractor which are applicable to this Subcontract shall be available for inspection, review, and audit during normal business hours by the ASC and the Prime Sponsor and its representatives to determine the proper application and use of all funds paid to or for the account or benefit of the Subcontractor.
22. **Severability.** Should any part, term, or provision of this Subcontract be declared or determined by any court or other tribunal or appropriate jurisdiction to be invalid or unenforceable, any such invalid or unenforceable part, term, or provision shall be deemed stricken and severed from this Subcontract. Any and all of the other terms of this Subcontract shall remain in full force and effect.
23. **Applicable Law.** This Subcontract and any disputes concerning it shall be interpreted under the laws of the State of California. Any legal action related to the performance or interpretation of this Subcontract shall be filed only in the Superior Court of the State of California located in Riverside, California, and the Parties waive any provision of law providing for a change of venue to another location.
24. **Interpretation.** For purposes of construction and interpretation, this Subcontract shall be deemed to have been mutually drafted by the Parties hereto. Thus, the Parties to this Subcontract shall determine and resolve any issues of ambiguity related to the interpretation of the provisions herewith.
25. **Days.** Any reference to days in this Subcontract, unless specifically stated to be business days (which shall be Monday through Friday and shall not include weekends or state holidays), shall mean calendar days.
26. **Entire Subcontract.** This Subcontract, including any referenced exhibits, attachments, appendices and references, constitutes the entire Subcontract and supersedes any other written or oral representations, statements negotiations, or agreements.

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CLERK'S COPY

to Riverside County Clerk of the Board, Stop 1010

Post Office Box 1147, Riverside, Ca 92502-1147

Thank you.

IN WITNESS THEREOF, the Parties have executed this subcontract on the date noted below.

For:

COUNTY OF RIVERSIDE, a political subdivision of the State of California, by and through its Office Of Economic Development

For:

CSU Fullerton Auxiliary Services Corporation

*Karen S. Spiegel*  
Karen Spiegel, Chair  
Board of Supervisors

*[Signature]*  
Charles D. Kissel  
Executive Director

Dated: JUL 20 2021

Dated: 19 Aug 21

ATTEST:

Kecia R. Harper  
Clerk of the Board

By: *[Signature]*  
Deputy

APPROVED AS TO FORM:  
Gregory P. Priamos  
County Counsel

By: *[Signature]*  
for Stephanie K. Nelson, Deputy County Counsel *Chief Deputy*



Center Name: **CV SBDC**

Go-Biz CIP (FY 20-21)	<b>\$50,000</b>
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**Scope of Work:**

Each service center is expected to at minimum, complete their leading indicator metrics. Leading Indicator metrics are derived from the following calculations: Number of consulting hours was derived from 100% of the total GO-Biz CIP contributed budgets. Number of clients was calculated by dividing the number of consulting hours by five.

**Leading Indicators:**

**Each center will be expected to reach at minimum, the leading indicators as detailed below.**

Number of Clients	<b>166</b>
Number of Consulting Hours	<b>833</b>

**Lagging Indicators (Network Goals):**

Each center will be tasked with assisting the network with reaching and exceeding all of the below lagging goals. While centers will not be given separate lagging indicator metrics, future year funding will be based on the level of performance from the previous year.

Total Clients Counseled	<b>1,000</b>
Capital Infusion – Debt Funding	<b>\$20,000,000</b>
Capital Infusion – Equity Capital	<b>\$45,000,000</b>
Capital Infusion – Non-Dilutive	<b>\$2,000,000</b>

**Reporting:**

Quarter	Due Date for Financial	Due Date for Performance/ Underperformance (if needed)	Due Date for Annual Report
Q1	1/20/2021	1/21/2021	N/A
Q2	4/20/2021	4/20/2021	N/A
Q3	7/20/2021	7/20/2021	N/A
Q4/FINAL	10/20/2021	10/20/2021	10/20/2021

Coachella Valley SBDC  
Hosted by County of Riverside - Office of Economic Development

Budget Category	GO-Biz Grant	SBA Match Funds
Business Advising/Consulting	\$ 50,000.00	\$ 50,000.00
Budget allowance to further services to disadvantaged areas and underserved groups. May include marketing, administrative and other misc. expense with the exception of indirect costs.[1]		\$ -
Program Marketing	<b>Not allowed</b>	\$ -
Training Costs		\$ -
Administration		
Other (please specify)		
Total	\$ 50,000.00	\$ 50,000.00

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**Budget Justification**

All monies received from GO-Biz must be spent entirely on one-on-one consulting for SBDC Clients. This money will be spent on paying consultants to do one-on-one advising for clients seeking access to capital



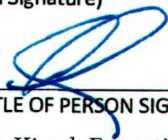


**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

Grant Agreement # CIP2020-L4

1. This Agreement is entered into between the State Agency and the Grant Recipient named below:  
STATE AGENCY'S NAME  
GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT  
GRANT RECIPIENT NAME  
CSU FULLERTON AUXILIARY SERVICES CORPORATION
2. The term of this Agreement is:  
October 1, 2020 through September 30, 2021
3. The maximum amount of this Agreement is:  
\$519,300.00
4. The parties agree to comply with the terms and conditions of the following Agreement including exhibits which are by this reference made a part of this Agreement.

**IN WITNESS THEREOF**, the parties have executed this AGREEMENT hereto.

GRANT RECIPIENT	
GRANT RECIPIENT'S NAME CSU Fullerton Auxiliary Services Corporation	
BY (Authorized Signature) X. 	DATE SIGNED 20 OCT 20
NAME AND TITLE OF PERSON SIGNING Charles D. Kissel, Executive Director	
ADDRESS 1121 N. State College Blvd., Fullerton, CA 92831	
STATE OF CALIFORNIA	
AGENCY NAME GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT	
BY (Authorized Signature) X. <u>Isabella Guzman</u> <small>Isabella Guzman (Oct 20, 2020 19:31 PDT)</small>	DATE SIGNED Oct 20, 2020
NAME AND TITLE OF PERSON SIGNING Isabella Casillas Guzman, Director, California Office of the Small Business Advocate	
ADDRESS 1325 J Street, Suite 1800, Sacramento, CA 95814	

**GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT  
CAPITAL INFUSION PROGRAM GRANT AGREEMENT**

- A. **WHEREAS**, GO-Biz is the sponsor of this award issued to the RECIPIENT under Agreement Number CIP2020-L4 ("Award");
- B. **WHEREAS**, GO-Biz desires to retain RECIPIENT to perform and/or manage services as described in the 2020/21 Program Announcement to expand new or enhanced services to underserved small business owners, including women, people of color and veteran-owned businesses as businesses in low-wealth, rural and disaster-impacted communities included in a state or federal emergency declaration.
- C. **WHEREAS**, RECIPIENT is host to a small business development center ("SBDC") in California pursuant to the requirements of the U.S. Small Business Administration ("SBA");
- D. **WHEREAS**, all parties acknowledge that this AGREEMENT and the Award are only available to SBDCs in California;
- E. **WHEREAS**, GO-Biz desires to retain RECIPIENT to perform and/or manage services as specified in Exhibit B ("Scope of Work and Performance Metrics") and intends to compensate RECIPIENT for such services, as described in Exhibit C ("Budget");
- F. **WHEREAS**, RECIPIENT desires to be retained by GO-Biz to perform and/or manage such services as described set forth in Exhibit B and to be compensated as set forth in Exhibit B;
- G. **WHEREAS**, in undertaking the performance of this AGREEMENT, RECIPIENT represents that it is knowledgeable in its field and that any services performed and/or managed by RECIPIENT will be performed in compliance with this AGREEMENT and any attachments thereto, and;



H. **WHEREAS**, RECIPIENT and any additional third party(ies) retained by RECIPIENT agree to abide by all the terms and conditions of this AGREEMENT and the terms and conditions of this Award.

I. **WHEREAS**, RECIPIENT acknowledges that additional third-party contracts retained by RECIPIENT in addition to original approved budget must be approved by GO-Biz; and

J. **WHEREAS**, RECIPIENT acknowledges that additional third-party contracts retained by RECIPIENT to other federally funded technical assistance providers funded by CIP must be approved by GO-Biz.

**NOW, THEREFORE**, in consideration of the mutual and representative promises and subject to the terms and conditions set forth herein, the parties agree as follows:

1. **Recitals.** The parties acknowledge and agree that the recitals are true and accurate and are hereby incorporated by reference into this AGREEMENT.
2. **Performance Metrics.** RECIPIENT shall be responsible for the results and progress described in Scope of Work and Performance Metrics and Timeline, which is attached and incorporated as Exhibit B.
3. **Term of Agreement.** The period of performance of this AGREEMENT shall be from October 1, 2020 – September 30, 2021.
4. **Compensation.** The RECIPIENT is entitled to up to \$519,300.00 \_\_\_\_\_ for the period as shown in Exhibit C.
5. **Matching Funds Requirement.** RECIPIENT shall provide the total SBA Matching Funds and documentation thereof, as identified in Exhibit D (Certification of SBA Cash Match). In addition, RECIPIENT shall demonstrate a cumulative 1:1 ratio with Award and SBA Matching Fund spending by the end of the second quarter. \_\_\_\_\_
6. **Delivery.** All materials, services and/or deliverables required under this AGREEMENT must be completed and delivered to GO-Biz on or before September 30, 2021, unless otherwise approved in writing from GO-Biz
7. **Allowable Costs and Fees.** Allowable costs and fees eligible for reimbursement to the RECIPIENT for performance of this AGREEMENT must be in accordance with the 2020/21

Program Announcement and budget outlined in the AGREEMENT, including the attached exhibits.

8. **Publicity and Acknowledgement.** The RECIPIENT is required to include the following logo (Exhibit A) and disclosure on all materials produced in whole or in part with Project Funds:
  - a. “Funded in part through a Grant with the Governor’s Office of Business and Economic Development.”

Materials that include editorial content must include the following alternate acknowledgement:

- b. “Funded in part through a Grant with the Governor’s Office of Business and Economic Development. All opinions, conclusions, and/or recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the Governor’s Office of Business and Economic Development.”

The GO-Biz logo may be placed in close proximity to the Recipient’s logo or placed in a prominent location elsewhere on the material. The GO-Biz logo may not be placed in close proximity to any third party logo, or used in such a way as to imply that a relationship exists between GO-Biz and any third party. Any use of the GO-Biz logo must be accompanied by one of the above disclosure statements within reasonable proximity to the logo.

Neither the GO-Biz logo nor the acknowledgement statement may be used in connection with activities outside the scope of work. Similarly, the GO-Biz logo and acknowledgement statement may not be used on items used in conjunction with fundraising, lobbying, or the express or implied endorsement of any goods, service, entity, or individual. The GO-Biz logo and acknowledgement statement may not be used on social media sites without CalOSBA at GO-Biz’s prior written approval.

Failure to comply with the publicity and acknowledgement constitutes poor performance and may affect future funding opportunities from GO-Biz.

9. **Termination of Agreement.** Either party may terminate this AGREEMENT upon thirty (30) days advance written notice to the other party. Upon termination of this AGREEMENT, GO-Biz agrees to compensate RECIPIENT for all allowable, unavoidable, expenses reasonably incurred by RECIPIENT in the performance of its work under this AGREEMENT by the date of termination. RECIPIENT agrees to complete services and/or provide required deliverables through the date of termination.

If a RECIPIENT is unable to receive state matching funds for any reason, including, but not limited to the termination of its cooperative agreement with the U.S. Small Business Administration to act as a Lead Center by the U.S. Small Business Administration (“Terminating



Event”), the state is obligated to compensate RECIPIENT only for all allowable and unavoidable expenses reasonably incurred by RECIPIENT incurred in the performance of its work under the AGREEMENT as of the effective date of the Terminating Event. **THE RECIPIENT MUST NOTIFY GO-BIZ OF TERMINATION OR NON-RENEWAL OF FEDERAL CONTRACT OR GRANT AGREEMENT, COOPERATIVE AGREEMENT, OR IF ITS OPERATIONS ARE AT RISK OF BEING PLACED ON PROBATIONARY STATUS WITHIN 48 HOURS VIA EMAIL TO [SBTAEP@GOBIZ.CA.GOV](mailto:SBTAEP@GOBIZ.CA.GOV) WITH A COPY TO THE CALOSBA PROGRAM MANAGER, CURRENTLY [MICHELLE.RADMAND@GOBIZ.CA.GOV](mailto:MICHELLE.RADMAND@GOBIZ.CA.GOV).**

10. **Modification or Waiver.** No part of this AGREEMENT shall be modified without the express written consent of both parties. The waiver by one party of any breach of any term or condition of this AGREEMENT shall not be construed as a waiver of any similar or other breach of any term or condition of this AGREEMENT. Nor shall said waiver be construed as a continuing waiver of the original breach.

11. **Assignment.** No part of this AGREEMENT may be assigned by either party without the prior written consent of both parties.

12. **Amendments.** GO-Biz may amend agreements if necessary as a result of external factors, including changes in federal funds, SBDC closures or openings, SBDC staffing issues, noncompliance in carrying out the agreement or other agreement-related issues that may arise during the 2020/21 period. In some cases, a SBDC may not be able to spend their 2020/21 Award in full. If needed, a portion of a SBDC’s funding may be redirected to other SBDCs in the same region without an amendment if the changes in funding results in no net change to the total Award in the agreement. Funding redirections that result in no net change in total Award require the submission of a Change Order Request Form, Exhibit F, from the Lead Center to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov). GO-Biz will evaluate requests and provide written approval, if allowed. Funding redirections that result in a change in the total Award in an agreement will also require the submission of a Change Order Request and will result in an amendment. RECIPIENT acknowledges that failure to fully spend-down within the 2020/21 Period of Performance may affect future funding requests from GO-Biz.

13. **Invoicing and Reporting Requirements.** RECIPIENT must provide the required reports to CalOSBA at GO-Biz by the established deadlines. Failure to file timely reports will be tracked for grant performance and may result in withholding reimbursements and could affect future requests for funding. CalOSBA at GO-Biz will provide RECIPIENT with reporting and invoicing portal instructions by January 31, 2021.

- a. **Reporting Requirements.** RECIPIENT must electronically submit performance reports quarterly during the 2020/21 Period of Performance. Quarterly



performance reports are due within forty-five (45) days after the completion of the quarter and within sixty (60) days of the last quarter. Performance reports must address the Center's progress towards meeting the major activities, objectives, and performance goals from the approved proposal in a brief narrative. These Reports must be a summary of the activities, outputs, outcomes, and achievements in these reporting categories with accompanying management analysis. Furthermore, these Reports must justify the invoiced expenditures.

- b. **Invoicing Requirements.** RECIPIENT must electronically submit a quarterly invoice to CalOSBA at GO-Biz within forty-five (45) days after the completion of the first three quarters and within sixty (60) days of the completion of the fourth and final quarter of the 2020/21 program period. CalOSBA on behalf of GO-Biz will not process any payment request submitted more than ninety (90) calendar days after the end of the specified quarter.

Data reporting performance goals/measurements are collected through the CalOSBA/GO-Biz Grantee Portal. Data integrity and the verification and validation of performance results are a CalOSBA and GO-Biz priority, and also provide the validation of the quality and impact of the program. Centers are obligated to meet, at minimum, once a quarter with CalOSBA staff to share performance progress, and discuss any barriers or opportunities including shared best practices.

14. **Payment.** CalOSBA on behalf of GO-Biz agrees to pay approved invoices within forty-five (45) days upon receipt. In no event shall the RECIPIENT request reimbursement from GO-Biz for obligations entered into or for costs incurred prior to the commencement date or after the expiration of this AGREEMENT. Invoices shall be paid upon satisfactory completion of AGREEMENT work and submittal of the all reports required in this AGREEMENT as described in the AGREEMENT and the Exhibits. "Satisfactory completion" as used in this AGREEMENT means that the RECIPIENT has complied with all terms, conditions, and performance requirements of this AGREEMENT. All Award and SBA Matching Funds shall be used solely for the purpose of performing the work as set forth in this AGREEMENT and Exhibit B.

15. **Indemnification/Warranty Disclaimer/Limitation of Liability.** RECIPIENT shall defend, indemnify and hold GO-Biz and the State of California, its agents or assigns, harmless from and against all claims, damages, and liabilities (including reasonable attorneys' fees) arising from RECIPIENT'S or its agents' or assigns' willful misconduct or gross negligence in connection with this AGREEMENT; provided that, RECIPIENT shall not be liable for any direct, indirect, incidental, special or consequential damages that arise from a breach of this AGREEMENT. UNDER NO CIRCUMSTANCES WILL THE STATE OF CALIFORNIA, GO-BIZ, ITS AGENTS OR EMPLOYEES, OR ANYONE ELSE INVOLVED IN THIS AGREEMENT BE LIABLE TO RECIPIENT FOR ANY DIRECT,



INDIRECT, INCIDENTAL, SPECIAL OR CONSEQUENTIAL DAMAGES THAT ARISE FROM THIS AGREEMENT, UNLESS GO-BIZ ENGAGES IN WILLFUL MISCONDUCT OR IS GROSSLY NEGLIGENT IN CONNECTION WITH THIS AGREEMENT.

16. **Force Majeure.** If by reason of force majeure the RECIPIENT's performance hereunder is delayed, hampered or prevented, then the performance by the RECIPIENT may be extended for the amount of time of such delay or prevention. The term "Force Majeure" shall mean any fire, flood, earthquake, or public disaster, strike, labor dispute or unrest; embargo, riot, war, insurrection or civil unrest; any act of God; any act of legally constituted authority; or any other cause beyond RECIPIENT's control which would excuse the RECIPIENT's performance as a matter of law.

17. **Notice of Force Majeure.** RECIPIENT agrees to give GO-Biz written notice of an event of force majeure under this Paragraph within ten (10) days of the commencement of such event and within ten (10) days after the termination of such event, unless the Force Majeure prohibits RECIPIENT from reasonably giving notice within this period, in which case, RECIPIENT will give such notice at the earliest possible time following the Force Majeure.

18. **Public Records.** RECIPIENT acknowledges that GO-Biz is subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). This AGREEMENT and materials submitted by RECIPIENT to GO-Biz may be subject to a PRA request, except in the event that such documents submitted to GO-Biz are considered confidential information and exempt under the PRA. In the event records of the RECIPIENT are requested through a PRA, GO-Biz will notify the RECIPIENT, as soon as practicable that a PRA request for the RECIPIENT's information has been received, but not less than five (5) business days prior to the release of the requested information to allow the RECIPIENT to seek an injunction. GO-Biz will work in good faith with the RECIPIENT to protect the information to the extent an exemption is provided by law.

19. **Nondiscrimination.** RECIPIENT shall comply with all applicable federal and state laws and statutes related to nondiscrimination, including those acts and amendments prohibiting discrimination on the basis of race, color, religion/creed, sex/gender (including pregnancy, childbirth, breastfeeding or related medical condition), sexual orientation or gender identity/expression, ancestry/national origin, age (40 or older) , marital status disability (mental and physical), medical condition, genetic information, military or veteran status.

20. **Retention of Records.** RECIPIENT agrees to maintain and preserve all records relative to this AGREEMENT for three (3) years after termination. RECIPIENT agrees to permit CalOSBA and GO-Biz's duly authorized representatives to have access to and to examine and audit any pertinent books, documents, papers, and records related to this AGREEMENT.

21. **Audit / Review.** The books and accounts, files, and other records of the RECIPIENT

which are applicable to this AGREEMENT shall be available for inspection, review, and audit during normal business hours by GO-Biz, CalOSBA, and its representatives to determine the proper application and use of all funds paid to or for the account or benefit of the RECIPIENT. RECIPIENT agrees that CalOSBA and GO-Biz may request additional information about federal funding that has been drawn down related to this AGREEMENT.

22. **Severability.** Should any part, term, or provision of this AGREEMENT be declared or determined by any court or other tribunal or appropriate jurisdiction to be invalid or unenforceable, any such invalid or unenforceable part, term, or provision shall be deemed stricken and severed from this AGREEMENT. Any and all other terms of this AGREEMENT shall remain in full force and effect.

23. **Applicable Law.** This AGREEMENT and any disputes concerning it shall be interpreted under the laws of the State of California.

24. **Interpretation.** Each party has had the opportunity to seek the advice of counsel or has refused to seek the advice of counsel. Each party and its counsel, if appropriate, have participated fully in the review and revision of this AGREEMENT. Any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in interpreting this AGREEMENT. The language in this AGREEMENT shall be interpreted as to its fair meaning and not strictly for or against any party.

25. **Days.** Any reference to days in this AGREEMENT, unless specifically stated to be business days (which shall be Monday through Friday and shall not include weekends or state holidays), shall mean calendar days.

26. **Notices.** Any notices required or permitted to be given under this AGREEMENT shall be given in writing and shall be delivered (a) in person, (b) by certified mail, (c) by facsimile with confirmed receipt required, electronic communication with confirmed receipt required, or (d) by commercial overnight courier that guarantees next day delivery and provides a receipt, and such notices shall be addressed as set forth below, or as the applicable party shall specify to the other party in writing.

27. **Representation on Authority of Parties/Signatories.** Each person signing this AGREEMENT represents and warrants that he or she is duly authorized and has legal capacity to execute and deliver this AGREEMENT. Each Party represents and warrants to the other that the execution and delivery of the AGREEMENT and the performance of such Party's obligations hereunder have been duly authorized and that the AGREEMENT is a valid and legal agreement binding on such Party and enforceable in accordance with its terms.

28. **Entire Agreement.** This AGREEMENT, including any referenced attachments,



appendices and references, constitutes the entire AGREEMENT and supersedes any other written or oral representations, statements negotiations, or agreements.

29. **Contents and Order of Precedence.** Included in this AGREEMENT are the following exhibits and all exhibits are hereby incorporated by reference into this AGREEMENT

- a. Exhibit A – California Office of the Small Business Advocate Governor’s Office of Business and Economic Development Logo
- b. Exhibit B – Scope of Work, Performance Metrics, and Budget
- c. Exhibit C – SBA Cash Match Certification
- d. Exhibit D - 2020/21 Program Announcement
- e. Exhibit E – Change Order Request Form - Instructions

**Exhibit A – California Office of the Small Business Advocate  
Governor’s Office of Business and Economic Development Logo**



**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

Click here to download CalOSBA GO-Biz Logos: [CalOSBA GO-Biz Toolkit](#)

END EXHIBIT A



## **Exhibit B – Scope of Work, Performance Metrics, and Budget**

This establishes the annual Capital Infusion Program scope of work and performance metrics for each grant recipient during the 2020/21 GO-Biz Capital Infusion Program.

