

**ATTACHMENT B**  
**REQUIRED APPLICATION FORMAT**

Proposals may be submitted for one (1) year or for three (3) years. All one-year proposals and the first year of all three-year proposals must include the information listed in the three parts below. All proposals shall be submitted with a Table of Contents and numbered pages. Any proposal without a Table of Contents or numbered pages will be returned to the SBDC. For guidance on multi-year proposals, see page B-5 of this attachment.

**PART I: BUDGET INFORMATION:**

Note: All budget information for the Lead SBDC and the SBDC service centers must be included in Part I. All forms contained in the application must bear original signatures. (Refer to Attachment C, Section A "Budget Preparation and Funding" for instruction on how these forms are to be completed and Attachment F for copies of Forms).

1. SF-424, Revised 7/97, - "Application for Federal Assistance" (Please provide a complete street address)
2. Budget Information-Non-Construction Programs (SF-424A, Rev. 7/97)  
**Required for Lead and Service Centers.**
3. Narrative line-item budget justification. Required for Lead Center and Service Centers (All SBDCs are encouraged to use the Sample Budget Justification).
4. SBDC Budget Justification
5. SBDC Personnel List (include all employees of the SBDC). **Required for Lead and Service Centers.**
6. Indirect Cost Rate Agreements. **Required for Lead and Service Centers.**
7. All other funds managed by the SBDC (see definition).

**PART II: CERTIFICATION FORMS AND ASSURANCES:**

1. Certification Regarding Debarment, Suspension, and Other Responsibility Matters, Primary Covered Transactions (SBA Temporary Form 1623, 10/88)
2. Certification Regarding Drug-Free Workplace Requirements
3. Certification Regarding Lobbying (All SBDC Applicants)
4. Disclosure Form, if applicable (SF LLL)
5. Cash Match and Program Income Certification Form (This form includes a certification of program income on hand)
6. Cost Sharing Proposal
7. Assurances-Non-Construction Programs (SF-424B, Revised 7/97)

**PART III: PROGRAM NARRATIVE:**

Milestone Charts:

Enclose a completed copy of the milestone chart for the Lead SBDC and separate charts for all SBDC service centers, including specialty centers. The charts must include Major Program Objectives and Special Projects for each service center.

Program Management:

Provide a brief summary describing the management and coordination of the SBDC throughout the state or area being served. If applicable, describe plans for the addition of any new service centers or programs. (Applicants applying for initial funding must describe how the SBDC plans to provide total state or regional coverage during a three-year period).

Organization and Structure:

Enclose an organizational chart of the total SBDC network. The chart must indicate the positioning of the Lead SBDC within the applicant organization and the department or division and person to which the SBDC State Director reports.

SBDC Network:

Provide a complete listing of the names, addresses, 9-digit zip codes, telephone and fax numbers of the Lead SBDC, SBDC service centers and other service locations. Clearly indicate which SBDC locations are basic service centers and which are specialty centers, i.e., international trade, procurement. Lead Centers should also list SBDC web-site addresses and primary e-mail addresses.

Program Objectives:

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

SBDC Closures:

Provide a listing of all scheduled SBDC center and service center closures, whether for holidays or shutdown of the recipient organization. Anticipated closures shall be included in the annual renewal application. Emergency closures shall be reported to the SBA Project