EXHIBIT C  
S-7519-CROED

General Info	
Application ID:	76
Application Type:	Capital Infusion Program
Status:	Awarded
Lead Organization Type:	OC IE SBDC
Is this a network wide proposal?	Yes
Address Line 1:	800 N. State College Blvd.
Address Line 2:	
City:	Fullerton
State:	California
Zip Code:	92831

Authorized Representative	
Last Name, First Name:	Kissel, Charles D.
Email:	ckissel@fullerton.edu
Organization:	CSU Fullerton Auxiliary Services Corporation
Title:	Executive Director
Phone Number:	(657) 278-4100

Fiscal Authority	
Legal Host Name:	CSU Fullerton Auxiliary Services Corporation
Address Line 1:	1121 N. State College Blvd.
Address Line 2:	
City:	Fullerton
State:	California
Zip Code:	92831



# Proposal

**Center Name:** Orange County Inland Empire Small Business Development Center

**Center Director:** Mike Daniel

**Center Email:** midaniel@fullerton.edu

**Center Email:** (657) 278-5168

**Center Location:** 1 Banting, Irvine, CA 92618

**Geographic Area of Service:** Orange, Riverside, San Bernardino

**Assembly District(s):** 40, 42, 47, 52, 55, 56, 60, 61, 65, 67, 68, 69, 72, 73, 74

**Senate District(s):** 20, 23, 28, 29, 31, 34, 36, 37

## **1. Describe the Center's current and proposed approach to providing capital infusion services.**

In a recent Babson College "State of Small Business" report, they concluded that access to capital is the biggest obstacle in starting or growing businesses in any community. Funding is either limited, expensive or non-existent for many current or future business owners. Financing is an area many small business owners know very little about, the network's mission is to be the conduit between the business and the "right" funder for each unique situation. The Orange County Inland Empire SBDC Network has created several options to assist current and future business owners with accessing this much-needed capital. The OCIE SBDC focuses on three distinct forms of capital within the region: debt, equity and non-dilutive or more specifically, SBIR/STTR awards. The OCIE SBDC has been a leader in capital infusion within the national SBDC program for the past five years. Last year the OCIE SBDC amassed more than \$272,000,000 in both debt and equity capital for our clients.

The SBDC Finance Centers, which are positioned in each of the four core SBDC centers, employs loan consultants that assist clients through the loan packaging process and then shop loans for OC/IE SBDC clients. The consultants in the SBDC Finance Centers are all current or former underwriters in lending institutions. The process starts with the loan consultant working with a client to assemble a bank worthy loan package. Once a loan package has been created the loan specialist's job is to reach out to the several banks, CDFI's and non-profits that might be interested in a client's loan package. The business consultant actively shops the loan for the client with a core group of collaborating financial institutions that actively engage with the SBDC Finance Center. We have grown partnerships with these funding sources and rather than partnering with banks at a branch level, we work with the decision makers and loan underwriters to receive quick decisions as to whether the loan is bankable – saving our clients' time and energy.

The OCIE SBDC Network has three tech centers that have specialty services that include assistance with business and marketing strategy, funding/pitching, debt and equity funding, term sheets, hiring/staffing issues, board of directors/advisors, SBIR/STTR and FDA/NIH/NSF funding, as well as technology commercialization including regulatory pathway and reimbursement strategy assistance. In particular, the centers conduct Pitch Review sessions for clients who are ready to pitch to, or request funding from, equity investors. These sessions simulate a real equity investor presentation



environment, including question and answer forum, which provides clients with the opportunity to practice and refine their pitch. The centers also provide training events on pitch prep, debt and equity funding, and SBIR/STTR funding. In the 2019/2020 funding year, we expect to add additional events in these areas, including events on the Southern California Investor Landscape, Angel Panels, Valuation and Term Sheets, and Venture Financing.

Access to venture capital is a huge need in the OCIE SBDC region and the network utilizes its tech centers, to evaluate companies on four readiness factors (i.e., market opportunity, product viability, commercialization plans, and team capacity). Second, an 8- to 10-member panel of volunteer, industry-specific subject matter experts evaluate the company's business plan on 25 to 30 metrics that are essential for startup success. Third, companies receive dashboards evaluating their relative position against other companies (funded and unfunded) in their sector based on five metrics (i.e., market opportunity, investment opportunity, technical solution, management team, and business plan). Next, companies receive the expert consulting and support they need to address any barriers to success and to become investment-ready. Finally, the SBDC makes introductions to potential investors and sources of capital infusion that will support the company's growth and create jobs.

The OCIE SBDC network partners with all three counties (Orange, Riverside and San Bernardino) and many of the cities within those counties on grant and loan funds. The network is currently assisting sixteen cities within Orange County and San Bernardino with special CARES Act grant funding that is being allocated directly to small businesses within each community. The network has built the program, vetted the small businesses owners and is assisting the cities with disbursement of funds. The total amount of funding between all of the cities and the three counties equates to more than \$50,000,000. The OCIE SBDC network also assists the County of Riverside and the cities of Garden Grove, Fullerton and Westminster with their Revolving Loan Funds. The OCIE SBDC packages all of the loans and goes through a full underwriting before presenting to the loan committees.

## **2. Describe the Center's outreach strategy and how the Center complements and leverages partner relationships.**

The OCIE SBDC Network utilizes its resources to create new relationships and partnerships that bring the network clients, potential funding opportunities and new resources. For debt funding, the network has built several key relationships over the past several years of its operation. The role of the SBDC Finance Centers is to understand all lending resources in the region and understand what their credit box is and what type of clients they are looking to fund. The Finance Center works with more than 100+ lenders and understands who will fund start-ups versus existing business and who does micro loans versus commercial property loans. Some of the partners that the center works with include, CALED in their new statewide revolving loan fund. We have the first funding recipient in the program, which is a container park in Long Beach where eight food-based businesses all started. The network partners with the Jewish Free Loan Association, Opportunity Fund, Accion and other micro-loan programs in assisting our clients with sourcing small dollar loans that are for harder to fund clients. The County of Riverside partners with the network on their \$2mm EDA Revolving Loan Fund. Other lenders that the network works with include; Veteran Launch, Kiva and many others that offer competitive rates and fund businesses that would not traditionally be fundable. There are many banking and lending institutions such as Chase, Wells Fargo, Union Bank and others that send the



Coachella Valley SBDC  
Hosted by County of Riverside - Office of Economic Development

Budget Category	GO-Biz Grant	SBA Match Funds
Business Advising/Consulting	\$ 50,000.00	\$ 50,000.00
Budget allowance to further services to disadvantaged areas and underserved groups. May include marketing, administrative and other misc. expense with the exception of indirect costs.[1]		\$ -
Program Marketing	Not allowed	\$ -
Training Costs		\$ -
Administration		
Other (please specify)		
Total	\$ 50,000.00	\$ 50,000.00

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**Budget Justification**

All monies received from GO-Biz must be spent entirely on one-on-one consulting for SBDC Clients. This money will be spent on paying consultants to do one-on-one advising for clients seeking access to capital

OCIE SBDC their clients, when those larger lenders are unable to fund them directly.

Equity capital and creating partnerships and bringing investment into the region is a major platform for the OCIE SBDC network. The OCIE SBDC network has three centers that have their own venture fund (OCTANe Visionary Fund, COVE Fund and Highlander Fund), along with the ability to bring angel and VC funding to the region. The network has established partnerships with service companies and professional organizations to offer our clients expanded resources for generating growth and the success of their small businesses. These partnerships include the Greater Irvine Chamber of Commerce, Hispanic Chamber of Commerce, OCRA – Orange County Regulatory Affairs Discussion Group, OC Startup Council, Device Alliance, Troutman Sanders, Pivotal Law Group, Stradling, and Wilson Sonsini. With a large focus on medical device and medical technology, the network partners with companies such as Knobbe Martens, Allergan, Edwards Lifesciences, Microsemi, RSM, DevicePharm, Deloitte, Experian, K&L Gates, Medtronic and many others to bring expertise, capital and relevance to the SBDC clients. Cascading goals to these partners and providing reciprocal referrals strengthens the ecosystem and connects small business clients to service providers, strategic and industry partnerships, as well as opportunities for funding and capital infusion.

The OCIE SBDC network has built relationships with all three counties, Orange, Riverside and San Bernardino, which are three of the most populous counties in the country. The network has created relationships with Federal, State and local legislators and often partners with elected officials on programming and training events. Working directly with many of the 96+ cities and unincorporated areas within the service territory has allowed the OCIE SBDC network to have a much larger presence within the community. The network has recently rolled out several grants, in partnership with many of these cities and with the County of Orange, Riverside and San Bernardino. This has led to additional programming and local funding for the SBDC program. The network often holds town hall meetings or speaks about specific relevant small business topics with state and Federal officials. The network works directly with the Small Business Administration (SBA) and Governor's Office of Business and Economic Development (GO-Biz) in implementing programming, training and leveraging partnerships that assist small business owners throughout the region.

**3. Describe the Center's screening process and how consulting services are rendered (e.g. what is the first touch point for the new client, and how is the client matched with an advisor)**

The Orange County Inland Empire SBDC Network has created two-call centers; one for the six centers in Orange County and another call center for the three centers in the Inland Empire. Potential clients either call into the call center directly or fill out a request for consulting through Neoserra, the network's CRM program. Clients are vetted by the admin team and are assigned a center and consultant that best fits the client's needs. Clients also have the ability to enter directly into a center or see a specific consultant, if they attended a workshop or were referred by a partner. While every center will have processes on their individual client intake, at minimum the centers will follow the below procedures.

Request for Service: Becoming a Client

Once a small business owner or entrepreneur has been accepted/approved for a consulting engagement, they are to become a client, which means they must complete Form 641, Request for



Consulting. The preferred method for clients to complete Form 641 is via eCenter, which captures an electronic signature and is automatically entered into Neoserra. Should the client complete a paper 641 Form, the center is responsible for creating a client file in Neoserra by entering in all of the information from the 641 Form and then uploading the signed 641 Form to the client file in Neoserra.

#### Outcomes Driven Consulting Process

In order to accomplish goals of increasing client's management capability and enhanced business performance, services are to be provided utilizing an outcome based consulting process. Rather than focusing solely on consulting hours as a measure of effectiveness, the outcome based process focuses on achieving outcomes. In this process, a client's needs are identified and a scope of work developed to meet those needs, which results in the accomplishment of relevant milestones.

#### Initial Consulting Session

During the initial consulting session, the consultant should gain an in-depth understanding of the client's history. This client history includes the client's background both educational and industry, if the client is in business what is the history and status of the business, and what the client thinks his/her needs are. It is also important that the consultant educate the client about the SBDC program in that we are funded by the SBA and measured on outcomes, the need for clients to report outcomes and participate in surveys, and that consulting services are at no cost to the client.

Once the consultant and client are in sync regarding the clients' needs and the consulting engagement, a scope of work for the client needs to be developed. This Scope of work should be created no later than the second consulting sessions. Completion of the scope of work should result in the achievement of SBDC milestones. The Scope of work determines the following:

- Problem Identification: outline the key issues and problems the client has raised and which will be the focus of the consulting engagement
- Expected Outcome of the consulting engagement: outline what will be the final product or outcome of this consulting engagement: which milestones will be achieved and what can the client expect at the end of the engagement.
- Consultant's responsibilities: outline steps or activities consultants will undertake during the engagement to help the client solve the issues and problems and accomplish the milestones identified
- Client's responsibilities: Outline tasks the client is expected to perform during the engagement: information the client needs to provide; training recommended for the client to attend; and type of support, cooperation, and assistance needed from the client.
- Length of Engagement: outline how long the various steps involved in the engagement will likely take to complete

#### Managing the Engagement

Successfully managing the overall engagement depends on the continuous interaction between the client and the consultant. There may be preliminary tasks that are accomplished early in the engagement and larger tasks, which take longer to complete. If the consultant makes recommendations, they should follow up regularly to see whether the client has made progress towards implementation. Interactions between the client and the consultant are tracked in Neoserra with complete session activity entered for each interaction with the client and daily activity on work for the client, and with milestones achieved.

### Outcomes Driven Consulting

In order to accomplish goals of increasing client's management capability and enhanced business performance, services are to be provided utilizing an outcome based consulting process. Rather than focusing solely on consulting hours as a measure of effectiveness, the outcome based process focuses on achieving outcomes. In this process, a client's needs are identified and a scope of work developed to meet those needs, which results in the accomplishment of milestones.

**Total Unique Clients Consulted: 1,500**

**Total New Clients Consulted: 1,000**

**Total Dollar Amount of Loans: \$10,000,000**

**Total Dollar Amount of Equity (to include private investments): \$30,000,000**

**Total Dollar Amount of Additional Funds Raised (non-dilutive, funding, grants, etc.):  
\$1,000,000**

**Total Budget Request: \$519,300**

**Total Budget Request (all centers): \$519,300**



## **Exhibit C - Certification of SBA Cash Match**

This establishes the annual SBA Cash Match for the grant recipient during the 2020/21 GO-Biz Capital Infusion Program.

**Capital Infusion Program CERTIFICATION  
OF SBA CASH MATCH Grant Period: 10/1/2020  
through 9/30/2021**

<b>Name of Host Organization:</b> CSU Fullerton Auxiliary Services Corporation	<b>Street Address:</b> 1121 N. State College Blvd., Fullerton, CA 92831
<b>Name of Lead Center:</b> Orange County Inland Empire Small Business Development Center	<b>City, State and Zip</b> 1 Banting, Fullerton, CA 92618

**SBA CASH MATCH**


As the duly authorized Officer/Representative of the Lead Center described above, I hereby certify that the CIP program budget for the grant period indicated above will contain actual cash match dollars in the amount of \$ 519,300 from the U.S. Small Business Administration.


**MID-YEAR AND YEAR-END MATCH**

As the duly authorized Officer/Representative of the Lead Center described above, I hereby certify that the spenddown of the GO-Biz grant and SBA cash match dollars will reflect a cumulative 1:1 ratio at the mid-year and year-end of the grant period for each grantee in the Lead Center Applicant's region.

**MID-YEAR AND YEAR-END UNDERMATCH CONDITIONS**

If the Lead Center is under-matched at the mid-year or year-end of the grant period, I understand that the Lead Center will not be eligible to receive GO-Biz reimbursement payments for the remainder of the grant period, and possibly for subsequent grant periods as well.

SIGNED:   
Authorized Representative/Officer  
TITLE: Regional Director, OCIE SBDC  
DATE: 08.06.2020

SIGNED:   
Authorized Representative/Financial  
TITLE: Executive Director  
DATE: 13 Aug 20



## Exhibit D – 2020-21 Program Announcement



**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

**California Office of Small Business Advocate**

**Governor Gavin Newsom's Office of Business and Economic Development**

**2012/21 Capital Infusion Program**

**A grant program for federally awarded Small Business Development Centers (SBDC)**

**Program Announcement**

**Opportunity Number: CACIP2020**

**Total Program Funding: \$3,000,000**

**Released:**

July 13, 2020

**Proposals due:**

By 11:59:59 PM PST on August 14, 2020

Proposals submitted after the stipulated deadline will be rejected without being evaluated with no exceptions. Please make every effort to submit at least 48 hours in advance in case you experience technical difficulties.

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## About the Program

### Overview

The California Small Business Technical Assistance Expansion Program (SB TAEP or Program) was created in 2018 to expand the capacity of federal small business technical assistance programs in California. The Program was enacted in Government Code Section 12100.60-12100.69. The California Office of Small Business Advocate (CalOSBA) at the Governor's Office of Business and Economic Development (GO-Biz) is charged with implementing and administering the Program.

For the 2020/21 fiscal year, the state budget includes \$20 million General Fund to establish programs (CIP and TAEP) to provide funding to augment existing small business services such as free or low-cost one-on-one consulting and low-cost training. Of that amount, \$3 million is provided each year, for the next five years for Small Business Development Centers' local cash match funding.

### Purpose and Background

The purpose of this grant is to help small businesses and entrepreneurs navigate the financing landscape and successfully access the funding they need to operate and/or expand their businesses. Challenges in accessing capital remain a barrier to growth for the state's small business base. Funding for the program is made available through the State of California, and the CalOSBA at GO-Biz is responsible for administration of the grant.

This grant announcement (Announcement) is to invite proposals from a Small Business Development Center (SBDC) Network Lead Center in the State of California to assist small businesses and entrepreneurs to obtain access to capital to fund business consulting services. Applications from Lead Centers should include subcenter funding proposals and be submitted as one consolidated application per SBDC region. Only applications that are submitted by SBDC Lead Centers will be considered for funding.

SBDC grantees should leverage their state funding to draw down SBA funds and work in conjunction with other resource partners such as CA iHub partners, SCORE, Women's Business Centers, Veteran Business Outreach Centers, Procurement Technical Assistance Centers, minority business programs and institutions of higher educations, private organizations, chambers of commerce, trade and industry groups and associations that are committed to the growth and success of small business.

## Definitions

Definitions that pertain to this Program Announcement are provided below.

- “Applicant” means a Lead Center or subcenter in the Small Business Development Center Network.
- “Capital infusion” means the acquisition of funding for business operations and growth, including SBA loans<sup>1</sup>; non-SBA loans; government grants, reimbursements, and tax credits; nontraditional lending; and non-owner equity investment. Owner equity is excluded from the Program.
- “Capital infusion business consulting” Includes SBDC personnel or third-party individuals hired to provide consulting to businesses on credit readiness, planning for growth, growth acceleration, applying for a loan and obtaining equity investments. Consulting includes all work with a client, whether a startup or existing business, that may lead to a loan or equity event. This includes client-specific credit consulting, financial education and related consulting subject matter, such as marketing, job creation and use of technology as long as the consulting scope of work is connected to an overall capital infusion goal. So long as the client is making steady improvements in their business that would make the client more bankable/investable, all consulting for these clients is allowable for reimbursement.
- “Capital infusion milestone” means loan or equity events that have occurred as part of the Program, which are fully documented and verifiable with the participating lender or investor. Documentation must identify the client names and the lender/investor names. **Capital infusion milestones must be reported in the quarter when verification was provided by the client (as opposed to when the funds were generated).**<sup>2</sup> Acceptable forms of milestone documentation include:
  - An official loan agreement or investment agreement.
  - A document directly originating from the lender or investor attesting to the commitment of funds or completed loan or investment. For venture capital infusion milestones, a screen shot of an online third-party data source, such

<sup>1</sup> GO-Biz will accept the entirety of a 504 Loan capital infusion milestone when accomplished through the Program. GO-Biz understands that a minimum 10% of the loan package is comprised of owner investment, however, since the investment is included as part of the total credit memorandum, GO-Biz will count the entirety of the 504 milestone as applicable to the Program.

<sup>2</sup> Milestones that are verified beyond 60 days of the grant year will not be allowed. Milestones generated in one grant year cannot be counted in a subsequent grant year. If a milestone is generated in the fourth quarter, it may be reported in that quarter if verification is provided up to 60 days after the specified grant year. If verification is provided after the annual report is submitted, a revised report template must be submitted to GO-Biz.



as Socaltech or Crunchbase, that identifies the total venture capital investment.<sup>3</sup>

- For crowdfunding capital infusion milestones, a screen shot that identifies the total amount generated from a crowdfunding campaign.
- “Center” means a Lead Center or subcenter in the SBDC Network.

### **Webinar – Application Tutorial**

Friday, July 17, 2020 from 2:00 PM to 2:30 PM. Note: This webinar is in tandem with the small business technical assistance pre-bid webinar. Only SBDC Leads will remain on the webinar beginning at 2:00 PM PST.

[Click Here for the Zoom Webinar Registration](#)

### **Dates and Deadlines**

July 13, 2020	Program Announcement Release
July 17, 2020	Webinar – Application Tutorial at 2:00 PM PST
August 14, 2020	SBDC grant application deadline (must submit online by 11:59:59 PM PST)
August 17 – September 1, 2020	Proposal Review
September 9, 2020	Grant awards announced
October 1, 2020	Grant program begins
September 30, 2021	Grant program ends

<sup>3</sup> When conducting program reviews, GO-Biz will directly contact the business owner to verify venture capital infusion milestones.

## Award Information

### Funding

GO-Biz expects to issue \$3 million in grant awards in 2020-21. Grant awards will be distributed to the five (5) regional SBDC Networks that operate in California based on a pro rata state population share, as used by the U.S. Small Business Administration. For the 2020-21 fiscal year, the population share distribution is as follows:

Region	Population Share (%)	Funding Amount
Northern CA	33.63%	\$1,008,900
Central CA	11.68%	\$350,400
Los Angeles	29.01%	\$870,300
Orange County/Inland Empire	17.31%	\$519,300
San Diego/Imperial Valley	8.37%	\$251,100

Applicants may submit a proposal for an amount up to the set award amount for their respective region.

### Period of Performance

Awards will be made for a one-year period of performance. The grant will fund allowable services over a twelve-month period, from October 1, 2020 through September 30, 2021.

### Funding Information

Funds provided under the Program must be used solely for the purposes stipulated in this Announcement and subsequently in the Agreement between GO-Biz and the Lead Center. All costs incurred under the Program must meet the tests of reasonableness, allowability and allocability in accordance with the Program's allowable costs and grant agreement terms. Indirect costs may not be claimed as part of the proposal budget.

### Funding Instrument

The funding instrument is a grant agreement. The Lead Center may subcontract funds to participating subcenters and entities that have formal agreements with the Lead Center to provide consulting services.



### Matching Requirement

Awards require a 1:1 match of SBA funds. For each grantee, the spenddown of the GO-Biz grant and SBA funds must reflect a cumulative 1:1 ratio at the end of the second quarter (mid-year) and the fourth quarter (year-end).

Lead Centers will be required to complete a Certification of SBA Cash Match. This certification consists of a separate form that requires authorized representatives from the Lead Center and fiscal host to certify the total amount of SBA cash match dollars that all grantees from the region will spend to carry out the Program. This amount will be equal to the total grant award for the region.

If the GO-Biz grant amount changes as a result of a budget amendment, a revised Certification of SBA Cash Match will be prepared and attached to the amendment for concurrent signature.

### Eligible Applicants

Applications may only be submitted by SBDC Lead Centers as one consolidated application per SBDC region.

### Technical Proposal Evaluation

GO-Biz will review the applications and assess the proposal's approach to delivery of services and accompanying milestones. GO-Biz may ask Applicants for clarification of the technical aspects of their proposals.

### GO-Biz Oversight

GO-Biz has the right to conduct a programmatic and financial review of any grant recipient. The review will consist of a remote evaluation by GO-Biz staff of a center's third-party verification of capital infusion milestones. Lead Directors will work with selected grantees in their region to collect and submit electronic copies of milestones to GO-Biz. GO-Biz will inform Lead Directors by email about the selection of centers in their region and email instructions no later than thirty (30) days before the program review.

If an applicant ceases to operate as a Lead Center for the U.S. Small Business Administration, the state is obligated to compensate the Lead Center only for all allowable and unavoidable expenses reasonably incurred by the Lead Center incurred in the performance of its work under the agreement as of the effective date of the Terminating Event. In addition, if a Lead Center has received notification by the U.S. Small Business Administration that its cooperative agreement is scheduled for termination or that its operations are placed under a probationary status, the Lead Center must notify GO-BIZ within 48 hours.

## Award Requirements

### Application Instructions and Submission

All applications, with required attachments, must be submitted electronically using the CalOSBA online application portal, which can be accessed at [grants.business.ca.gov](https://grants.business.ca.gov). Users of the portal will first need to create an account. Applications submitted via email or facsimile will not be reviewed or scored. A CalOSBA [online application guide can be viewed here](#).

***All applications must be submitted by the deadline and the online application portal will automatically close once the application deadline has passed. There are no exceptions or extensions of this deadline. Any technology challenges or inability of an applicant to submit an application by the deadline for any reason shall not be grounds for an extension of the deadline. Applicants are encouraged to submit their application before the deadline in the event technical assistance is required. For help applying, please send an email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) with the subject line: Technical Assistance Grant Online Help.***

CalOSBA's determination as to eligibility for grant funding, or the amount of grant funding awarded, is not subject to appeal. CalOSBA reserves the ability to modify applicant budgets if included costs are deemed ineligible. A Center and its fiscal host will be required to be in compliance with the Drug-Free Workplace Certification and Nondiscrimination Compliance Statement as required by state law.

### Required/Supporting Documents

All applicants must upload the following documents to their application:

- Certification of SBA Cash Match – [download this form here](#)
- STD.204 Payee Data Record Form – download this form at <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>
- STD.21 Drug-Free Workplace Certification – download this form at <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std021.pdf>

### Invoicing and Reporting Requirements

The Program requires awardees to submit quarterly invoices, a mid-year report, and an annual report on Program outcomes resulting from the grant award. Invoices and reports will be submitted electronically through the Small Business Grantee Portal. Significant deviations from the original milestones must be addressed by the awardee through an action plan. Milestones will be set by the Applicant. Reports are only required in the second and fourth quarters. Also, the Annual Report has been combined with the fourth quarter report.



Details are below.

Lead Centers will receive separate email instructions for the Grantee Portal, including log-in/password information, and tips on how to navigate the portal. A mandatory webinar training will be held no later than January 15, 2021.

The reports or portion thereof provided by SBDCs may be made public.

GO-Biz may withhold payment if reports are not received or are deemed inadequate. Failure to report in a timely manner may also be weighed against future applications for grant funding from GO-Biz.

GO-Biz reserves the right to audit information submitted in a performance report by requesting additional documentation, performing on-site visits, contacting clients served, or verifying other information as necessary to verify the information contained in the performance report.

### Quarterly Invoices

Quarterly invoices must be submitted by the Lead Center. Required information includes business consultant names, hourly consulting rates, and the number of hours worked. For every grantee, the spenddown of the GO-Biz grant and SBA funds must reflect a cumulative, year-to-date 1:1 ratio at the end of the second quarter (mid-year) and the fourth quarter (year-end). Invoicing amounts must exactly match the center's records. Invoice totals must not be rounded.

The Lead Center must submit to CalOSBA an electronic version of the quarterly invoices for all grantees in their region within 45 days after completion of the quarter. If the 45th calendar day occurs on a weekend or U.S. Federal/State holiday, the report should be submitted the first working day after the weekend or U.S. Federal/State holiday.

### Mid-Year Report

The mid-year report identifies the capital infusion milestones and number of clients consulted in the first and second quarters.<sup>4</sup> If a grantee fails to meet 50% of their annual goals by the end of the second quarter, they must include an underperformance narrative that explains why the goals were not met and provide an action plan for improvement.

**Capital infusion milestones must be recorded in the quarter when verification was**

<sup>4</sup> Every consulting hour paid for by state funds must be tagged with a Funding Source as "State." Any milestone event that occurs during the course of work done by the business consultant under the GO-Biz capital infusion grant must also be tagged with a Funding Source as "State." This includes business consulting funded by the GO-Biz grant or the SBA-match funding made available through the GO-Biz grant.

**provided (as opposed to when the funds were generated).**

### Annual Report

An annual report will be required from each Lead Center that summarizes grantee efforts to deliver capital infusion services in the region. The annual report is due within 60 days after the close of the grant period and must be submitted electronically using the Small Business Grantee Portal. Failure to submit this report accurately and in a timely manner could jeopardize future funding.

The annual report will contain the following information from each center.

- A. Capital infusion milestones and number of clients consulted in each quarter (quarters 1-4), **Capital infusion milestones must be reported in the quarter when verification was provided by the client (as opposed to when the funds were generated).**<sup>5</sup>
- B. Statement about performance, including successes and challenges associated with the Program. This section must also identify and explain any year-end underperformance in meeting capital infusion and clients consulted goals or underspent grant funds for each of the centers in the region.
- C. Brief discussion of access to capital services that were provided (one paragraph) in the region.

### Reporting Consulting Activity and Milestones in NeoSerra

Every consulting hour paid for by state funds must be tagged with a Funding Source as "State."

Any milestone event that occurs during the course of work done by the business consultant under the GO-Biz capital infusion grant must also be tagged with a Funding Source as "State." This includes business consulting funded by the GO-Biz grant or the SBA-match funding made available through the GO-Biz grant.

During program reviews, grantees may be asked to show how many state-funded consulting hours and SBA-funded consulting hours were provided to an individual client during the course of the grant period to verify an appropriate spend down of match funding.

<sup>5</sup> Milestones generated in one grant year cannot be counted in a subsequent grant year. If a milestone is generated in the fourth quarter, it may be reported in that quarter if verification is provided up to 60 days after the specified grant year. If verification is provided after the annual report is submitted, a revised report template must be submitted to GO-Biz. Milestones that are verified beyond 60 days of the grant year will not be allowed.



## Proposal Questions

This section provides the application questions

### Proposed Scope of Work

Please describe your activities as they pertain to the items below.

1. Geographic area of service
2. Describe the Center's current and proposed approach to providing capital infusion services.
3. Describe the Center's outreach strategy and how the Center complements and leverages partner relationships.
4. Describe the Center's screening process and how consulting services are rendered.

### Metrics

Proposed metrics for the 2020-21 grant period, which commences October 1, 2020 and ends September 30, 2021. Metrics should include all milestone outcomes that can be directly attributed to the GO-Biz Capital Infusion Program from both the state and SBA match consulting hours.

<b>2020/21 Proposed Metrics</b>	
Total Dollar Amount of Loans	\$
Total Dollar Amount of Equity (to include private investments)	\$
Total Dollar Amount of Additional Funds Raised (non-dilutive funding, grants, etc.)	\$
Total Unique Clients Consulted	\$

## **California Public Records Act**

By submitting an application, Applicant acknowledges that GO-Biz is subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). Consequently, materials submitted by an Applicant to GO-Biz may be subject to a PRA request. In such an event, GO-Biz will notify the Applicant, as soon as practicable, that a PRA request for the Applicant's information has been received, but not less than five (5) business days prior to the release of the requested information to allow the Applicant to seek an injunction. GO-Biz will work in good faith with the Applicant to protect the information to the extent an exemption is provided by law, including but not limited to notes, drafts, proprietary information, financial information and trade secret information. GO-Biz will also apply the "balancing test" as provided for under Government Code section 6255 to the extent applicable.



## **Exhibit E – Change Order Request Form - Instructions**

### **Overview**

The Capital Infusion Program (CIP) is a five-year program through June 30, 2023 that provides annual grant funding for one-year grant periods. Centers are expected to spend their annual award in full during the one-year grant period. On a case-by-case basis, upon written approval from GO-Biz, grantees may submit a change order request (COR) to ensure full spenddown of the annual award.

### **Process for Requesting a Change Order**

The grantee will provide a brief explanation for the change order request, including why funds are being redirected, proposed new use, and steps being taken to ensure region affected maintains service levels. A COR must be submitted for the following situations but not limited to:

- SBDC Regional Networks requesting redirection of funds between subcenters within the network that result in no-net change to overall budget
- Categorical redirection of funds greater than 10% of the total award amount
- Others as directed by GO-Biz and CalOSBA

COR approval is required in advance before any funds may be redirected by the grantee. A request must be submitted via email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov), with the subject line, "Grant Agreement #\_COR\_date."

[Click here to download Change Order Request Form](#) – Form must be submitted in excel format

### **Process for Approval**

CalOSBA will review, and if approved the COR will be e-signed by the current Program Manager and Director and returned to the grantee via email as an approved COR.pdf.













## CIP Annual Report

### **Final Narrative:**

The final report should detail your network's programs rolled out as part of your expansion grant, and your implementation challenges and successes achieved. Please tie your narrative to specific impact data as reported in performance metrics. Please include small business trends that impacted your programs.

The final narrative should detail the access to capital services/programs that were provided, and specific methodologies used to achieve goals.

### **Strategic Partnerships:**

Grantees must detail the ecosystem building achieved through any cross-cutting regional strategies, partnerships, and other collaborations utilized to achieve goals. A strong narrative in this section will detail how, if at all, these partnerships and collaborations yielded stronger outcomes for small businesses. It will also highlight any successes in implementing best practice sharing across these partnerships.

### **Underperformance Narrative:**

The underperformance statement must provide detail as to how and why the Center(s) was not able to meet the capital infusion goals and/or clients consulted goals, or, why there was underspent grant funds. An underperformance narrative must be made for each of the Centers in the region that underperformed against their specific goals.



WHEN DOCUMENT IS FULLY EXECUTED RETURN

**CLERK'S COPY**

to Riverside County Clerk of the Board, Stop 1010  
Post Office Box 1147, Riverside, Ca 92502-1147  
Thank you.

**SUBCONTRACT NO. S-7522-CROED**

THIS SUBCONTRACT NO. S-7522-CROED (hereinafter referred to as the "Subcontract") is entered into by and between **the COUNTY OF RIVERSIDE**, a political subdivision of the State of California, by and through its Office of Economic Development (hereinafter "Subcontractor"), host administrative agent for the Coachella Valley Small Business Development Center, located in Indio, California and **CSU FULLERTON AUXILIARY SERVICES CORPORATION** (hereinafter, "ASC") a California non-profit corporation which is a recognized auxiliary and fiscal agent of California State University, Fullerton, operating pursuant to California Education Code Section 89900, et seq. and California Code of Regulations Title 5, Section 42400, et seq. (hereinafter, "CSUF"), and host administrative agent for the Lead Center SBDC (hereinafter, "Lead Center") located in Fullerton, California. Subcontractor and ASC are individually referred to herein as a "Party" and collectively as the "Parties." The term "SBDC" used herein shall mean Small Business Development Center.

**RECITALS**

- A. **WHEREAS**, ASC is the prime awardee of an award issued by the California Governor's Office of Business and Economic Development GO-Biz (hereinafter "Prime Sponsor") under Agreement Number TAEP2020-C16 (hereinafter referred to as the "Agreement"), incorporated herein with this reference and attached as **Exhibit C** (Prime Award);
- B. **WHEREAS**, ASC desires to retain Subcontractor to perform services as specified in **Exhibit A** (Scope of Work) attached hereto and incorporated herein with this reference and intends to compensate Subcontractor for such services, as described in **Exhibit B** (Budget) attached hereto and incorporated herein with this reference;
- C. **WHEREAS**, in undertaking the performance of this Subcontract, Subcontractor represents that it is knowledgeable in its field and that any services performed by Subcontractor will be performed in compliance with this Subcontract, and the Exhibits; and,
- D. **WHEREAS**, Subcontractor and any additional subcontractors retained by Subcontractor agree to abide by all of the terms and conditions of this Subcontract and the Prime Award, **as set forth therein.**

**NOW, THEREFORE**, in consideration of the mutual and representative promises and subject to the terms and conditions hereinafter set forth, the Parties agree as follows:

**1. Principal Contacts.**

**For ASC:**

**Technical/Programmatic**

Michael Daniel

Regional Director

California State University, Fullerton

800 N. State College Blvd., SGMH-4157B

Fullerton, CA 92831

**Administrative**

Sydney Dawes

Director, Office of Sponsored Programs

CSU Fullerton Auxiliary Service Corp.

1121 N. State College Blvd.

Fullerton, CA 92831-3014

JUL 20 2021 3.23

Telephone: (657) 278-5168  
Email: [midaniel@fullerton.edu](mailto:midaniel@fullerton.edu)

Telephone: (657) 278-4103  
Email: [sdawes@fullerton.edu](mailto:sdawes@fullerton.edu)

**For SUBCONTRACTOR:**

**Technical/Programmatic/Administrative**

Robert Moran

Deputy Director County of Riverside Office of Economic Development

3403 10<sup>th</sup> Street, 4<sup>th</sup> Floor

Riverside, CA 92501

Telephone: (951) 955-6673

Email: [rmoran@rivco.org](mailto:rmoran@rivco.org)

Changes in Principal Contacts must be approved in writing by **Charles D. Kissel**, Executive Director of the CSU Fullerton Auxiliary Services Corporation and by **Suzanne Holland**, Director, County of Riverside Office of Economic Development, or their respective designees, for the respective Party.

2. **Scope of Work.** Subcontractor shall complete Leading Indicator Metrics of 166 clients assisted and 833 consulting hours provided and assist Lead Center to achieve the Lagging Indicators described in the Scope of Work which is attached and incorporated as **Exhibit A**.
3. **Term of Contract.** The period of performance of this Subcontract shall be from October 1, 2020 through September 30, 2021, subject to extension by the Prime Sponsor and mutual agreement of both Parties.
4. **Compensation.** Reimbursement of funds under this Subcontract is limited to **Fifty Thousand Dollars (\$50,000.00)**, as shown in **Exhibit B**.
5. **Matching Funds Requirement.** Subcontractor shall provide total Matching Funds of **Fifty Thousand Dollars (\$50,000.00)**, as shown in **Exhibit B**.

Note: The matching funds requirement is being met through the core SBDC grant from SBA OSBDC, under SBA Cooperative Agreement number SBAHQ20B0071. Thereafter, the matching funds shall be met through the core SBDC grant from SBA for 2021 funding.

6. **Delivery.** All materials and services called for under this Subcontract shall be completed and delivered to ASC on or before September 30, 2021.
7. **Allowable Costs and Fees.** Allowable costs and fees eligible for reimbursement to the Subcontractor for performance of this Subcontract must be in accordance with the terms of this Subcontract, including the attached Exhibits and the requirements of the Prime Sponsor.
8. **Termination of Subcontract.** Either Party may terminate this Subcontract upon thirty (30) days advance written notice to the other Party. Upon termination of this Subcontract, ASC agrees to compensate Subcontractor for all unavoidable expenses reasonably incurred by Subcontractor in the



performance of its work under this Subcontract by the date of termination, and Subcontractor agrees to complete services and/or provide required deliverables through the date of termination.

9. **Modification or Waiver.** No part of this Subcontract shall be modified without the express written consent of both Parties. The waiver by one Party of any breach of any term or condition of this Subcontract shall not be construed as a waiver of any similar or other breach of any term or condition of this Subcontract. Nor shall said waiver be construed as a continuing waiver of the original breach.
10. **Independent Contractor.** SUBCONTRACTOR shall, during the entire term of this Subcontract, be construed to be an independent contractor and not an employee of ASC. This Subcontract is not intended nor shall it be construed to create an employer-employee relationship, a joint venture relationship, or to allow ASC to exercise discretion or control over the professional manner in which SUBCONTRACTOR performs the services that are the subject of this Subcontract. The services to be provided by SUBCONTRACTOR, however, shall be provided in a manner consistent with all applicable laws, standards and regulations governing such services. SUBCONTRACTOR shall pay all salaries and wages, employees' social security taxes, unemployment insurance, and similar taxes relating to its employees and shall be responsible for all applicable withholding taxes.
11. **Assignment.** No part of this Subcontract may be assigned by either Party without the prior written consent of both Parties.
12. **Reporting Requirements.** Both financial and performance reporting are due at the end of each quarter of the contract period. In the event that there was no activity in the quarter, a financial and performance report are still due and would state that there was no activity or spenddown during the quarter. Subcontractor must submit an electronic version of the quarterly performance report in Microsoft Word to the Lead Center within twenty (20) days after the completion of a calendar quarter. Reports must be submitted utilizing GO-Biz template in Excel and PDF format. Each quarterly report must include the following items: (a) one (1) unique success each quarter, (b) PDF of GO-Biz template which must be signed by the Director, (c) general ledger for each invoice is to match the GO-Biz template, (d) host institution invoice required and must match general ledger and GO-Biz template, (e) Neoserra activity report for consulting and training by consultant: (i) the Go-Biz template must be accompanied by an activity report for consulting and training activities that matches the GO-Biz template stated hours for consulting and training per consulting, and (ii) funding sources must properly align in Neoserra with what is being reporting and invoiced, (f) underperformance report required if metrics or invoicing milestones are not met as indicated as follows: (i) Q1 spenddown or metrics achieved are not at 15%, (ii) Q2 spenddown or metrics achieved are not at 40%, (iii) Q3 spenddown or metrics achieved are not at 75%, (iv) Q4 spenddown or metrics achieved are not at 100%.

The annual report is due within twenty (20) days upon close of the grant period. Subcontractor must submit required reports utilizing GO-Biz template provided in **Exhibit D (Reporting Template)** attached hereto and incorporated herein with this reference.

Failure to submit required reports as identified in **Exhibit A** will result in the voiding of invoice payments for the quarter unless prior approval to submit late reports has been granted by the Lead Center Director, or designee.

The Lead Center reserves the right to modify or request additional reporting information from the Subcontractor as requested by the Prime Sponsor.

- 13. Invoicing and Payment.** Subcontractor shall invoice ASC for actual expenses incurred during the term of the Subcontract and in accordance with the budget, provided as **Exhibit B**. Invoices shall be mailed to the address listed below and emailed to both [kmpayne@fullerton.edu](mailto:kmpayne@fullerton.edu), [jessjuarez@fullerton.edu](mailto:jessjuarez@fullerton.edu) and cc: [icmiranda@fullerton.edu](mailto:icmiranda@fullerton.edu):

OCIE SBDC  
Ms. Katrina Smith, Associate Regional Director  
1 Banting, Suite A  
Irvine, CA 92618

Subcontractor shall invoice the Lead Center for actual expenses incurred during the term of the Subcontract and in accordance with the budget in Exhibit B, and shall deliver such invoices to the Lead Center within twenty (20) days of the close of each quarter. Subcontractor will submit itemized invoices to the Lead Center quarterly. Each invoice shall include an itemized expenditure report, accompanied by general ledger with a detailed transaction report, supporting documentation and any necessary chart of accounts. The Lead Center agrees to pay *approved* invoices within forty-five (45) days upon receipt. In no event shall the Subcontractor request reimbursement from the Lead Center for obligations entered into or for costs incurred prior to the commencement date or after the expiration of this Subcontract.

The invoice containing final costs to be paid by the Lead Center shall be identified as the "Final Invoice". Final Invoice expenditures shall reflect costs incurred but not previously submitted for the period ending September 30, 2021. The Final Invoice shall be paid upon satisfactory completion of Subcontract work and submittal of all the reports required in this Subcontract.

"Satisfactory completion" as used in this Subcontract means that the Subcontractor has complied with all the terms, conditions, and performance requirements of this Subcontract. All award and matching funds shall be used solely for the purpose of performing the work as set forth in this Subcontract and **Exhibit A**.

"Approved invoice" means a complete and accurate invoice and performance package.

- 14. Content and Order of Precedence.** Included in this Subcontract are the following exhibits and all exhibits are hereby incorporated by reference into this Subcontract

- a. Exhibit A Scope of Work
- b. Exhibit B Budget



- c. Exhibit C Prime Award
- d. Exhibit D Reporting Templates

The contents of each instrument below are incorporated within this Subcontract as fully as though set forth herein in their entirety. In the event of a conflict between the provisions of each instrument, the following order of precedence shall govern the rights and obligations of the Parties:

- 1. Subcontract
- 2. Prime Award

- 15. Indemnification.** All Parties to this Subcontract agree to defend, indemnify, and hold harmless the other Party, its officers, agents, employees, students, and volunteers, from and against all loss, cost, and expense arising out of any liability or claim of liability, sustained or claimed to have been sustained, arising out of the activities, or the performance or nonperformance of obligations under this Subcontract, of the indemnifying Party, or those of any of its officers, agents, employees, students, or volunteers. The provisions of this Paragraph do not apply to any damage or losses caused solely by the gross negligence or intentional acts of the non-indemnifying Party or any of its officers, agents, employees, students, or volunteers. The indemnity set forth in this Paragraph 14 shall survive for a period of one (1) year after the expiration or earlier termination of this Subcontract.
- 16. Force Majeure.** If by reason of force majeure the Subcontractor's performance hereunder is delayed, hampered or prevented, then the performance by the Subcontractor may be extended for the amount of time of such delay or prevention. The term "Force Majeure" shall mean any fire, flood, earthquake, or public disaster, strike, labor dispute or unrest; embargo, riot, war, insurrection or civil unrest; any act of God; any act of legally constituted authority; or any other cause beyond Subcontractor's control which would excuse the Subcontractor's performance as a matter of law.
- 17. Notice of Force Majeure.** Subcontractor agrees to give ASC written notice of an event of force majeure under this Paragraph within ten (10) days of the commencement of such event and within ten (10) days after the termination of such event, unless the Force Majeure prohibits Subcontractor from reasonably giving notice within this period. Subcontractor will give such notice at the earliest possible time following the Force Majeure.
- 18. Public Records.** Subcontractor acknowledges that ASC is subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). This Subcontract and materials submitted by Subcontractor to ASC may be subject to a PRA request, except in the event that such documents submitted to ASC are considered confidential information and exempt under the PRA. In the event records of the Subcontractor are requested through a PRA, ASC will notify the Subcontractor, as soon as practicable that a PRA request for the Subcontractor's information has been received, but not less than five (5) business days prior to the release of the requested information to all the Subcontractor to seek an injunction. ASC will work in good faith with the Subcontractor to protect the information to the extent an exemption is provided by law.
- 19. Nondiscrimination.** Subcontractor shall comply with all applicable federal and state laws and statutes related to nondiscrimination, including those Acts and amendments prohibiting discrimination on the basis of race, color, natural origin, gender, handicap or disability, sexual

preference, drug addiction and alcoholism.

20. **Retention of Records.** Subcontractor agrees to maintain and preserve all records relative to this Subcontract for three (3) years after termination. Subcontractor agrees to permit ASC's duly authorized representatives to have access to and to examine and audit any pertinent non-privileged books, documents, papers, and records related to this Subcontract. Furthermore, all records related to this Subcontract shall be reasonably available for inspection by the State of California pursuant to Government Code § 8546.7 which states in pertinent part: "...every contract involving the expenditure of public funds in excess of ten thousand dollars (\$10,000) entered into by any state agency, ... or by any other public entity, including a city, county..., shall be subject to the examination and audit of the State Auditor, at the request of the public entity or as part of any audit of the public entity, for a period of three years after final payment under the contract."
21. **Audit.** The non-privileged books and accounts, files, and other records of the Subcontractor which are applicable to this Subcontract shall be available for inspection, review, and audit during normal business hours by the ASC and the Prime Sponsor and its representatives to determine the proper application and use of all funds paid to or for the account or benefit of the Subcontractor.
22. **Severability.** Should any part, term, or provision of this Subcontract be declared or determined by any court or other tribunal or appropriate jurisdiction to be invalid or unenforceable, any such invalid or unenforceable part, term, or provision shall be deemed stricken and severed from this Subcontract. any and all of the other terms of this Subcontract shall remain in full force and effect.
23. **Applicable Law.** This Subcontract and any disputes concerning it shall be interpreted under the laws of the State of California. Any legal action related to the performance or interpretation of this Subcontract shall be filed only in the Superior Court of the State of California located in Riverside, California, and the Parties waive any provision of law providing for a change of venue to another location.
24. **Interpretation.** For purposes of construction and interpretation, this Subcontract shall be deemed to have been mutually drafted by the Parties hereto. Thus, the Parties to this Subcontract shall determine and resolve any issues of ambiguity related to the interpretation of the provisions herewith.
25. **Days.** Any reference to days in this Subcontract, unless specifically stated to be business days (which shall be Monday through Friday and shall not include weekends or state holidays), shall mean calendar days.
26. **Entire Subcontract.** This Subcontract, including any referenced attachments, appendices and references, constitutes the entire Subcontract and supersedes any other written or oral representations, statements negotiations, or agreements.

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WHEN DOCUMENT IS FULLY EXECUTED RETURN  
**CLERK'S COPY**

to Riverside County Clerk of the Board, Stop 1010  
Post Office Box 1147, Riverside, Ca 92502-1147  
Thank you.

IN WITNESS THEREOF, the Parties have executed this subcontract on the date noted below.

**For:**  
**COUNTY OF RIVERSIDE**, a  
political subdivision of the State of  
California, by and through its  
Office of Economic Development

**For:**  
**CSU Fullerton Auxiliary Services Corporation**

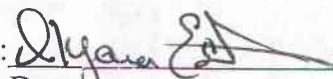
  
Karen Spiegel, Chair  
Board of Supervisors

\_\_\_\_\_  
Charles D. Kissel  
Executive Director

Dated: JUL 20 2021

Dated: \_\_\_\_\_

ATTEST:  
Kecia R. Harper  
Clerk of the Board

By:   
Deputy

APPROVED AS TO FORM:  
Gregory P. Priamos  
County Counsel

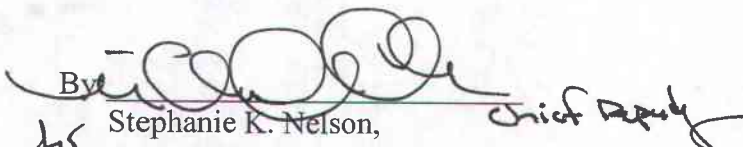
By:   
for Stephanie K. Nelson, *Chief Deputy*  
Deputy County Counsel

EXHIBIT A  
S-7522-CROED

Center Name: **CV SBDC**

Go-Biz TAEP (FY 20-21)	<b>\$50,000</b>
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**Scope of Work:**

Each service center is expected to at minimum, complete their leading indicator metrics. Leading Indicator metrics are derived from the following calculations: Number of consulting hours was derived from 100% of the total GO-Biz TAEP contributed budgets. Number of clients was calculated by dividing the number of consulting hours by five.

**Leading Indicators:**

**Each center will be expected to reach at minimum, the leading indicators as detailed below.**

Number of Clients	<b>166</b>
Number of Consulting Hours	<b>833</b>

**Lagging Indicators (Network Goals):**

Each center will be tasked with assisting the network with reaching and exceeding all of the below lagging goals. While centers will not be given separate lagging indicator metrics, future year funding will be based on the level of performance from the previous year.

Number of Clients Counseled	<b>3,500</b>
Number of Training Events	<b>350</b>
Number of New Business Starts	<b>200</b>
Number of Jobs Created/Retained	<b>7,500</b>
Dollar Amount of Increase in Sales	<b>\$15,000,000</b>
Number of Loans	<b>150</b>
Dollar Amount of Capital Infusion	<b>\$15,000,000</b>



EXHIBIT B  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: Coachella Valley SBDC  
 Name of Host Institution (if different): County of Riverside - Office of Economic Development

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 50,000.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Personnel</b>		\$ 50,000.00
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 0%	\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Fringe Benefits</b>		\$ -
C. TRAVEL	intra-region expansion travel for startup	\$ -
<b>Total Travel</b>		\$ -
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
<b>Total Equipment and Supplies</b>		\$ -
E. CONTRACTUAL	3rd party trainer	\$ -
<b>Total Contractual</b>		\$ -

EXHIBIT B  
S-7522-CROED

F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$	-
	Digital media	\$	-
	Subscription to marketing service	\$	-
Total Research & Marketing		\$	-
		Total Budget	\$ 50,000.00
			R&M does not exceed 20%






**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

Grant Agreement # TAEP2020-C16

1. This Agreement is entered into between the State Agency and the Grant Recipient named below:  
STATE AGENCY'S NAME  
GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT  
GRANT RECIPIENT NAME  
CSU FULLERTON AUXILIARY SERVICES CORPORATION
2. The term of this Agreement is:  
October 1, 2020 through September 30, 2021
3. The maximum amount of this Agreement is:  
\$2,550,000.00
4. The parties agree to comply with the terms and conditions of the following Agreement including exhibits which are by this reference made a part of this Agreement.

IN WITNESS THEREOF, the parties have executed this AGREEMENT hereto.

GRANT RECIPIENT	
GRANT RECIPIENT'S NAME CSU Fullerton Auxiliary Services Corporation	
BY (Authorized Signature)  X. 	DATE SIGNED  29 Oct 20
PRINTED NAME AND TITLE OF PERSON SIGNING Charles D. Kissel, Executive Director	
ADDRESS 1121 N. State College Blvd., Fullerton, CA 92831	
STATE OF CALIFORNIA	
AGENCY NAME GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT	
BY (Authorized Signature)  X. <u>Isabella Guzman</u> Isabella Guzman (Nov 1, 2020 14:41 PST)	DATE SIGNED  Nov 1, 2020
PRINTED NAME AND TITLE OF PERSON SIGNING Isabella Casillas Guzman, Director, California Office of the Small Business Advocate	
ADDRESS 1325 J Street, Suite 1800, Sacramento, CA 95814	

**GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT (GO-Biz)  
SMALL BUSINESS TECHNICAL ASSISTANCE EXPANSION PROGRAM GRANT AGREEMENT**

- A. **WHEREAS**, GO-Biz is the sponsor and the California Office of the Small Business Advocate (CalOSBA) is the manager of this award issued to the RECIPIENT under Agreement Number TAEP2020-C16 ("Award");
- B. **WHEREAS**, GO-Biz desires to retain RECIPIENT to perform and/or manage services as described in the 2020/21 Program Announcement to expand new or enhanced services to underserved small business owners, including women, people of color, and veteran-owned businesses as businesses in low-wealth, rural, and disaster-impacted communities included in a state or federal emergency declaration.
- C. **WHEREAS**, RECIPIENT is a Federal Small Business Technical Assistance Center (Centers), defined as an organization that contracts with a Federal Funding Partner to operate a Small Business Development Center, a Women's Business Center, the Veteran Business Outreach Center, NIST Manufacturing Extension Partnership Centers, a Minority Business Development Center, a Procurement Technical Assistance Center, or similar programs within California to support small businesses;
- D. **WHEREAS**, all parties acknowledge that this AGREEMENT and the Award are only available to Centers eligible for the California Small Business Technical Assistance Expansion Program (TAEP); as described in Exhibit D, TAEP 2020/21 Program Announcement ("2020/21 Program Announcement");
- E. **WHEREAS**, Federal Funding Partners include the United States Small Business Administration, United States Department of Commerce, United States Department of Defense, and other federal agencies with the authority to administer small business technical assistance programs in the State of California.
- F. **WHEREAS**, GO-Biz desires to retain RECIPIENT to perform and/or manage services as specified in Exhibit B ("Scope of Work and Performance Metrics") and intends to compensate RECIPIENT for such services, as described in Exhibit C ("Budget Detail");
- G. **WHEREAS**, the RECIPIENT receives Federal Match Funds "Federal Match Funds" from their Federal Funding Partner for eligible Center costs. Federal Match Funds must be matched with "Local Cash Match" and may be spent on costs unrelated to the TAEP program;
- H. **WHEREAS**, RECIPIENT desires to be retained by GO-Biz to perform and/or manage such



services as described set forth in Exhibit B and to be compensated as set forth in Exhibit C;

I. **WHEREAS**, in undertaking the performance of this AGREEMENT, RECIPIENT represents that it is knowledgeable in its field and that any services performed/and or managed by RECIPIENT will be performed in compliance with this AGREEMENT and any attachments thereto, and;

J. **WHEREAS**, RECIPIENT acknowledges that failure to comply with this AGREEMENT may affect future funding opportunities from GO-Biz, and;

K. **WHEREAS**, RECIPIENT and any additional third party(ies) retained by RECIPIENT agree to abide by all of the terms and conditions of this AGREEMENT and the terms and conditions of this Award, and;

L. **WHEREAS**, RECIPIENT acknowledges that additional third-party contracts retained by RECIPIENT in addition to original approved budget must be approved by CalOSBA on behalf of GO-Biz; and

M. **WHEREAS**, RECIPIENT acknowledges that additional third-party contracts retained by RECIPIENT to other federally funded technical assistance providers already funded by TAEP will only be approved in cases of emergencies, which may include, but not limited to: sudden loss of capacity, sudden increase in service demand, or a Statewide and/or Presidential declared disaster within the Recipient's servicing area. RECIPIENT is required to submit a formal request, Exhibit G, to GO-Biz via email at [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy the CalOSBA Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov).

**NOW, THEREFORE**, in consideration of the mutual and reciprocal promises and subject to the terms and conditions set forth herein, the parties agree as follows:

1. **Recitals.** The parties acknowledge and agree that the recitals are true and accurate and are hereby incorporated by reference into this AGREEMENT.
2. **Performance Metrics.** RECIPIENT shall be responsible for the results and progress described in the Scope of Work and Performance Metrics, which is attached and incorporated as Exhibit B.
3. **Term of Agreement.** The period of performance of this AGREEMENT shall be from October 1, 2020 – September 30, 2021, unless otherwise approved by GO-Biz in writing. On a case-by-case basis, Centers may receive up to a one-year extension to spend down 2020/21 Awards. Centers should ensure that grant funding requests and proposed scopes of work align with the 2020/21 grant period timeline. Centers are required to submit a formal request, Exhibit F, to GO-Biz via email at [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy the CalOSBA Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov).

4. **Compensation.** The RECIPIENT is entitled to up to \$2,550,000.00 as shown in Exhibit C for the Term of Agreement.
5. **Matching Funds Requirement.** RECIPIENT shall generate the Federal and Local Cash Match Funds identified by the Recipient in Section I of the 2020/21 Program Announcement.
6. **Delivery.** All materials, services and/or deliverables required under this AGREEMENT must be completed and delivered to CalOSBA at GO-Biz on or before September 30, 2021 unless otherwise approved in writing from CalOSBA at GO-Biz.
7. **Allowable Costs and Fees.** Allowable costs and fees eligible for reimbursement to the RECIPIENT for performance of this AGREEMENT must be in accordance with the 2020/21 Program Announcement and budget outlined in the AGREEMENT, including the attached exhibits.
8. **Publicity and Acknowledgement.** The RECIPIENT is required to include the following logo (Exhibit A) and disclosure on all materials produced in whole or in part with Project Funds:
  1. "Funded in part through a Grant with the Governor's Office of Business and Economic Development."

Materials that include editorial content must include the following alternate acknowledgement:

2. "Funded in part through a Grant with the Governor's Office of Business and Economic Development. All opinions, conclusions, and/or recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the Governor's Office of Business and Economic Development."

The GO-Biz logo may be placed in close proximity to the Recipient's logo or placed in a prominent location elsewhere on the material. The GO-Biz logo may not be placed in close proximity to any third party logo, or used in such a way as to imply that a relationship exists between GO-Biz and any third party. Any use of the GO-Biz logo must be accompanied by one of the above disclosure statements within reasonable proximity to the logo.

Neither the GO-Biz logo nor the acknowledgement statement may be used in connection with activities outside the scope of work. Similarly, the GO-Biz logo and acknowledgement statement may not be used on items used in conjunction with fundraising, lobbying, or the express or implied endorsement of any goods, service, entity, or individual. The GO-Biz logo and acknowledgement statement may not be used on social media sites without CalOSBA at GO-Biz's prior written approval.

Failure to comply with the publicity and acknowledgement constitutes poor performance and may affect future funding opportunities from GO-Biz.

9. **Termination of Agreement.** Either party may terminate this AGREEMENT upon thirty (30) days advance written notice to the other party. Upon termination of this AGREEMENT, GO-Biz agrees to compensate RECIPIENT for all allowable, unavoidable, expenses reasonably incurred by



RECIPIENT in the performance of its work under this AGREEMENT by the date of termination. RECIPIENT agrees to complete services and/or provide required deliverables through the date of termination.

If a RECIPIENT is unable to receive Federal Match Funds for any reason, including, but not limited to the termination of its cooperative agreement with a Federal Funding Partner (“Terminating Event”), the state is obligated to compensate RECIPIENT only for all allowable and unavoidable expenses reasonably incurred by RECIPIENT in the performance of its work under the AGREEMENT as of the effective date of the Terminating Event. **THE RECIPIENT MUST NOTIFY CALOSBA AT GO-BIZ OF TERMINATION OF ITS FEDERAL CONTRACT, GRANT AGREEMENT, OR COOPERATIVE AGREEMENT OR IF ITS OPERATIONS ARE AT RISK OF OR BEING PLACED ON PROBATIONARY STATUS. NOTIFICATION MUST BE MADE WITHIN 48 HOURS VIA EMAIL TO [SBTAEP@GOBIZ.CA.GOV](mailto:SBTAEP@GOBIZ.CA.GOV) WITH A COPY TO THE CALOSBA PROGRAM MANAGER, CURRENTLY [MICHELLE.RADMAND@GOBIZ.CA.GOV](mailto:MICHELLE.RADMAND@GOBIZ.CA.GOV).**

10. **Modification or Waiver.** No part of this AGREEMENT shall be modified without the express written consent of both parties. The waiver by one party of any breach of any term or condition of this AGREEMENT shall not be construed as a waiver of any similar or other breach of any term or condition of this AGREEMENT. Nor shall said waiver be construed as a continuing waiver of the original breach.
11. **Assignment.** No part of this AGREEMENT may be assigned by either party without the prior written consent of the other party.
12. **Amendments.** CalOSBA on behalf of GO-Biz may amend agreements if necessary as a result of external factors, including changes in federal funds, Center closures or openings, Center staffing issues, noncompliance in carrying out the agreement or other agreement-related issues that may arise during the 2020/21 period. In some cases, a Center may not be able to spend their 2020/21 Award in full. If needed, a portion of a Center’s funding may be redirected to other Centers in the same Network without an amendment if the changes in funding results in no net change to the total Award in the agreement. Funding redirections that result in no net change in the total Award require the submission of a Change Order Request Form, Exhibit E, from the Lead Center to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and a copy to CalOSBA’s program manager, currently [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov). CalOSBA on behalf of GO-Biz will evaluate requests and provide written approval, if allowed. Funding redirections that result in a change in the total Award in an agreement will also require the submission of a Change Order Request and will result in an amendment. RECIPIENT acknowledges that failure to fully spend-down within the 2020/21 Period of Performance may affect future funding requests from GO-Biz.
13. **Invoicing and Reporting Requirements.** RECIPIENT must provide the required reports to CalOSBA at GO-Biz by the established deadlines. Failure to file timely reports will be tracked for grant performance and may result in withholding reimbursements and could affect future requests for funding. CalOSBA at GO-Biz will provide RECIPIENT with reporting and invoicing portal instructions by January 31, 2021.
  - a. **Reporting Requirements.** AUTHORIZED REPRESENTATIVE must electronically submit

performance reports quarterly during the 2020/21 Period of Performance. Quarterly performance reports are due within forty-five (45) days after the completion of the quarter and within sixty (60) days of the last quarter. Performance reports must address the Center's progress towards meeting the major activities, objectives, and performance goals from the approved proposal in a brief narrative. These Reports must be a summary of the activities, outputs, outcomes, and achievements in these reporting categories with accompanying management analysis. Furthermore, these Reports must justify the invoiced expenditures.

- b. **Invoicing Requirements.** AUTHORIZED REPRESENTATIVE must electronically submit a quarterly invoice to CalOSBA at GO-Biz within forty-five (45) days after the completion of the first three quarters and within sixty (60) days of the completion of the fourth and final quarter of the 2020/21 program period. CalOSBA on behalf of GO-Biz will not process any payment request submitted more than ninety (90) calendar days after the end of the specified quarter.

Data reporting performance goals/measurements are collected through the CalOSBA/GO-Biz Grantee Portal. Data integrity and the verification and validation of performance results are a CalOSBA and GO-Biz priority, and also provide the validation of the quality and impact of the program. Centers are obligated to meet, at minimum, once a quarter with CalOSBA staff to share performance progress, and discuss any barriers or opportunities including shared best practices.

14. **Payment.** CalOSBA on behalf of GO-Biz agrees to pay approved invoices within forty-five (45) calendar days upon receipt. In no event shall the RECIPIENT request reimbursement from CalOSBA on behalf of GO-Biz for obligations entered into or for costs incurred prior to the commencement date or after the expiration of this AGREEMENT. Invoices shall be paid upon satisfactory completion of AGREEMENT work and submittal of all reports required in this AGREEMENT as described in the AGREEMENT and the Exhibits. "Satisfactory completion" as used in this AGREEMENT means that the RECIPIENT has complied with all terms, conditions, and performance requirements of this AGREEMENT. All Award Funds shall be used solely for the purpose of performing the work as set forth in this AGREEMENT.
15. **Indemnification/Warranty Disclaimer/Limitation of Liability.** RECIPIENT shall defend, indemnify and hold CalOSBA, GO-Biz, and the State of California, its agents or assigns, harmless from and against all claims, damages, and liabilities (including reasonable attorneys' fees) arising from RECIPIENT'S or its agents' or assigns' willful misconduct or gross negligence in connection with this AGREEMENT; provided that, RECIPIENT shall not be liable for any direct, indirect, incidental, special or consequential damages that arise from a breach of this AGREEMENT. UNDER NO CIRCUMSTANCES WILL THE STATE OF CALIFORNIA, GO-BIZ, CALOSBA, ITS AGENTS OR EMPLOYEES, OR ANYONE ELSE INVOLVED IN THIS AGREEMENT BE LIABLE TO RECIPIENT FOR ANY DIRECT, INDIRECT, INCIDENTAL, SPECIAL OR CONSEQUENTIAL DAMAGES THAT ARISE FROM THIS AGREEMENT, UNLESS CALOSBA OR GO-BIZ ENGAGES IN WILLFUL MISCONDUCT OR IS GROSSLY NEGLIGENT IN CONNECTION WITH THIS AGREEMENT.



16. **Force Majeure.** If by reason of force majeure the RECIPIENT's performance hereunder is delayed, hampered or prevented, then the performance by the RECIPIENT may be extended for the amount of time of such delay or prevention. The term "Force Majeure" shall mean any fire, flood, earthquake, or public disaster, strike, labor dispute or unrest; embargo, riot, war, insurrection or civil unrest; any act of God; any act of legally constituted authority; or any other cause beyond RECIPIENT's control which would excuse the RECIPIENT's performance as a matter of law.
17. **Notice of Force Majeure.** RECIPIENT agrees to give CalOSBA at GO-Biz written notice of an event of force majeure under this Paragraph within ten (10) days of the commencement of such event and within ten (10) days after the termination of such event, unless the Force Majeure prohibits RECIPIENT from reasonably giving notice within this period. RECIPIENT will give such notice at the earliest possible time following the Force Majeure.
18. **Public Records.** RECIPIENT acknowledges that CalOSBA and GO-Biz are subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). This AGREEMENT and materials submitted by RECIPIENT to CalOSBA and GO-Biz may be subject to a PRA request, except in the event that such documents submitted to CalOSBA and GO-Biz are considered confidential information and exempt under the PRA. In the event records of the RECIPIENT are requested through a PRA, CalOSBA or GO-Biz will notify the RECIPIENT, as soon as practicable that a PRA request for the RECIPIENT's information has been received, but not less than five (5) business days prior to the release of the requested information to allow the RECIPIENT to seek an injunction. GO-Biz and CalOSBA will work in good faith with the RECIPIENT to protect the information to the extent an exemption is provided by law.
19. **Nondiscrimination.** RECIPIENT shall comply with all applicable federal and state laws and statutes related to nondiscrimination, including those acts and amendments prohibiting discrimination on the basis of race, color, religion/creed, sex/gender (including pregnancy, childbirth, breastfeeding or related medical condition), sexual orientation or gender identity/expression, ancestry/national origin, age (40 or older) , marital status disability (mental and physical), medical condition, genetic information, military or veteran status.
20. **Retention of Records.** RECIPIENT agrees to maintain and preserve all records relative to this AGREEMENT for three (3) years after termination. RECIPIENT agrees to permit CalOSBA and GO-Biz's duly authorized representatives to have access to and to examine and audit any pertinent books, documents, papers, and records related to this AGREEMENT.
21. **Audit.** The books and accounts, files, and other records of the RECIPIENT, which are applicable to this AGREEMENT, shall be available for inspection, review, and audit during normal business hours by GO-Biz, CalOSBA, and its representatives to verify performance metrics and determine the proper application and use of all funds paid to or for the account or benefit of the RECIPIENT. RECIPIENT agrees that CalOSBA and GO-Biz may request that the applicant provide details relating to the source and amount of nonstate local match funds.
22. **Severability.** Should any part, term, or provision of this AGREEMENT be declared or determined by any court or other tribunal or appropriate jurisdiction to be invalid or unenforceable, any

such invalid or unenforceable part, term, or provision shall be deemed stricken and severed from this AGREEMENT. Any and all other terms of this AGREEMENT shall remain in full force and effect.

23. **Applicable Law.** This AGREEMENT and any disputes concerning it shall be interpreted under the laws of the State of California.
24. **Interpretation.** Each party has had the opportunity to seek the advice of counsel or has refused to seek the advice of counsel. Each party and its counsel, if appropriate, have participated fully in the review and revision of this AGREEMENT. Any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in interpreting this AGREEMENT. The language in this AGREEMENT shall be interpreted as to its fair meaning and not strictly for or against any party.
25. **Days.** Any reference to days in this AGREEMENT, unless specifically stated to be business days (which shall be Monday through Friday and shall not include weekends or state holidays), shall mean calendar days.
26. **Notices.** Any notices required or permitted to be given under this AGREEMENT shall be given in writing and shall be delivered (a) in person, (b) by certified mail, (c) by facsimile with confirmed receipt required, electronic communication with confirmed receipt required, or (d) by commercial overnight courier that guarantees next day delivery and provides a receipt, and such notices shall be addressed as set forth below, or as the applicable party shall specify to the other party in writing.
27. **Representation on Authority of Parties/Signatories.** Each person signing this AGREEMENT represents and warrants that he or she is duly authorized and has legal capacity to execute and deliver this AGREEMENT. Each Party represents and warrants to the other that the execution and delivery of the AGREEMENT and the performance of such Party's obligations hereunder have been duly authorized and that the AGREEMENT is a valid and legal agreement binding on such Party and enforceable in accordance with its terms.
28. **Integration.** This AGREEMENT, including any referenced attachments, appendices and references, constitutes the entire AGREEMENT and supersedes any other written or oral representations, statements negotiations, or agreements.
29. **Contents and Order of Precedence.** Included in this AGREEMENT are the following exhibits and all exhibits are hereby incorporated by reference into this AGREEMENT
  - a. Exhibit A – California Office of the Small Business Advocate Governor's Office of Business and Economic Development Logo
  - b. Exhibit B – Scope of Work and Performance Metrics
  - c. Exhibit C – Budget Detail
  - d. Exhibit D – 2020/21 Program Announcement
  - e. Exhibit E – Change Order Request Form
  - f. Exhibit F – No Cost Term Extension Request Instructions
  - g. Exhibit G – Third-Party Contractual Request Form



**Exhibit A – California Office of the Small Business Advocate  
Governor’s Office of Business and Economic Development Logo**



**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

Click here to download CalOSBA GO-Biz Logos: [CalOSBA GO-Biz Toolkit](#)

END EXHIBIT A

## **Exhibit B – Scope of Work and Performance Metrics**

This establishes the annual Small Business Technical Assistance Expansion Program scope of work and metrics for each grant recipient during the 2020/21 California Small Business Technical Assistance Expansion Program.



EXHIBIT C  
S-7522-CROED

General Info	
Application ID:	82
Application Type:	Technical Assistance Expansion Program
Status:	Awarded
Lead Organization Type:	OC IE SBDC
Other Lead Organization Type (if applicable):	
Is this a network wide proposal?	Yes
Address Line 1:	800 N. State College Blvd.
Address Line 2:	
City:	Fullerton
State:	California
Zip Code:	92831

Authorized Representative	
Last Name, First Name:	Kissel, Charles D.
Email:	ckissel@fullerton.edu
Organization:	CSU Fullerton Auxiliary Services Corporation
Title:	Executive Director
Phone Number:	(657) 278-4100

Fiscal Authority	
Legal Host Name:	CSU Fullerton Auxiliary Services Corporation
Address Line 1:	1121 N. State College Blvd.
Address Line 2:	
City:	Fullerton
State:	California
Zip Code:	92831

EXHIBIT C  
S-7522-CROED

Federal Information			
Federal Center Type:		SBDC	
If Other, Provide Center Type:			
Federal Award Type:		Cooperative Agreement	
Federal Award Cycle:		Annual Competition	
Federal Award Begin Date:	01/01/2020	Federal Award End Date:	12/31/2020
At the time of the application, does your Center have an active award from the federal funding partners?			Yes
If no, at the time of application, does your Center have a verified letter of intent from the federal funding partners that the Center will be awarded with a performance start date on or before October 1, 2020?			N/A



## Proposal

**Center Name:** Orange County Inland Empire Small Business Development Center

**Center Director:** Mike Daniel

**Center Email:** midaniel@fullerton.edu

**Center Email:** (657) 278-5168

**Center Location:** 1 Banting, Irvine, CA 92618

**Geographic Area of Service:** Orange, Riverside, San Bernardino

**Assembly District(s):** 40, 42, 47, 52, 55, 56, 60, 61, 65, 67, 68, 69, 72, 73, 74

**Senate District(s):** 20, 23, 28, 29, 31, 34, 36, 37

**Number of Training Events:** 350

**Number of Unique Clients Trained:** 3,000

**Number of New Clients Trained:** 1,250

**Number of Unique Clients Consulted (Total):** 2,500

**Number of Unique Clients Consulted (Women):** 1,000

**Number of Unique Clients Consulted (Black/African American):** 125

**Number of Unique Clients Consulted (Asian):** 425

**Number of Unique Clients Consulted (Native American or Alaska Native):** 50

**Number of Unique Clients Consulted (Native Hawaiian or Pacific Islander):** 50

**Number of Unique Clients Consulted (Latino/Hispanic):** 875

**Number of Unique Clients Consulted (Veterans):** 75

**Number of Unique Clients Consulted (Low-Wealth):** 250

**Number of Unique Clients Consulted (Rural):** 50

**Number of Unique Clients Consulted (Disasted-Impacted):** 625

**Number of New Clients Consulted (Total):** 1,000

**Number of New Clients Consulted (Women):** 400

**Number of New Clients Consulted (Black/African American):** 50

**Number of New Clients Consulted (Asian):** 170

**Number of New Clients Consulted (Native American or Alaska Native):** 20

**Number of New Clients Consulted (Native Hawaiian or Pacific Islander):** 20

**Number of New Clients Consulted (Latino/Hispanic):** 350

**Number of New Clients Consulted (Veterans):** 30

**Number of New Clients Consulted (Low-Wealth):** 100

**Number of New Clients Consulted (Rural):** 20

**Number of New Clients Consulted (Disasted-Impacted):** 250

**Number of New Businesses Started (Total):** 200

**Number of New Businesses Started (Women):** 80

**Number of New Businesses Started (Black/African American):** 10

Number of New Businesses Started (Asian): 34  
Number of New Businesses Started (Native American or Alaska Native): 4  
Number of New Businesses Started (Native Hawaiian or Pacific Islander): 4  
Number of New Businesses Started (Latino/Hispanic): 70  
Number of New Businesses Started (Veterans): 6  
Number of New Businesses Started (Low-Wealth): 20  
Number of New Businesses Started (Rural): 4  
Number of New Businesses Started (Disasted-Impacted): 50

Number of Jobs Created (full and part-time) (Total): 1,000  
Number of Jobs Created (full and part-time) (Women): 400  
Number of Jobs Created (full and part-time) (Black/African American): 50  
Number of Jobs Created (full and part-time) (Asian): 170  
Number of Jobs Created (full and part-time) (Native American or Alaska Native): 20  
Number of Jobs Created (full and part-time) (Native Hawaiian or Pacific Islander): 20  
Number of Jobs Created (full and part-time) (Latino/Hispanic): 350  
Number of Jobs Created (full and part-time) (Veterans): 30  
Number of Jobs Created (full and part-time) (Low-Wealth): 100  
Number of Jobs Created (full and part-time) (Rural): 20  
Number of Jobs Created (full and part-time) (Disasted-Impacted): 250

Number of Jobs Retained (full and part-time) (Total): 5,000  
Number of Jobs Retained (full and part-time) (Women): 2,000  
Number of Jobs Retained (full and part-time) (Black/African American): 250  
Number of Jobs Retained (full and part-time) (Asian): 850  
Number of Jobs Retained (full and part-time) (Native American or Alaska Native): 100  
Number of Jobs Retained (full and part-time) (Native Hawaiian or Pacific Islander): 100  
Number of Jobs Retained (full and part-time) (Latino/Hispanic): 1,750  
Number of Jobs Retained (full and part-time) (Veterans): 150  
Number of Jobs Retained (full and part-time) (Low-Wealth): 500  
Number of Jobs Retained (full and part-time) (Rural): 100  
Number of Jobs Retained (full and part-time) (Disasted-Impacted): 625

Dollar Amount of Increase in Sales (Total): \$15,000,000  
Dollar Amount of Increase in Sales (Women): \$6,000,000  
Dollar Amount of Increase in Sales (Black/African American): \$750,000  
Dollar Amount of Increase in Sales (Asian): \$2,550,000  
Dollar Amount of Increase in Sales (Native American or Alaska Native): \$300,000  
Dollar Amount of Increase in Sales (Native Hawaiian or Pacific Islander): \$300,000  
Dollar Amount of Increase in Sales (Latino/Hispanic): \$5,250,000  
Dollar Amount of Increase in Sales (Veterans): \$450,000  
Dollar Amount of Increase in Sales (Low-Wealth): \$1,500,000  
Dollar Amount of Increase in Sales (Rural): \$300,000  
Dollar Amount of Increase in Sales (Disasted-Impacted): \$3,750,000



Number of Contracts (Total): 0  
Number of Contracts (Women): 0  
Number of Contracts (Black/African American): 0  
Number of Contracts (Asian): 0  
Number of Contracts (Native American or Alaska Native): 0  
Number of Contracts (Native Hawaiian or Pacific Islander): 0  
Number of Contracts (Latino/Hispanic): 0  
Number of Contracts (Veterans): 0  
Number of Contracts (Low-Wealth): 0  
Number of Contracts (Rural): 0  
Number of Contracts (Disasted-Impacted): 0

Dollar Amount of Contracts (Total): \$0  
Dollar Amount of Contracts (Women): \$0  
Dollar Amount of Contracts (Black/African American): \$0  
Dollar Amount of Contracts (Asian): \$0  
Dollar Amount of Contracts (Native American or Alaska Native): \$0  
Dollar Amount of Contracts (Native Hawaiian or Pacific Islander): \$0  
Dollar Amount of Contracts (Latino/Hispanic): \$0  
Dollar Amount of Contracts (Veterans): \$0  
Dollar Amount of Contracts (Low-Wealth): \$0  
Dollar Amount of Contracts (Rural): \$0  
Dollar Amount of Contracts (Disasted-Impacted): \$0

Number of Loans (Total): 100  
Number of Loans (Women): 40  
Number of Loans (Black/African American): 5  
Number of Loans (Asian): 17  
Number of Loans (Native American or Alaska Native): 2  
Number of Loans (Native Hawaiian or Pacific Islander): 2  
Number of Loans (Latino/Hispanic): 35  
Number of Loans (Veterans): 3  
Number of Loans (Low-Wealth): 10  
Number of Loans (Rural): 2  
Number of Loans (Disasted-Impacted): 25

Dollar Amount of Loans (SBA loans and non-SBA loans) (Total): \$7,500,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Women): \$3,000,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Black/African American): \$375,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Asian): \$1,275,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Native American or Alaska Native):  
\$150,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Native Hawaiian or Pacific Islander):  
\$150,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Latino/Hispanic): \$2,625,000

Dollar Amount of Loans (SBA loans and non-SBA loans) (Veterans): \$225,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Low-Wealth): \$750,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Rural): \$150,000  
Dollar Amount of Loans (SBA loans and non-SBA loans) (Disasted-Impacted): \$1,875,000

Dollar Amount of Equity Capital (to include private investment) (Total): \$7,500,000  
Dollar Amount of Equity Capital (to include private investment) (Women): \$3,000,000  
Dollar Amount of Equity Capital (to include private investment) (Black/African American):  
\$375,000

Dollar Amount of Equity Capital (to include private investment) (Asian): \$1,275,000  
Dollar Amount of Equity Capital (to include private investment) (Native American or Alaska Native): \$150,000

Dollar Amount of Equity Capital (to include private investment) (Native Hawaiian or Pacific Islander): \$150,000

Dollar Amount of Equity Capital (to include private investment) (Latino/Hispanic): \$2,625,000

Dollar Amount of Equity Capital (to include private investment) (Veterans): \$225,000

Dollar Amount of Equity Capital (to include private investment) (Low-Wealth): \$750,000

Dollar Amount of Equity Capital (to include private investment) (Rural): \$150,000

Dollar Amount of Equity Capital (to include private investment) (Disasted-Impacted):  
\$1,875,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Total): \$1,250,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Women): \$500,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Black/African American): \$62,500

Additional Funds Raised (non-dilutive funding, grants, etc.) (Asian): \$212,500

Additional Funds Raised (non-dilutive funding, grants, etc.) (Native American or Alaska Native): \$25,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Native Hawaiian or Pacific Islander): \$25,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Latino/Hispanic): \$437,500

Additional Funds Raised (non-dilutive funding, grants, etc.) (Veterans): \$37,500

Additional Funds Raised (non-dilutive funding, grants, etc.) (Low-Wealth): \$125,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Rural): \$25,000

Additional Funds Raised (non-dilutive funding, grants, etc.) (Disasted-Impacted): \$312,500

1. Describe how your Center will fill gaps and expand by providing new or enhanced services to underserved small businesses, including women, people of color and veteran-owned businesses and businesses in low-wealth, rural and disaster-impacted communities included in a state or federal emergency declaration or proclamation. Please describe specific strategies, goals and metrics to achieve increased numbers of underserved clients through existing and/or new Centers, including satellite offices and new partnerships. Specify how this is expansion given the scope of your Center's current active federal contract to provide direct technical assistance and training. Include proposed goal for each metric.

The Orange County Inland Empire SBDC network will continue to build training and consulting programs that focus on underserved and underrepresented areas. Over the past year, the network



has added key consultants that speak Korean, Mandarin, Arabic, Spanish, Farsi, French and Vietnamese and have specific areas of expertise in restaurant, retail, hospitality, manufacturing and e-commerce. These target demographics have also pushed the network to build new partnerships with ethnic and minority chambers of commerce, the counties of Riverside and San Bernardino, cities such as Barstow and Coachella. The SBDC network will continue to build specialized programming and consulting targeted at assisting underserved communities with creating new pathways to financial freedom and give them the ability to build generational wealth.

The OCIE SBDC will continue to expand its service and reach into underserved and minority communities, to better serve the region. The network is in the process of adding two new service centers; one in North Orange County and one in the Inland Empire. The strategy behind adding these two service centers is to offer direct assistance to underserved groups that will have a direct link to a SBDC center in their communities. The network is focusing on bringing all of the minority and ethnic chambers together and has created a leadership group of all of the CEO's of these various chambers of commerce. The groups include the Hispanic Chamber, Asian Chamber, Black Chamber, Vietnamese Chamber and several others, that can discuss key business issues and the SBDC can be "Their SBDC." Many of these chambers are one and two person operations and the SBDC can provide training and consulting that can have direct impact to their membership and communities. A program that has been created out of this group is focused on supplier diversity opportunities with corporations that are headquartered or located in the region. Companies such as Disney, American Honda, Hyundai and others have signed up to be part of the program and offer training on how to become a vendor with their organization.

The Network will grow and expand its industry specific programming, in an effort to better service both existing and start-up businesses and reduce hours spent on clients in one-on-one consulting. Programs are taught in a cohort style, where 25-30 clients receive scholarships to attend the programs. Clients receive customized one-on-one consulting from the Network during and after the program to assist in the start and growth of each business. These programs are specifically designed for clients in disadvantaged areas (e.g., areas facing high unemployment and poverty, rural areas, and/or lack of capital access) and underserved groups (e.g., veterans, minority and women business owners and entrepreneurs, ex-offenders, the long-term unemployed and similar groups) throughout the region.

SBDC EATS is a food incubator program, which fosters food industry entrepreneurship through education and training. Brick-by-Brick is a program that assists business owners in realizing their dreams of becoming a brick and mortar retailer. OC Made is a program aimed at startup businesses with entering the Orange County Market Place to validate their concept. The MarketPlace gives each graduating business a free booth for a weekend at the culmination of the program. CEO Moms OC is a 6-week program that assists women with launching their business with help from business consultants, entrepreneurs and leaders. The OCIE SBDC teaches the SBA's Boots to Business program at the local military installations in the region including: Fort Irwin and March Air Force Reserve Base. The Empresari@s Program aims to educate, promote and empower Hispanic entrepreneurs in this eight-week program. The Empresari@s program is a partnership between the SBDC, SBA and the Mexican Consulates of Orange County and San Bernardino.

### Understanding Your Numbers (A COVID-19 Program)

One of the biggest gaps that we have found during the COVID-19 crisis is with small, micro businesses in underserved communities are not able to access federal disaster funding due to their inability to keep proper accounting records and have accurate P & L's to manage their business. The OCIE SBDC is creating a financial literacy and business management program focused in underserved communities throughout the region. The program will work directly with minority businesses in underserved communities and assisting them with setting up their accounting "books" and coupling that with wrap around services from the SBDC to use those books to grow the revenue of these businesses.

### Webify

Webify is a program offered by the SBDC for individuals looking to start an online business. The program is a combination of in person meetings and online modules. Topics are taught by both SBDC consultants and special guests from Amazon, Google, Microsoft, UPS, Etsy and Square. Participants receive business development support from a team of experienced business management consultants to help entrepreneurs launch their online store in 30 days.

### SBDCtech

Orange County Inland Empire is a tech hub and there is more venture capital for medical device and life science than just about anywhere else in the country. The OCIE SBDC network has created specialty tech centers throughout the Orange, Riverside and San Bernardino county region called SBDCtech. This Fall, we will launch the 2nd Annual Women Talk Tech program, for women entrepreneurs in the fields of high-technology and life sciences that bring together leading women entrepreneurs working in technology as they discuss leadership, scaling a venture, trends in high-tech and the life sciences, business growth, funding, and more.

### **2. If your Center indicated 0 for any of the proposed metrics, please describe why your Center is unable to track**

The only areas that the OCIE SBDC will not be tracking and will instead place a "0" in its category is for Number of Contracts and Dollar Amount of Contracts. The Network partners with the San Diego PTAC and pushes all of its clients to the PTAC for procurement and contracting assistance.

### **3. Describe how the expansion funds will help your Center's methodology and implementation of the proposed expanded services and the strong likelihood of achieving proposed outcomes. For group-based submissions proposing a network-wide program, describe in detail how the Network of Centers will leverage each other's partnerships to implement the program, detail best practices and proven methodologies for success.**

The OCIE SBDC network consists of nine service centers, four traditional SBDC centers, three tech centers, a procurement center and a new marketing lab. The network houses three specialty area of focus that are run out of the Lead Center and include; international trade, a finance center and a manufacturing consulting group. The network has made several changes to its service delivery over the past two years to reflect the needs of the small business community and to expand its reach. Rather than having siloed centers that work independently of each other, the network uses each of the centers cohesively, so there is a higher level of expertise and focus within each center. Clients, through their consultants can access all of the network resources, rather than being limited to a single



center's expertise. This has allowed the network to grow its portfolio, have better success and to be a better partner to other SBDC's and outside partners. As the OCIE SBDC's network has become more specialized, the Network has surpassed all of its Federal and State goals that have been allocated. With additional funding from both SBA and GO-Biz, the goal is to place training and consulting programs in additional areas throughout the region, with a special emphasis on underserved and underprivileged areas.

The Network has been able to take advantage of the partnerships that exist within each service center host and extrapolate that to the whole Network. Many of the programs that are created within the Network are rolled out throughout the region, so that it has the ability to reach more small business owners. The Empresarios program was originally created in Orange County and serviced only a portion of the Network. The Network utilized partners within the community and was able to bring the same program to Coachella Valley, San Bernardino and Riverside. The success of the program was due to the ability of the Network to work within each center and to use relationships that already existed with the center Directors or their hosts. Another example, equity investment in Orange County is strong but is lacking in the Inland Empire. Bringing the three tech centers in the Network together has allowed the UCR Center to benefit from the relationships that the UCI and Launchpad SBDC's have. The Network hosts virtual demo days, where SBDC clients looking for equity investment pitch to funders. Funders that would typically never be introduced to clients that are in the Inland Empire now are part of the virtual demo days and several IE clients have received investments in their companies.

With additional funds through the TAEP grant, the OCIE SBDC network will be able to hire additional consultants and offer increased training and consulting throughout the region. Additional funds will allow the network to expand its hours of operation to include evening nights and services on Saturdays and possibly even Sundays. Funding will provide the assistance needed to develop new curriculum, marketing and programming that can be repeatable throughout the network. Specialized consultants and trainers who are hired at the network level will have the ability to offer services throughout each of the nine service centers within the region. This will create a stronger brand across the region and allow for a higher level of service to the client base within the network. As evidenced above, the unique programming and partnership development that has been developed, has allowed the network to surpass all of its federal and state goals over the past several years.

The OCIE SBDC has found success in utilizing technology to reach a broader and more diverse audience. Older models of SBDC's required a client to drive to a center to receive services and to attend trainings. The Network has incorporated Zoom technology over the past two years to reduce the barrier of clients having to drive to the center. This technology allows the Network to assist clients from anywhere in the region and gives the ability to bring in specialized consulting to any client that may need it. Rather than using funding to create more centers, the Network can instead hire additional consultants and push services out into the community and keep the same high level of brand consistency. The Network will continue to find ways to reduce barriers to entry and find ways to assist small businesses in all points of the region.

Two areas that the network will develop its team and build best practices throughout the region include disaster preparedness and disaster assistance and Cybersecurity. The SBDC will support a

program of small business disaster preparedness, building on partnerships with programs such as California's Seismic Safety Commission and regional utility providers. SBDC's will serve as a small business information hub around state and federal disaster preparedness resources. In times of disaster, the OCIE SBDC Network will deploy a Disaster Assistance Team into communities with the greatest need for affected businesses to receive on site assistance resulting from any disaster. Cyberattacks are on the rise and the number one target are small businesses and start-ups. Small businesses are a prime target for cyber-attacks due to the lack of basic security protocols and belief that they do not store valuable data. Each OCIE SBDC center will have a certain number of professionally certified Cybersecurity business consultants that will be available to help small businesses evaluate the risk and identify the types of cyber threats, as well as teach best practices for proactively guarding against cyber threats.

**4. Provide a plan of action indicating how you will draw down all the federal funds available during the grant period using local cash match. If your Center did not fully draw down federal funds previously, explain why and address how your action plan will prevent local under-match going forward.**

The OCIE SBDC network routinely draws down all its federal allocation each year. Over the past five years, the network has been able to fully draw down all of its federal funding. CSUF received the OCIE SBDC network grant from the SBA in 2003 and has never had to return federal funding. In fact, over the past several years, the network has received supplemental funding from the SBA. Supplemental funding comes from networks that cannot spend down all of their federal funds and is allocated to those networks that meet the metrics and have the ability to match additional SBA funds.

The Lead Center raises a substantial amount of local cash match to position itself to draw down all available federal funds. The Regional Director of the OCIE SBDC is in charge of fundraising for the network program. The network receives significant support each year from its host institutions, such as, California State University Fullerton, who contributes the entire salary and benefits of the Regional Director and additional funds to support the network. The network also receives several grants from foundations such as Union Bank, Wells Fargo, Citi Bank, Comerica and others. The network also has a substantial cash reserve that would be able to cover any potential gaps in cash match.

The OCIE SBDC network has continued to add additional service centers and specialty programs as funding has increased over the past five years. The network has added four additional service centers over the past three years including an additional technology center and two new traditional SBDC's, to increase its capacity within the region. As mentioned in the first question, the OCIE SBDC has added a new international trade program, a manufacturing program, a corporate supplier diversity/procurement program and is currently working on adding a cybersecurity program that can assist businesses as their needs grow within e-commerce and safeguarding their business against cyber threats.

**5. Describe the Center's screening and in-take process and how consulting services are rendered (e.g. what is the first touch point for the new client, and how is the client matched with an advisor).**

The Orange County Inland Empire SBDC Network has created two-call centers; one for the six centers in Orange County and another call center for the three centers in the Inland Empire. Potential



clients either call into the call center directly or fill out a request for consulting through Neoserra, the network's CRM program. Clients are vetted by the admin. team and are assigned a center and consultant that best fits the client's needs. For example, if the client is coming to the SBDC to start a restaurant, they would be assigned to a consultant that has restaurant star-up experience. Clients also have the ability to enter directly into a center or see a specific consultant, if they attended a workshop or were referred by a partner. While every center will have processes on their individual client intake, at minimum the centers will follow the below procedures.

#### Initial Consulting Session

During the initial consulting session, the consultant gains an in-depth understanding about the client, their background, what they are trying to achieve and their expectations of what they want to receive from the SBDC. The consultant educates the client about the SBDC program, how it is funded, the need to report outcomes and participate in surveys, and that consulting services are at no cost. At the end of the first session, the consultant creates a scope of work on how the SBDC and the client will work together. The scope of work outlines how the SBDC will work with the client, expectations from both parties and potential outcomes that will derive from the services. The SBDC consultant will bring in additional assistance from other consultants throughout the network, based on the needs of the client and the competencies needed to help the client reach their goals. For example, a client that comes in to build a revenue strategy that also needs capital to grow their business will work with multiple consultants during their scope of work.

#### Follow Up Engagements

The core consultant will continue to work with the client on the scope of work and will refer the client to other specialized consultants, when needed. Once that work has been completed, the client will return back to the core consultant to continue their scope of work. Interactions between the client and the consultant are tracked in Neoserra with complete session activity entered for each interaction with the client and daily activity on work for the client, and with milestones being achieved.

### **6. Describe the Center's management strategy for service delivery and how the work will be coordinated and monitored.**

To maximize the ability for the OCIE SBDC network to reach every area within the region, the network has nine service centers and three specialty areas. Of the nine SBDC centers within the network, two are hosted by CSU's, one is hosted by a community college district, two are hosted at UC's, one is run by the County of Riverside, one is a minority chamber of commerce and the other is a non-profit incubator. The four core SBDC's service large volumes of clients and receive 70% of the total network funding. Specialty centers and technology centers are highly skilled but will service a much smaller portion of the network's clients and therefore are allocated roughly 30% of the network's budget. The mix of centers allow the network to be flexible and at the same time service clients at all levels of sophistication. Funding is allocated to centers based on their focus and their ability to service clients and achieve results.

All centers within the network receive goals based on the funding that has been allocated to the center. The network leadership (Lead Center and Service Center Directors) meets weekly, monthly and quarterly to track and assess the progress of the network and to make changes to training, consulting and partnership development to best suit the needs of the small business community.

During the network monthly meetings, the leadership team discusses new programs, changes to existing consulting and training programs and attracting new clients to the program. The Lead Center Director meets quarterly with each center and its host to discuss goals, funding and the direction of the network and the fit of each center.

One of the unique abilities that the network has is a database called Neoserra that allows each client to be tracked and measured through SBDC services. The system tracks every workshop they attend, every consulting session along with the notes of what happened in the meeting. Neoserra is used to track client metrics including the following: start of business, change in sales, capital infused into business including both debt and equity, jobs created and jobs retained. The network uses these metrics along with other data to create specialized needs assessments for different industries and areas within the region. These assessments are used to create new service offerings that are needed in specific areas of the network.

**7. Describe the ability to partner and how your Center complements and leverages the work of other local, state, federal, non-profit or private small business technical assistance resource partners in their area, including institutions of higher education, financial institutions, chambers of commerce, trade and industry groups and associations that are committed to the growth of small business.**

The OCIE SBDC network partners with other key public and private technical assistance programs and resource partners to help build the small business community in the region. The network partners directly with several key federal, state and local including the Small Business Administration, the Governor's Office of Business and Economic Development, Department of General Services and counties and cities within our region. The OCIE SBDC partners with the SBA on procurement events, including a large format Supplier Diversity and procurement conference that brings in more than 600 small businesses each year. The network partner's with Go-Biz on townhall events, roundtables and speaking engagements for state legislators and on programs such as the Technical Assistance Expansion Program and the Capital Infusion Program. The Lead center Director is on the DGS Small Business Advisory Council and is currently working on creating a new procurement program with several small business entities throughout the state of California. The OCIE SBDC works with the three counties and 96 cities with the region on various economic development strategies to grow and enhance the development of underserved and underrepresented businesses within the service territory. Currently the OCIE SBDC is assisting all three counties and more than 20 cities with grants to support the small business community. The network is helping to oversee more than \$45,000,000 of capital and is building the grant programs and administering parts of the process for these partners.

The network works with several of the Universities and Colleges throughout the region on various projects including, Tech Transfer for underserved businesses and assisting technology companies with equity capital. There is currently only three Universities in the region that have access to their own Tech Transfer program, for the others, the OCIE SBDC has built specialized programming to assist faculty, staff and students with developing their technologies to prepare for commercialization. The OCIE SBDC utilizes students from various Universities and Colleges as interns, so that students have access to and learn key concepts with starting and growing a business. The network currently has more than 20 students who work within the SBDC in areas such as research, accounting, finance



and marketing.

The OCIE SBDC network works with several key economic and business development organizations to promote and empower small business to start and grow. The Regional Director is part of the California SBDC Leadership team that works with statewide organizations such as CALED and CAMEO on small business assistance support and legislation. The Regional Director collaborates with cities, counties and municipalities throughout the region to bring programming and consulting to business owners throughout the region. The network works with many of the local chambers of commerce and has built a new leadership council for the minority and ethnic chambers within the region. The SBDC's role is to provide business development services to the chamber's membership base. The chambers include: Hispanic Chamber of Commerce, Black Chamber of Commerce, Asian Chamber of Commerce, Vietnamese American Chamber of Commerce, and many other minority and ethnic chambers throughout the region. With an extremely large Hispanic footprint, the SBDC partners with the Mexican Consulate of both Orange County and San Bernardino to offer specialized business start-up programs, along with the National Latina Women's Business Association that focuses on growth programming.

With the lack of a PTAC in Orange County, the Lead Center is working with the San Diego PTAC to provide procurement services at the lead office at least three days per week to see Orange County clients. The San Diego PTAC utilizes the Lead Center to assist procurement clients in need of capital, with one-on-one assistance in loan packaging. The OCIE SBDC partners with the California Manufacturing Technology Consulting (CMTCC) program to offer resources to their client base. The SBDC packages and secures loans for small manufacturers who are looking at automating their operation.

The OCIE SBDC network partners with many financial and lending institutions to provide support to new and existing businesses that are seeking capital and other business development resources. Many of the partners include: Wells Fargo, Chase, Citi, Ampac, the County of Riverside, Orange County Small Business Development Corporation, CDC Small Business Finance, Statewide CDC and many more utilize the CSUF Lead Center SBDC to assist their clients with loan packaging and consulting services. Additional partners include the Workforce Investment Boards, which allow the SBDC to utilize their On-the-Job training program, which is a 50% hiring subsidy for unemployed workers.

**8. If travel expenditures have been identified in your budget proposal, justify the need and how the travel will be used to expand geographically?**

There are no travel expenditures being requested.

**9. If research expenditures have been identified in your budget proposal, please justify the need, any research-drive justification, and the how the funds will be used?**

There are no research expenditures being requested.

**10. If marketing expenditures have been identified in your budget proposal, please justify the need, any research-drive justification, and the how the funds will be used?**

In 2019, the OCIE SBDC Network centralized its marketing support services at the lead center,

assembling its formerly divided outreach budgets and approaches into a collective, intentional marketing strategy. Since then, the lead center remains a hub for marketing support services for client, partner and stakeholder communications. The SBDC Lead Center team produces and delivers marketing collateral, design and development, event production, video development, print and digital advertising, social media content, podcasting, web development, limited public relations support and staff training. The marketing team also develops targeted client acquisition strategies on behalf of the network including: engaging speakers from renowned corporations (e.g. Vend, Hubspot, Amazon, etc.) for webinar series, continuous SEO of six websites, signature events in tandem with service centers (e.g. SBIR/STTR conference), securing regional client referral partners as well as special events such as client grand openings. Amidst the support provided to centers is also the creation and promotion of vastly popular startup programming offered throughout the network. After a pilot period in 2018, the SBDC lead center team continued to develop and now maintains a portfolio of seven startup programs (e.g. SBDC Eats, Beauty Boss, etc.), which in 2019 led to the acquisition of more than 500 new clients.

In addition, marketing funds enable the lead center marketing team to administer and audit service center branding methodologies as well as communication protocols to maintain the highest program recognition standards. The team updates the network style guide, inventories all network-marketing materials at least once per year during center reviews, provides marketing improvement and outreach compliance reports to directors in accordance with program guidelines. Funding will be used to pay for part of the salaries of the marketing team.

**11. Describe how your Center will track allowable activities and expenditures?**

Each of the nine centers within the OCIE SBDC Network have their own accounting systems, most operate several federal and state grants and have several layers of accounting and programmatic oversight. The service centers track allowable expenditures by reviewing transactions against the program definitions of allowability. All centers track and report expenses and activities to the Lead Center, either monthly or quarterly, based on the grant parameters.

Once the service center submits their programmatic and financial report, it is reviewed by the Lead Center and CSU, Fullerton Sponsored Programs, who reviews the transactions for allowability, necessity, reasonableness, proper documentation, and budget. The Associate Director and the Sponsored Programs Administrator have both received training under NCURA, which is the National Council of University Research Administrators. NCURA provides education for understanding program, federal, state, University guidelines and compliance.

**12. Existing Centers: Has your Center received special recognitions for past performance?**

Yes

**13. If yes, explain the work done to achieve the special recognition.**

The OCIE SBDC Lead center went through its five-year accreditation and passed with no conditions. It also received a Technology designation within the accreditation exam. The Lead Center received commendations within the accreditation including; marketing strategy, using data to drive decisions and incorporating the workforce in strategic decision-making. The OCIE SBDC network was the highest capital infusion program in the country in 2017, recoding \$350,000,000 in debt and equity



capital. The OCIE SBDC Network is one of only a handful of networks throughout the U.S. that has reached all of its SBA metrics each of the past two years.

The OCIE SBDC Network has had two of its start-up programs recognized as the County program of the year. The first program was recognized in 2018, it was the Empresarios/Emprendedoras program. The award was in recognition of the work the program had achieved in assisting first generation Hispanic business owners with starting and growing their businesses. The award was in partnership with the SBA and the Mexican Consulates of Orange County and San Bernardino. In 2019, OC MADE was highlighted as the program of the year for start-up businesses for assisting more than 75 businesses with generating their first sale. The OC MADE program was in partnership with the County of Orange and the Orange County Marketplace.

**14. If you were a previous recipient of this grant award, did you successfully draw down all funds and meet metric goals within the performance period?**

Yes

**15. Have you previously and successfully drawn down other state and/or federal funds and met metric goals within the performance period?**

Yes

**Total Budget Request: \$3,000,000**

**Total Budget Request (all centers): \$3,000,000**

## **Exhibit C - Budget Detail**

The spreadsheet establishes the annual Small Business Technical Assistance Expansion Program budget for each grant recipient during the 2020/21 California Small Business Technical Assistance Expansion Program.

**Exhibit D - 2020/21 Program Announcement**



# TAEP 2020/21 Final Budget

Authorized Representative Name:

OCIE SBDC Network

No.	Center Name	Budget Request
1	CSUF - Lead Center	\$ 1,645,000.00
2	CSUSB - IE SBDC	\$ 330,000.00
3	UCR - EPIC SBDC	\$ 125,000.00
4	Riverside County BCSD - CV SBDC	\$ 50,000.00
5	OCHCC SBDC	\$ 125,000.00
6	RSCCD SBDC	\$ 200,000.00
7	UCI - SBDC @ UCI Applied Innovation	\$ 75,000.00
8		\$ -
9		0 \$ -
10		0 \$ -
11		0 \$ -
12		0 \$ -
13		0 \$ -
14		0 \$ -
15		0 \$ -
16		0 \$ -
17		0 \$ -
18		0 \$ -
19		0 \$ -
20		0 \$ -
21		0 \$ -
22		0 \$ -
23		0 \$ -
24		0 \$ -
25		0 \$ -
<b>Total Budget Request</b>		<b>\$ 2,550,000.00</b>

EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: Lead Center @ CSUF ASC  
 Name of Host Institution (if different): CSU Fullerton - Auxilliary Services Corporation

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 1,396,698.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Personnel</b>		<b>\$ 1,396,698.00</b>
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 12%	\$ 83,801.88
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Fringe Benefits</b>		<b>\$ 83,801.88</b>
C. TRAVEL	intra-region expansion travel for startup	\$ -
<b>Total Travel</b>		<b>\$ -</b>
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ 2,500.00
	Webinar subscription	\$ 2,000.00
<b>Total Equipment and Supplies</b>		<b>\$ 4,500.00</b>
E. CONTRACTUAL	3rd party trainer	\$ 10,000.00
<b>Total Contractual</b>		<b>\$ 10,000.00</b>
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ 110,000.00
	Digital media	\$ 10,000.00
	Subscription to marketing service	\$ 10,000.00
	Contract for Independent Research	\$ 20,000.00
<b>Total Research &amp; Marketing</b>		<b>\$ 150,000.00</b>
	<b>Total Budget</b>	<b>\$ 1,645,000</b>
		R&M does not exceed 20%



EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: Inland Empire SBDC  
 Name of Host Institution (if different): CSU San Bernardino University Enterprises Corporation

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 244,361.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Personnel</b>		\$ 244,361.00
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 33%	\$ 80,639.13
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Fringe Benefits</b>		\$ 80,639.13
C. TRAVEL	intra-region expansion travel for startup	\$ -
<b>Total Travel</b>		\$ -
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
<b>Total Equipment and Supplies</b>		\$ -
E. CONTRACTUAL	3rd party trainer	\$ 5,000.00
<b>Total Contractual</b>		\$ 5,000.00
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ -
	Digital media	\$ -
	Subscription to marketing service	\$ -
<b>Total Research &amp; Marketing</b>		\$ -
<b>Total Budget</b>		\$ 330,000
		R&M does not exceed 20%

EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: EPIC SBDC  
Name of Host Institution (if different): University of California, Riverside

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 93,985.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
	<b>Total Personnel</b>	
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 33%	\$ 31,015.05
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
	<b>Total Fringe Benefits</b>	
C. TRAVEL	intra-region expansion travel for startup	\$ -
<b>Total Travel</b>		<b>\$ -</b>
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
<b>Total Equipment and Supplies</b>		<b>\$ -</b>
E. CONTRACTUAL	3rd party trainer	\$ -
<b>Total Contractual</b>		<b>\$ -</b>
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ -
	Digital media	\$ -
	Subscription to marketing service	\$ -
<b>Total Research &amp; Marketing</b>		<b>\$ -</b>
<b>Total Budget</b>		<b>\$ 125,000</b>
		R&M does not exceed 20%



EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: Coachella Valley SBDC  
 Name of Host Institution (if different): County of Riverside - Business and Community Services

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 50,000.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Personnel</b>		\$ 50,000.00
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 0%	\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Fringe Benefits</b>		\$ -
C. TRAVEL	Intra-region expansion travel for startup	\$ -
		\$ -
<b>Total Travel</b>		\$ -
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
		\$ -
<b>Total Equipment and Supplies</b>		\$ -
E. CONTRACTUAL	3rd party trainer	\$ -
		\$ -
		\$ -
		\$ -
<b>Total Contractual</b>		\$ -
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ -
	Digital media	\$ -
	Subscription to marketing service	\$ -
		\$ -
<b>Total Research &amp; Marketing</b>		\$ -
<b>Total Budget</b>		\$ 50,000.00
		R&M does not exceed 20%

EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: OCHCC SBDC  
 Name of Host Institution (if different): Orange County Hispanic Chamber of Commerce

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant with Fringe	\$ 45,000.00
	Consultant without Fringe	\$ 65,150.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
	<b>Total Personnel</b>	
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 33%	\$ 14,850.00
	Consultant	\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
	<b>Total Fringe Benefits</b>	
C. TRAVEL	intra-region expansion travel for startup	\$ -
<b>Total Travel</b>		\$ -
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
<b>Total Equipment and Supplies</b>		\$ -
E. CONTRACTUAL	3rd party trainer	\$ -
<b>Total Contractual</b>		\$ -
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ -
	Digital media	\$ -
	Subscription to marketing service	\$ -
<b>Total Research &amp; Marketing</b>		\$ -
<b>Total Budget</b>		\$ 125,000.00
		R&M does not exceed 20%



EXHIBIT C  
S-7522-CROED

BUDGET JUSTIFICATION - YEAR 2020/21  
(ESTIMATED COSTS)

Name of Center: Orange County SBDC  
Name of Host Institution (if different): Rancho Sanitago Community College District

Expenditure Type	Description	Funds Requested
A. PERSONNEL	Director	\$ -
	Program Coordinator	\$ -
	Consultant	\$ 151,883.00
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Personnel</b>		\$ 151,883.00
B. FRINGE BENEFITS	Director at 33%	\$ -
	Program Coordinator at 50%	\$ -
	Consultant at 31.68%	\$ 48,116.53
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
		\$ -
<b>Total Fringe Benefits</b>		\$ 48,116.53
C. TRAVEL	intra-region expansion travel for startup	\$ -
		\$ -
<b>Total Travel</b>		\$ -
D. EQUIPMENT & SUPPLIES	Training supplies (i.e. PO with Office Depot)	\$ -
	Webinar subscription	\$ -
		\$ -
<b>Total Equipment and Supplies</b>		\$ -
E. CONTRACTUAL	3rd party trainer	\$ -
		\$ -
		\$ -
<b>Total Contractual</b>		\$ -
F. RESEARCH & MARKETING (personnel and non-labor)	Salary and benefits	\$ -
	Digital media	\$ -
	Subscription to marketing service	\$ -
		\$ -
<b>Total Research &amp; Marketing</b>		\$ -
<b>Total Budget</b>		\$ 200,000
		R&M does not exceed 20%







**CALIFORNIA OFFICE OF THE  
SMALL BUSINESS ADVOCATE**

**California Office of the Small Business Advocate**

**Governor's Office of Business and Economic Development**

**2020/21 Technical Assistance Expansion Program**

**A grant program for federally awarded small businesses technical assistance programs**

**Program Announcement**

**Opportunity Number: SBTAEP2020**

**Total Program Funding: \$17 Million**

**Released:**

July 13, 2020

**Proposals Due:**

By 11:59:59 PM PST on Friday, August 14, 2020

Proposals submitted after the stipulated deadline will be rejected without being evaluated with no exceptions. Please make every effort to submit at least 48 hours in advance in case you experience technical difficulties.

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## About the Program

### Overview

The California Small Business Technical Assistance Expansion Program (SB TAEP or Program) was created in 2018 to expand the services of federally-awarded small business technical assistance programs in California, administered by and primarily funded by federal agencies, that provide one-on-one confidential free or low-cost consulting and training to small businesses and entrepreneurs in this state. The Program was enacted in Government Code Section 12100-12100.69. The Office of Small Business Advocate (CalOSBA) at the Governor's Office of Business and Economic Development (GO-Biz) is charged with administering and providing oversight for the Program.

The Program provides \$17 million in annual grant funding to improve the state's business and technical resources and networks for entrepreneurs and micro and small business owners, with a preference for applications that expand on services to underserved business groups, including women, minorities (people of color), and veteran-owned businesses, and businesses in low-wealth, rural, and disaster-impacted communities. Funding is provided to provide new or enhanced consulting and training services. The program was authorized with a five-year funding period ending on June 30, 2023. Each fiscal year, CalOSBA will release an annual Program Announcement to provide Centers with the application, instructions and details about the annual funding, eligibility, evaluation criteria and performance requirements. This document serves as the Program Announcement for SB TAEP funding available during the 2020/21 fiscal year.

### Purpose

Federal small business technical assistance centers (Centers) are funded in part by federal agencies to operate small business support services and programs throughout the state. These Centers provide one-on-one, confidential consulting and training to help small businesses and entrepreneurs start, grow and expand, and create jobs in California. The SB TAEP provides state grant funding to create new or enhanced consulting and training services through existing and new Centers, including satellite offices. As the Program's purpose is to expand offerings to California small businesses over a five-year period, annual requests may include continued support of new or enhanced expansion offerings created in previous years through TAEP.

SB TAEP funds shall not supplant a Center's local cash match. However, funding from other state programs may be used as local cash match.

### Priorities

CalOSBA will prioritize funding for applications that best meet the factors listed in paragraph 1 (Government Code Section 12100-12100.69) and give preference to applications that propose new or enhanced services to underserved small business owners, including women, people of color and veteran-owned businesses and businesses in low-wealth, rural and disaster-impacted communities included in a state or federal emergency declaration or proclamation.

Eligible consulting and training services covered by the Program's grant funding include: business plans



and strategy; capital readiness and fundraising; expansion and revenue growth strategies such as export training, government and private procurement, e-commerce marketplace development and other business development strategies; marketing; management; operations; financial management; cybersecurity; production/manufacturing assistance and increased productivity strategies; innovation and tech transfer; business resilience such as emergency preparedness, disaster economic recovery, succession planning; among other areas. Priority will be given to proposals that fill opportunity gaps for underserved small business owners to help them reach greater parity in revenue creation and job creation including capital readiness, export training and e-commerce, procurement, and other innovative programs that increase revenues and job creation to narrow the gap. Priority will also be given to business resilience programs for underserved small businesses which face increased challenges dealing with disaster recovery from natural, technological/cyber, health/disease, or human induced hazards. Business resilience may also include succession planning and exit strategies.

CalOSBA will also prioritize proposals that demonstrate collaboration and best practice sharing in the community and across ecosystem partners to build a stronger network of programs, services, and activities that benefit all California small business with a preference for underserved business groups.

These may include:

- Research and marketing focused on mapping the continuum of services, identifying any gaps that exist for underserved small businesses, partnering, and ensuring effective outreach to underserved small businesses.
- Identifying and scaling best practices including cross-network and ecosystem wide best practice sharing to ensure a standard level of small business service offerings across the state, especially with underserved small businesses.
- Building new partnerships and collaborations to better support underserved small businesses with experts in this area including minority, women and veterans' business organizations, mission-based lenders serving underserved, and others that have effective outreach to underserved small businesses.

## Definitions

Definitions that pertain to this Program Announcement are provided below.

- "Federal funding partners" means the federal agencies that fund small business technical assistance centers such as the U.S. Small Business Administration, U.S. Department of Commerce or U.S. Department of Defense and other federal agencies with the authority to administer small business technical assistance programs in the state of California.
- "Federal small business technical assistance center (Centers)" means an organization that contracts with a federal funding partner to operate a small business development center, a women's business center, a veterans business outreach center, a manufacturing extension

partnership center, a minority business development center, a procurement technical assistance center, or a similar program within this state to support small businesses.

- “Fiscal agent” means the entity with which a federal funding partner administering the specified federal small business technical assistance program for all aspects of the program requirements, which may include staffing, program, outreach and securing the required match to draw down federal funds and reporting performance outcomes to operate the program in this fiscal agent’s area of responsibility.
- “Lead Center” means a Small Business Development Center (SBDC) Lead Center.
- “Authorized Representative” means the principal contact in the proposal and grant agreement.
- “Local cash match” means nonfederal cash that is spent on eligible federal small business technical assistance program costs.
- “Grant Period” means October 1, 2020 through September 30, 2021
- “Small business” means a business with 500 employees or less for most manufacturing and mining industries and \$7.5 million or less in average annual receipts for nonmanufacturing industries, includes for profit and non-profit entities.
- “Client” means the client is the business, if it exists. In the case of a prospective business, the client is the individual (i.e. nascent entrepreneur or pre-venture) receiving SBDC services. Each client will be counted only once.
- “Unique Client Served” means the number of unique clients counseled and/or trained. This metric restarts every program year; thus the client can achieve this metric year over year.
- “Business re-start” means a small business that existed before March 4, 2020 and subsequently closed or partially closed operations and services and experienced significant revenue loss due to a declared disaster and was able to restart as a result of direct technical assistance from the center.
- “Underserved business groups” means women, minorities (people of color), veteran-owned businesses, and businesses in low wealth, rural and disaster-impacted communities included in a state or federal emergency declaration or proclamation.
- “Minority-Owned Small Business” means a small business in which the majority (at least 51%) of the company is owned and run on a daily basis by a person of color (or people of color) of the following racial or ethnic groups: African American/Black, Asian, Native American or Alaska Native, or Native Hawaiian or Pacific Islander; or, LatinX/Hispanic.
- “Low-wealth areas” means a city and/or county within California with a poverty rate of at least 150% of the California statewide poverty rate per the most recently updated data available from the U.S. Census Bureau’s American Community Survey 5-Year Estimates thirty days prior to the first day of the applicable application period.



- “Rural areas” means all territory, population, and housing units that are located outside of urban areas (50,000 or more people) and urban clusters (at least 2,500 and less than 50,000 people). Urban areas and clusters are determined by population density and size available per the most recently updated data available from the U.S. Census Bureau’s American Community Survey 5-Year Estimates thirty days prior to the first day of the applicable application period.
- “Disaster Impacted” means all territories included in a state or federal emergency declaration or proclamation.
- “Veteran” means the individual served on active duty with the Army, Air Force, Navy, Marine Corps, or Coast Guard for any length of time and didn’t receive dishonorable discharge, or served as a Reservist or member of the National Guard and were called to federal activity duty or disabled from a disease or injury that started or got worst in the line of duty or while in training status.
- “Veteran-Owned Small Business” means a small business that is 51% or more owned and controlled by an individual or individuals in one or more of the following groups: Veterans (other than dishonorably discharged); Service-Disable Veterans; Active Duty Military service member participating in the military’s Transition Assistance Program (TAP); Reservists and National Guard members; or Current spouse of any Veteran, Active Duty service member, or any Reservist or National Guard member; or widowed spouse of a service member who died while in service or of a service-connected disability
- “New Businesses Created” means substantive counseling attributed to assisting an individual(s) explore the establishment of new business, who achieved one or more of the following verified results: The client makes their initial sale while receiving assistance, the client has made a sale, but comes to the SBDC without the necessary licenses and permits and obtains them with help from the SBDC, or the client obtains funding for the business.

## **Funding and Duration**

The 2020/21 grant period will commence on October 1, 2020 and end on September 30, 2021.

A total of approximately \$17 million is available during the grant period, which will be awarded by CalOSBA using a merit-based review process. Centers are expected to spend their 2020/21 award in full during the grant period. On a case-by-case basis upon written approval from CalOSBA, Centers may receive up to a one-year extension to spend down 2020/21 grant awards. Centers should ensure that grant funding requests and proposed scopes of work align with the grant period timeline.

The requested funding amount may not exceed the total federal award to provide technical assistance to all small business owners and entrepreneurs specified in a Center’s agreement with a federal funding partner, but in any event may not be less than twenty-five thousand dollars (\$25,000) per year. Centers applying as a group under an Authorized Representative may combine federal award dollar amounts. Additionally, if the group is proposing a network-wide program offering, the requested funding amount may not exceed the combined total federal award.

## **Funding Categories**

Allowable activities and expenditures under the Program are listed below.

1. Employee or consultant's time and effort to conduct direct technical assistance to small businesses (one-on-one consulting with small business or startup).
2. Employee or consultant's time and effort to conduct direct technical training to small businesses include (workshops and classes for business owners or startups). Training may include the cost of supplies to conduct training and/or webinar or technology subscriptions for virtual training.
3. Research includes employee or consultant's time and effort to assess small business service needs in a Center's geographical service area or to research and develop a pilot project or other planned service expansion. Research may not include the cost of research tools, software, or reports for the Center or for individual client consulting. We encourage the use of partnerships and existing best practices for any large research expenditures. Research expenditures must be justified in the grant application. Any additional research over \$5,000 planned post or beyond the original proposal must be submitted with justification to CalOSBA for pre-approval.
4. Marketing includes employee or consultants' time and effort to conduct targeted Center marketing initiatives to underserved small businesses such as, print media (i.e. flyers, brochures, and pull-up banners), digital media (i.e. social media ads), and purchases/subscriptions to database, marketing services and other technology tools to support outreach, client development and expansion activities (i.e. MailChimp, Constant Contact, Hootsuite, etc.). We encourage the use of partnerships and research-driven approaches for any large marketing expenditures. Marketing expenditures must be justified in the grant application. Any additional marketing (non-labor marketing costs over \$5,000) planned post or beyond the original proposal must be submitted with justification to CalOSBA for pre-approval.
5. Travel expenses related to startup or capacity-building that result from a geographic expansion to a new underserved area will be allowed for a reasonable period as defined in the proposal's strategic plan. Funds may only be used for transportation expenses. Funds are not available for the payment of per diem, lodging, meals, or subsistence expenses.

An unlimited portion of the grant award may be used for direct business consulting and training. Centers may spend the full award on business consulting and training. However, research and marketing are limited to a maximum of 20% of the total annual grant award. Further, any and all spending on allowed travel (item 5 above), research and/or marketing must be justified and approved in the grant application.

### **Unallowable activities and expenditures under the Program include, but are not limited to:**

- Salary or contract bonuses
- Travel expenses for per diem, lodging, meals or subsistence expenses
- Travel expenses for transportation (i.e. mileage, car rental, rail or air) unless noted above for geographic expansion)



- Food and beverage
- Supplies not related to consulting, training, research, or marketing
- Indirect or overhead costs (The grant agreements in this Program are not subject to the model agreement provisions developed pursuant to Chapter 14.27 (commencing with Section 67325) of Part 40 of Division 5 of Title 3 of the Education Code)
- Other items that are banned by the State of California, or CalOSBA deems inappropriate or inconsistent with statutory or programmatic requirements of TAEP

All costs incurred under the Program must meet the tests of reasonableness, allowability and allocability in accordance with the Program's allowable costs and grant agreement terms. All costs charged under the Program are subject to audit. Recipients are responsible for ensuring proper management and financial accountability of state funds to preclude future cost disallowances.

### **Funding Method**

CalOSBA will process grant payments quarterly on a cost-reimbursement basis. CalOSBA will issue payments within forty-five (45) calendar days of receiving a complete, valid and undisputed invoice with all required documentation and reporting requirements.

CalOSBA will determine final funding amounts based on evaluation of scores and budget reasonableness as defined in Funding Categories.

### **Eligibility**

At the time of applying for funds, Centers must meet the requirements below.

1. Applicants must submit an active grant, cooperative agreement or contract with a federal funding partner to administer a federal small business technical assistance program in California OR a Letter of Intent/Announcement from a federal funding partner stating the Applicant will administer a federal small business technical assistance program in California no later than October 1, 2020.
2. Applicants must have a fiscal agent that is able to receive nonfederal funds.
3. Applicants must have a plan of action and commitment to fully draw down all the federal funds in their primary agreement with a federal funding partner during the grant period using local cash match.
4. Applicants must generate and provide documentation of the local cash match required by the federal funding partner.
5. If the applicant is a new federal small business technical assistance center, the applicant must demonstrate the ability to fully draw down substantially all federal funds available to it.

### **Authorized Representatives**

Applicants may include Centers that operate as a group (e.g., regional or statewide networks) or individually. Group-Based Programs and Individual Centers must designate an Authorized Representative. Authorized Representatives will carry out a variety of responsibilities during the application process and grant period.

### **Group-Based Programs**

Group-based programs consist of Centers organized under a coordinating administrative or fiscal entity, such as a SBDC Lead Center or a voluntary grouping of individual Centers.

For Centers that operate as a group, the Authorized Representative will be the coordinating administrative entity defined by their federal program or the fiscal agent selected by the group.

Authorized Representatives that act only as a Fiscal Agent will not be responsible for designating final funding award amounts per Center.

### **Individual Centers**

For Centers that operate individually, the Authorized Representative will be the Center itself or a designated entity that will represent a group of individual Centers to carry out Program responsibilities on their behalf. Centers that operate individually will have their final funding award amounts determined by CalOSBA upon final review.

### **Applicant and Agreement Responsibilities**

The Authorized Representative will submit the Program application to CalOSBA, receive the Notice of Award and enter into the 2020/21 agreement with CalOSBA. For group-based applications and agreements, the Authorized Representative will enter into separate sub-agreements with the Centers in their group agreement.

### **Grant Period Responsibilities**

During the grant period, the Authorized Representative will submit performance and financial reports to CalOSBA after reviewing each Center for accuracy and completeness. The Authorized Representative will also receive and distribute CalOSBA's quarterly reimbursements to Centers in group agreements.

In addition, the Authorized Representative will serve as the principal contact for CalOSBA and the Centers in a group agreement. Any programmatic or agreement-related issues will flow through the Authorized Representative to the Centers in their agreement. When programmatic issues and questions arise, Centers are expected to contact their Authorized Representative, who will engage CalOSBA if necessary. Likewise, CalOSBA will communicate to Authorized Representatives on program-related information. If an Authorized Representative designates staff for a portion of these responsibilities, they must provide CalOSBA with a written statement confirming they are acting on behalf of the Authorized Representative.

### **Notice of Award**

Final award amounts for all grantees will be determined by the competitive score received.

Once scores for all recipients have been determined, CalOSBA will email the Authorized Representative a Notice of Award. The Notice of Award will indicate the scores, along with instructions about next steps. CalOSBA may conduct follow up calls, if deemed necessary, to discuss the proposal and requested amounts. If a Center's award amount is different than the amount requested, the Center



will be required to revise its scope of work and proposed milestones based on the final award amount. Centers must submit the requested information within five business days of receiving the Notice of Award. If it's a Group-Based Program, the Authorized Representative will be provided with guidance and scoring from CalOSBA to determine final award amounts for subgrantees.

### **Agreement**

Once milestones are finalized, the Program's funding will be awarded in an agreement between CalOSBA and the Authorized Representative. The agreement will contain standard terms and conditions and specify the award amount, the reporting and invoicing requirements, scope of work and milestones that will be used to evaluate recipient progress during the year of the agreement. In the case of group submissions, the Authorized Representative will enter into separate sub-agreements with each of the Centers in their group.

### **Amendments**

CalOSBA may amend agreements if necessary, as a result of external factors, including changes in federal funding, Center closures or openings, Center staffing issues, necessary adjustments to achieve proposed objectives and metrics, noncompliance in carrying out the agreement or other agreement-related issues that may arise during the grant period.

For Small Business Development Center Regional Networks, in some cases, a Center may not be able to spend their 2020/21 grant award in full. If needed, a portion of a Center's funding award may be redirected to other Centers in the same group agreement without an amendment if the change in funding results in no net changes to the total award, objectives or metrics in the agreement. A Change Order Request (COR) form must be completed for funding redirections that results in no net change in the total award. CalOSBA will evaluate requests and provide written approval if allowed. Funding redirections that results in a change in the total award in an agreement will require an amendment.

If a recipient ceases to operate a federal small business technical assistance program, the state is obligated to compensate the recipient only for all allowable and unavoidable expenses reasonably incurred by the recipient in the performance of its work under the agreement as of the effective date of the terminating event. In addition, if a recipient has received notification from its federal funding partner that its cooperative agreement is scheduled for termination or that its operations are placed under a probationary status, the recipient must notify the Office of Small Business Advocate via email at [SBTAEP@gobiz.ca.gov](mailto:SBTAEP@gobiz.ca.gov) within 48 hours. Failure to notify the Office of Small Business Advocate will impact future eligibility.

### **Reporting**

Authorized Representatives are responsible for collecting accurate and complete performance reports and financial reports from sub-recipients. The Authorized Representative is responsible for submitting all final reports in the online portal to CalOSBA once reviewed and approved. Reports will be submitted electronically through the Small Business Grantee Portal to CalOSBA grant administrators.

Authorized Representatives will receive separate email instructions for the Grantee Portal, including log-in/password information, and tips on how to navigate the portal. A mandatory webinar training will be held no later than January 15, 2021.

The reports or portions thereof provided by grantees may be made public.

Recipients will be required to submit quarterly performance and financial reports to the CalOSBA Grantee Portal within forty-five (45) calendar days of the completion of each of each quarter of the grant period.

CalOSBA may withhold payment if reports are not received or are deemed incomplete or inadequate. Failure to report in a timely manner may impact future eligibility for grant funding from CalOSBA.

CalOSBA reserves the right to audit information submitted in a performance report by requesting additional documentation, performing on-site visits, contacting clients served, or verifying other information as necessary to verify the information contained in the performance report.

### **Performance Reports**

Grantees will submit performance reports quarterly during the performance period.

The performance reports will include but not be limited to the following information:

- Quarterly outcomes from the assistance provided including:
  - Number of Training Events
  - Number of Unique Clients Trained
  - Number of Unique Clients Counseled\*
  - Number of New Clients Counseled\*
  - Number of New Businesses Started\*
  - Number of Jobs Created (full and part-time)\*
  - Number of Jobs Retained (full and part-time)\*
  - Dollar Amount of Increase in Sales\*
  - Number of Contracts\*
  - Dollar Amount of Contracts\*
  - Number of Loans\*
  - Dollar Amount of Loans (SBA loans and non-SBA loans)\*
  - Dollar Amount of Equity Capital (to include private investment)\*
  - Additional Funds Raised (non-dilutive funding, grants, etc.)\*

\*Metric must be reported for the underserved small businesses:

- Women-Owned Businesses
- Minority-Owned Businesses including:
  - Black/African-American
  - Asian
  - Native American or Alaska Native



- Native Hawaiian or Pacific Islander
- Hispanic/LatinX
- Veteran-Owned Businesses
- Businesses in Rural Communities
- Businesses in Low-Wealth Communities
- Businesses in Disaster-Impacted Communities
- Actual funding expended
- Number of partnerships / collaborations

### **Financial Report**

The Financial Report Template will contain the invoice template and not be limited to the following information:

- Business consultant names (including affiliated organizations if it's a partnership with another local technical assistance provider, chamber, accelerator, incubator, institution, government entity, etc.)
- Description of non-labor expenditures
- Cost for client consulting, including hourly rates, benefit rates and number of hours worked
- Costs for client trainings
- Cost for travel
- Cost for research
- Cost for marketing
- Reimbursement period
- Signature from Authorized Representative affirming that the information is accurate

### **Performance and/or Underperformance Reporting**

Underperformance statements will be required based on the thresholds below:

- Q1 (Oct-Dec): Year-to-date (YTD) results less than 10% of the annual award or goals
- Q2 (Jan-Mar): YTD results less than 35% of the annual award or goals
- Q3 (Apr-Jun): YTD results less than 60% of the annual award or goals
- Q4 (Jul-Sept): YTD results less than 100% of the annual award or goals

The performance narrative must describe the work performed, outcomes achieved, progress made against full grant proposal plan, and justify the cost categories invoiced. For instance, if 200 hours were charged to training, we would expect the work associated with those costs to be broadly described (e.g., did staff develop curriculum, plan and host training events for underserved businesses, deliver consulting services, acquire supplies or webinar subscriptions?). If travel costs were expensed, please describe how the travel was critical to the Center's proposed geographic expansion for startups. If research costs were expensed, please indicate the type of research conducted. In addition, please describe how the Center was able to target outreach and marketing to underserved businesses to meet metric goals.

The underperformance narrative must include challenges and an action plan for improvement. We are

looking for the Center to briefly describe the work plan to spend the funds and meet goals (e.g., Center's marketing efforts will generate new client consultations, X number of trainings will be conducted in Q2, etc.) Also critical is a confirmation that the Center is still on track to meet annual goals and spend the funds by the end of the performance period.

Statements deemed inadequate result in an incomplete report.

### **Final Year-End Report**

The final year-end report will be a detailed narrative description of how the funds awarded were used to expand services to underserved businesses, including women, people of color and veteran-owned businesses, and to help businesses and entrepreneurs to start, expand, raise funds and create jobs in all areas of California, including low-wealth, rural and disaster-impacted communities included in a state or federal emergency declaration or proclamation.

Grantees should address the following:

- Actual metric outcomes compared to proposed
- Client demographics:
  - The number of businesses assisted that were pre-launch, part-time only, and/or operating full-time
  - The employee size of businesses assisted; based on the number at the time assisted, as reported by the assisted business
  - The revenue size of businesses assisted; based on the amount at the time assisted, as reported by the assisted business. Reporting shall be in categories of business size, as determined by CalOSBA
  - The city and county in which the businesses assisted were located.
  - Industry sectors of the businesses assisted, as reported by the assisted businesses.
  - The number of business owners assisted based on gender
  - The number of business owners assisted based on race
  - The number of business owners assisted that are Veteran/Non-Veteran
  - The number of business owners assisted in low-wealth areas
  - The number of businesses/owners assisted in rural areas
  - The number of businesses assisted in disaster areas (state or federally declared disasters)
- Collaboration and best practice sharing to build a seamless network of programs, services and activities that benefit small business and especially underserved business groups
  - Describe or share any mapping of the continuum of services and any gaps that exist for small businesses (i.e. work product such as research studies, strategic regional plans, or databases, diagrams, technology tools, etc.).
  - Describe efforts to develop best-practices to fill identified capital, revenue or opportunity gaps.
  - Describe efforts to build or strengthen partnerships, collaborations and/or share best practices, especially to underserved business groups.



- Share metrics on partnerships established as a result of expansion, especially with organizations with strong memberships bases across underserved business groups.
- Regional and economic shifts (i.e. regional strategies or priorities informing focus, natural disasters, emerging industries, etc.)
- A minimum of five success stories - with no less than one per program created or expanded, or new region entered

### **Documentation and Record Keeping**

Grantees must maintain complete and accurate records and supporting documentation of sufficient detail, for up to five fiscal years, to receive quarterly reimbursements, and to facilitate a thorough financial and/or programmatic and/or legal compliance audit or examination of performance in the Program. In addition, funds must be identifiable to the program year for which they were provided. Funds that were approved as a "carryover" from a previous program year also must be maintained and reported separately. Upon requested, grantees must make these records available to CalOSBA.

- A spreadsheet that reconciles the financial invoices and the disbursement journals at the Host organization and subrecipient organizations (i.e. subcontracted Service Center(s))
- Support for all charges to the Grant Agreement, but not limited to the disbursement ledger, vendor invoices, canceled checks and journal entries
- The expense reimbursement invoices submitted from the subcontracted Service Centers and any relating supporting documentation (i.e. disbursement ledgers, comparison of actual to budget expenditures)
- Salary and wage records for employees charged to the Grant Agreement (Both Recipients and subrecipients must maintain the appropriate standard to document for full-time and part-time personnel allocated to the program. This may include, but is not limited to, time and effort certification, appointment letters or contracts, performance reviews, payroll journals and/or activity reports
- Backup timesheet with time and attendance of employees or consultant who are charged to this Program, with sufficient detail to substantiate the claimed work hours performed in support of the Program
- Copies of receipts, invoices, contracts and other supporting documentation for all expenses paid with Program funds
- Client or database records to substantiate metrics submitted in a Performance Report
- Copies of judicial and administrative decisions and compliance reviews (as applicable) and other supporting documentation demonstrating your adherence to the legal requirements of this Program and the requirements established by your federal funding partner.

### **Program Monitoring and Reviews**

CalOSBA will monitor grantees performance. This monitoring will include regular review of Performance and Financial Report Data. CalOSBA may also make inquiries and conduct program reviews to verify performance, including but not limited to a review of client files, client fees, training, marketing and administration invoices, cost share requirements and overall operations. Program

reviews may be conducted remotely or onsite. CalOSBA may also review reported business assistance by interviewing the clients assisted by a Center. Staff will inform Centers by email about their selection for a program review and email instructions no later than five business (5) days before the program review.

CalOSBA is not responsible for providing oversight of a Center's performance between program reviews. Moreover, CalOSBA does not accept liability for information not submitted in good faith by a Center for a program review.

## Pre-Bid Webinar

Friday, July 17, 2020 from 1:00 PM to 2:00 PM

[Click Here for the Zoom Pre-Bid Webinar Registration](#)

## Timeline

July 13, 2020	Program Announcement Release
July 17, 2020	Pre-Bid Webinar at 1:00 PM PST
August 14, 2020	Grant application deadline (must submit online by 11:59:59 PM PST)
August 17 – September 1, 2020	Proposal review
September 4, 2020	Notice of Awards sent via email
September 8-9, 2020	Follow up calls to Awardees
September 9-25, 2020	Grant Agreements sent to Awardees
October 1, 2020	Grant program begins
September 30, 2021	Grant program ends

## Application Instructions and Submission

All applications, with required attachments, must be submitted electronically using the CalOSBA online application portal, which can be accessed via a link at [www.grants.business.ca.gov](http://www.grants.business.ca.gov). Users of the portal will first need to create an account. Applications submitted via email or facsimile will not be reviewed or scored. A CalOSBA [online application guide can be viewed here](#).

***All applications must be submitted by the deadline and the online application portal will automatically close once the application deadline has passed, August 14, 2020 by 11:59:59 PM PST. There are no exceptions or extensions of this deadline. Any technology challenges or inability of an applicant to submit an application by the deadline for any reason shall not be grounds for an extension of the deadline. Applicants are encouraged to submit their application before the deadline in the event technical assistance is required. For help***



***applying, please send an email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy, Program Manager, currently Michelle Radmand at [michelle.radmand@gobiz.ca.gov](mailto:michelle.radmand@gobiz.ca.gov) with the subject line: Technical Assistance Grant Online Help.***

CalOSBA's determination as to eligibility for grant funding, or the amount of grant funding awarded, is not subject to appeal. CalOSBA reserves the ability to modify applicant budgets if included costs are deemed ineligible. A Center and its fiscal host will be required to be in compliance with the Drug-Free Workplace Certification and Nondiscrimination Compliance Statement as required by state law.

- A. Group-based programs will apply as a group (i.e. SBDCs with Lead Center structure and others who voluntarily organize as a group ). The group's Authorized Representative will submit a single consolidated application to CalOSBA that contains all the applications from the Centers in their group. Additionally, if the group is proposing a network-wide program offering, the Authorized Representative may submit an additional application for funding under the same account application.
- B. Centers that operate individually at the federal level may apply individually or submit a group application under a single designated Authorized Representative. For instance, a Northern California technical assistance provider may submit a consolidated application with the Northern California SBDC network.

### **Required/Supporting Documents**

All applicants must upload the following documents to their application:

- Federal Award (Fully Executed Agreement or Letter of Intent)
- Budget Justification Spreadsheet – [download this form here](#)
- Organizational Chart
- Local Cash Match Form – [download this form here](#)
- STD.204 Payee Data Record Form – download this form at <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>
- STD.21 Drug-Free Workplace Certification – download this form at <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std021.pdf>

Optional documents that can be uploaded with applications (**note: below documents are mandatory for new federal centers**):

- Letters of Recommendation/Support (**no more** than 3 per Center)
- Resumes of key personnel

### **Application Review and Scoring Criteria**

#### **Application Review**

CalOSBA will utilize the following application review process:

1. Technical Review – Application will be verified for eligibility and completeness, including any required documents uploaded to the application

2. Disqualifications – CalOSBA may disqualify applications or deny applications for the following reasons:
  - a. Incomplete applications
  - b. Ineligible applicant
  - c. Ineligible services
3. Application evaluation and scoring by GO-Biz panel

CalOSBA reserves the right to request additional information and request for revised scope of work and metrics.



## Scoring Criteria

This section provides the application questions and scoring point scale.

Application Section	Points Possible
Proposed Metrics & Scope of Work	45
Center Strategies	30
Financial Management Capability	15
Center Performance	10
Bonus Points	10

**Total Points Available: 110 points**

### Service Areas (Not Scored)

1. Geographic Area of Service (counties)
2. Assembly District(s)
3. Senate District(s)

### Proposed Metrics

(5 points)

1. Number of Training Events
2. Number of Unique Clients Trained
3. Number of Unique Clients Counseled\*
4. Number of New Clients Counseled\*
5. Number of New Businesses Started\*
6. Number of Businesses Re-Started\*
7. Number of Businesses Closed\*
8. Number of Jobs Created (full and part-time)\*
9. Number of Jobs Retained (full and part-time)\*
10. Dollar Amount of Increase in Sales\*
11. Number of Contracts\*
12. Dollar Amount of Contracts\*
13. Number of Loans\*
14. Dollar Amount of Loans (SBA loans and non-SBA loans)\*
15. Dollar Amount of Equity Capital (to include private investment)\*
16. Additional Funds Raised (non-dilutive funding, grants, etc.)\*

\*Metric requires a goal for each of the following underserved business groups:

- Number of Women-Owned Businesses Served
- Number of Minority-Owned Businesses Served
- Number of Veteran-Owned Businesses Served
- Number of Businesses Served in Rural Communities
- Number of Businesses in Low-Wealth Communities
- Number of Businesses Served in Disaster-Impacted Communities

### **Proposed Scope of Work**

1. Describe how your Center will fill gaps and expand by providing new or enhanced services to underserved small businesses, including women, people of color and veteran-owned businesses and businesses in low-wealth, rural and disaster-impacted communities included in a state or federal emergency declaration or proclamation. Please describe specific strategies, goals and metrics to achieve increased numbers of underserved clients through existing and/or new Centers, including satellite offices and new partnerships. Specify how this is expansion given the scope of your Center's current active federal contract to provide direct technical assistance and training. **(20 points)**
2. If your Center indicated 0 for an of the proposed metrics, please describe why your Center is unable to track. **(5 points)**
3. Describe how the grant funds will help your Center's methodology and implementation of the proposed expanded services. Please detail and the strong likelihood of achieving proposed outcomes. For group-based submissions proposing a network-wide program, describe in detail how the network of Centers will leverage each other to implement the program, detail best practices and proven methodologies for success. **(10 points)**
4. Provide a plan of action below indicating how you will draw down all the federal funds available during the grant period using local cash match. If your Center did not fully draw down federal funds previously, explain why and address how your action plan will prevent local under-match going forward. **(10 points)**

### **Center Strategies and Organizational Capacity**

5. Describe the Center's in-take methods including details of any strategies to ensure new underserved small businesses are appropriately onboarded. **(5 points)**
6. Describe the Center's management strategy for service delivery and how the work will be coordinated and monitored. Include organizational chart. **(10 points)**
7. Describe ability to partner and collaborate, including how your Center complements and leverages the work of other local, state, federal, non-profit or private small business technical assistance resource partners in their area, including institutions of higher education, financial institutions, chambers of commerce, trade and industry groups and associations that are committed to the growth and success of underserved small business. **(15 points)**

### **Financial Management Capability**

8. If travel expenditures have been identified, please justify the need and how travel will be used to expand geographically. **(not scored)**
9. If research expenditures have been identified, please explain the need, any research-driven justification, and how the funds will be used. **(not scored)**
10. If marketing expenditures have been identified, please explain the need, any research-driven justification, and how the funds will be used. **(not scored)**
11. Describe how your Center will track allowable activities and expenditures. **(5 points)**

Budget Breakdown and Justification attachment **(5 points)**

Federal Match Performance attachment **(5 points)**



**Center Performance**

12. Existing Centers: Has your Center received special recognitions for past performance (e.g. awards, letters of recognition, etc.)?
13. If yes, explain the work done to achieve the special recognition **(10 points)**

**New Centers Only:** Attach letters of recommendation and resumes of key Center personnel. **(10 points)**

**Bonus Points**

14. If you were a previous recipient of this grant award, did you successfully draw down all funds and meet metric goals within the initial performance period? YES \_\_\_\_\_ NO \_\_\_\_\_ **(10 points)**  
  
OR
15. Have you previously and successfully drawn down other state and/or federal funds and met metric goals within the performance period? YES \_\_\_\_\_ NO \_\_\_\_\_ **(10 points)**

## **California Public Records Act**

By submitting an application, the applicant acknowledges that GO-Biz is subject to the California Public Records Act (PRA) (Government Code section 6250 et. seq.). Consequently, materials submitted by an Applicant to GO-Biz may be subject to a PRA request. In such an event, GO-Biz will notify the Applicant, as soon as practicable, that a PRA request for the Applicant's information has been received, but not less than five (5) business days prior to the release of the requested information to allow the Applicant to seek an injunction. GO-Biz will work in good faith with the Applicant to protect the information to the extent an exemption is provided by law, including but not limited to notes, drafts, proprietary information, financial information and trade secret information. GO-Biz will also apply the "balancing test" as provided for under Government Code section 6255 to the extent applicable.

END EXHIBIT D



## **Exhibit E – Change Order Request Form**

### **Overview**

The Small Business Technical Assistance Expansion Program (SB TAEP) is a five-year program through June 30, 2023 that provides annual grant funding for one-year grant periods . Centers are expected to spend their annual award in full during the one-year grant period. On a case-by-case basis, upon written approval from GO-Biz, grantees may submit a change order request (COR) to ensure full spenddown of the annual award.

### **Process for Requesting a Change Order**

The grantee will provide a brief explanation for the change order request, including why funds are being redirected, proposed new use, and steps being taken to ensure region affected maintains service levels. A COR must be submitted for the following situations but not limited to:

- SBDC Regional Networks requesting redirection of funds between subcenters within the network that result in no-net change to overall budget
- Categorical redirection of funds greater than 10% of the total award amount
- Redirection of funds for increased travel, research, or marketing funds from approved budget, Exhibit C
- Performance metric change
- Others as directed by GO-Biz and CalOSBA

COR approval is required in advance before any funds may be redirected by the grantee. A request must be submitted via email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov), with the subject line, "Grant Agreement #\_COR\_date."

[Click here to download Change Order Request Form](#) – Form must be submitted in excel format

### **Process for Approval**

CalOSBA will review, and if approved the COR will be e-signed by the current Program Manager and Director and returned to the grantee via email as an approved COR.pdf.

## **Exhibit F – TAEP NO-COST TERM EXTENSION REQUEST INSTRUCTIONS**

### **Overview**

The Small Business Technical Assistance Expansion Program (SB TAEP) provides grant funding on an annual basis over a five-year period ending on June 30, 2023. Centers are expected to spend their annual award in full during the one-year grant period. On a case-by-case basis upon written approval from GO-Biz, grantees may receive up to a one-year extension to spend down 2020/21 grant awards.

### **Process for Requesting an Extension**

The grantee will provide a brief justification narrative and a thorough plan of action to meet milestones. Extension requests will not otherwise be reviewed. At minimum the plan of action must include:

- Schedule of activities and spenddown (e.g. Gantt chart, project timeline, etc.)
- Organizational capability to provide services to small businesses
- Management strategy that will be utilized to achieve the proposed milestones
- A request must be submitted via email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov), with the subject line, "Grant Agreement #\_No-Cost Term Extension Request" no later than November 15, 2021. Request submitted after November 15, 2020 will not be reviewed and the grantee will forfeit the remaining awarded funds.

### **Process for Evaluating Extension Requests**

Upon receiving the above request for an extension, staff will evaluate if the following conditions apply:

1. The grantee must have experienced an unpredictable event during the course of the grant year that impaired their ability to fully spend down their award. Examples of justifications for an extension include, but are not limited to the following:
  - Delays in the operational ramp-up of a new center or pilot project
  - Delays in fiscal host approvals and/or execution of sub-agreements with centers
  - Grantee center relocations, resulting in a temporary hiatus in operations
  - Staff/consultant turnover and/or difficulties in hiring staff or consultants to carry out services
  - Challenges in generating sufficient client demand to conduct the level of consulting and training originally planned in the agreement
2. The grantee has otherwise demonstrated good faith in their performance of the Agreement during the Agreement's Term of Performance.
3. The grantee is in full compliance with grant program requirements, including eligibility, reporting and invoicing, and any audits by GO-Biz.



4. The grantee's director and GO-Biz agree that no other options exist for the grantee to fully spend down the award in the Agreement.

If these conditions are met, staff will work with the grantee to identify an extended end date for the Agreement's Term of Performance. The extended end date must be the **earliest** date when the grantee will be able to fully spend down their award and achieve the performance metric goals in the Agreement. The grantee is encouraged, but not required, to align with prescribed quarters. Once an extended end date is identified, the grantee will be required to submit the final invoice and report within 45 days of the extended date. If an extension is granted, the grantee is required to spend down the total award prior to the extension deadline. Staff will email the grantee to confirm the extension. A template for approval is on the next page and is to be executed by CalOSBA Staff:



CALIFORNIA OFFICE OF THE SMALL BUSINESS ADVOCATE  
GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT  
TECHNICAL ASSISTANCE EXPANSION PROGRAM  
NO-COST TERM EXTENSION AGREEMENT

The purpose of this email is to confirm that the California Office of the Small Business Advocate (CalOSBA) on behalf of California Governor's Office of Business & Economic Development (GO-Biz) [NAME OF AGREEMENT RECIPIENT] ("RECIPIENT") to extend the Term of Performance in Agreement Number [AGREEMENT NUMBER] ("AGREEMENT") from the original end date of [MONTH, DATE, YEAR] to [MONTH, DATE, YEAR] ("EXTENDED END DATE").

The purpose of this extension is to facilitate a full spenddown of the RECIPIENT's award and achievement of performance metrics identified in the AGREEMENT.

The justification and plan of action for this extension request is attached. [ATTACH JUSTIFICATION AND PLAN OF ACTION].

If the EXTENDED END DATE overlaps with a subsequent GO-Biz grant award's Term of Performance, the RECIPIENT must spend down the remaining award under this AGREEMENT before charging expenses to a subsequent GO-Biz grant.

It is agreed that all other provisions of the AGREEMENT and any subsequent amendments shall remain in full force and effect.

The grantee must submit the final invoice and report within 45 days of the extended date.

**Failure to meet the terms of the extension may affect your ability to receive future funding from the same organization.**

---

Name  
Title  
Organization identified in agreement

---

Isabella Casillas Guzman  
Director  
Office of the Small Business Advocate

END EXHIBIT F



## Exhibit G – Third-Party Contractual Request Instructions

### Overview

The Small Business Technical Assistance Expansion Program (SB TAEP) provides grant funding on an annual basis over a five-year period ending on June 30, 2023. In the case of an emergency, a grantee may request approval for additional third-party contracts to already TAEP funded federally designated technical assistance providers.

### Process for Requesting Approval

The grantee will provide a brief justification narrative and revised budget for the third-party contractor(s):

- Narrative must include what the emergency is, how the contractor will assist the grantee in meeting program goals, and procedures to ensure no duplication of efforts or reporting.
- Revised budget must reflect third-party contractor name and total amount, and in addition, a brief description of what the funds will be used for (i.e. direct consulting, training, research, and/or marketing).
- A request must be submitted via email to [sbtaep@gobiz.ca.gov](mailto:sbtaep@gobiz.ca.gov) and copy current Program Manager, currently Michelle Radmand at [Michelle.Radmand@gobiz.ca.gov](mailto:Michelle.Radmand@gobiz.ca.gov), with the subject line, "Grant Agreement #\_Third-Party Contractor Request."
- The Third-Party Contractor **may not** begin services until approved by CalOSBA on behalf of GO-Biz.

### Process for Evaluating Extension Requests

Upon receiving the above request, staff will evaluate if the following conditions apply:

1. The grantee must have experienced an unpredictable event during the course of the grant year that impaired their ability to perform against their executed grant agreement. Examples of justifications for an emergency include, but are not limited to the following:
  - Sudden decrease in capacity
  - Sudden increase in service demand
  - State and/or Presidential declared disaster in the AR's servicing region
2. The grantee has otherwise demonstrated good faith in their performance of the Agreement during the Agreement's Term of Performance.
3. The grantee is in full compliance with grant program requirements, including eligibility, reporting and invoicing, and any audits by GO-Biz.
4. The grantee and CalOSBA on behalf of GO-Biz agree that all third-party contractors are to abide by the grant agreement terms.

If these conditions are met, staff will work with the AR to ensure proper reporting and invoicing for newly approved third-party contractors that are already funded by TAEP. A template for approval is on the next page and is to be executed by CalOSBA Staff:



CALIFORNIA OFFICE OF THE SMALL BUSINESS ADVOCATE  
GOVERNOR'S OFFICE OF BUSINESS AND ECONOMIC DEVELOPMENT  
TECHNICAL ASSISTANCE EXPANSION PROGRAM  
THIRD-PARTY CONTRACTOR APPROVAL

The purpose of this email is to confirm that the California Office of the Small Business Advocate (CalOSBA) on behalf of California Governor's Office of Business & Economic Development (GO-Biz) authorizes **[NAME OF AGREEMENT RECIPIENT]** ("RECIPIENT") to sub-contract with **[TAEP FUNDED TA PROVIDER]** in the amount of **[APPROVED SUB-CONTRACT AMOUNT]**.

The purpose of this third-party contract is to facilitate a full spenddown of the RECIPIENT's award and achievement of performance metrics identified in the AGREEMENT.

The justification and revised budget are attached. [ATTACH].

It is agreed that the RECIPIENT will oversee the third-party contractor and ensure compliance with California Technical Assistance Expansion Program.

It is agreed that all other provisions of the AGREEMENT and any subsequent amendments shall remain in full force and effect.

**Failure to meet the terms of the approval may affect your ability to receive future funding from the same organization.**

---

Name  
Title  
Organization identified in agreement

---

Isabella Casillas Guzman  
Director  
Office of the Small Business Advocate

END EXHIBIT G















EXHIBIT D  
S-7522-CROED

TAEP GRANTEE BUSINESS ASSISTANCE PROFILE		
Center Name:		0
Year:		2019/2020
BUSINESS SIZE PROFILE		
# OF PREVENTURE BUSINESSES (0 EMPLOYEES)		
# OF BUSINESSES WITH 1-4 EMPLOYEE		
# OF BUSINESSES WITH 5-25 EMPLOYEE		
# OF BUSINESSES WITH 26-50 EMPLOYEE		
# OF BUSINESSES WITH 51-100 EMPLOYEE		
# OF BUSINESSES WITH 100-499 EMPLOYEE		
TOTAL		0
BUSINESS INDUSTRY REPRESENTATION		
ACCOMMODATION / FOOD SERVICE		
ADMINISTRATIVE SUPPORT		
AGRICULTURE		
ARTS AND ENTERTAINMENT		
CHOOSE NOT TO RESPOND		
CONSTRUCTION CONCERN		
EDUCATION		
FINANCE		
HEALTH CARE		
INFORMATION		
MANAGEMENT		
MANUFACTURING		
MINING		
PROFESSIONAL		
PUBLIC ADMINISTRATION		
REAL ESTATE		
RESEARCH AND DEVELOPMENT		
RETAIL DEALER		
SERVICE ESTABLISHMENT		
SURPLUS DEALER		
TRANSPORTATION		
UTILITIES		
WASTE MANAGEMENT		
WHOLESALE DEALER		
OTHER		
TOTAL		0
DEMOGRAPHIC PROFILE		
LOW WEALTH		
DISASTER / EMERGENCY		
MINORITY / PEOPLE OF COLOR		
RURAL		
VETERAN		
WOMEN		
TOTAL		0
LOCATION OF BUSINESSES ASSISTED		
CITY	COUNTY	COUNT OF # OF BUSINESSES

TOTAL 0

TOTAL #  
FROM  
BUSINESS  
EMPLOYEE  
PROFILE  
SECTION,  
BUSINESS  
INDUSTRY  
REPRESENT  
ATION  
SECTION  
AND TOTAL  
FROM  
LOCATION  
OF  
BUSINESSES  
ASSISTED  
SECTION  
SHOULD ALL  
EQUAL THE  
SAME  
NUMBER



TAEP Annual Report

**A. Performance Narrative:**

Please provide a summary about the center's proposed goals and scope of work for the year (i.e. policy priorities, targeted groups, etc.).

Summary should also detail your network's services/programs/initiatives rolled out as part of your expansion grant, as well as methodologies and implementation strategies, challenges and successes achieved including performance metrics and impact data. Please include any TAEP policy priorities around capital, markets (procurement and international trade/e-commerce) and resilience. Describe any staffing decisions, partnerships or other strategies implemented to meet goals and expand services to underserved small business owners, including women, people of color and veteran-owned businesses and business in low-wealth, rural and disaster impacted communities included in a state or federal emergency declaration or proclamation. Further, if any economic or small business trends impacted your programs, please describe how you integrated marketplace changes into the programs.

In response to COVID-19, explain how the Center adapted in order to continue services to small businesses and entrepreneurs and successes in scaling up and shifting operations to accommodate state guidelines and increased demand.

**B. Network and Collaboration:**

This section should:

- 1) Detail the ecosystem building achieved through any cross-cutting regional strategies, partnerships, and other collaborations utilized to achieve goals.
- 2) Describe efforts to build new partnerships or collaborations and/or share best practices, especially into underserved areas to ensure a standard level of small business service offerings across demographics.
- 3) Share metrics on partnerships established as a result of expansion, especially with organizations that support underserved populations. (Please note that subcontractor (i.e. external organization subcontracts) metrics must be reported in the "Roll-Up Report" tab, column B, of the invoice workbook. )

A strong narrative in this section will detail how, if at all, these partnerships and collaborations yielded stronger outcomes for small businesses, especially for program priorities and services to underserved communities.

It should also detail any research or mapping of the continuum of services and any identified gaps that existed and addressed as a result of partnerships and collaborations - especially for underserved populations (i.e. work product such as research studies, strategic regional plans, or databases, diagrams, technology tools, etc.)

**C. Expansion of Services:**

Describe how you were able to effectively expand and reach the target underserved small businesses, especially compared to prior years. Please include any new partnerships or existing partnerships that were leveraged this year, specialized program development, satellite offices, etc. Include how the expansion is unique compared to existing programs (i.e. federal scope of work) and/or how you further expanded or strengthened if the program was established in a previous TAEP grant year.

Describe regional and economic shifts (i.e. regional strategies or priorities informing focus, natural disasters, emerging industries, etc.).

**D. Underperformance Narrative:**

The underperformance statement must provide a high level of detail of why the Center was not able to meet the performance goals, or, why there was underspent grant funds. An underperformance narrative must be made for each of the Centers in the region that underperformed against their specific goals.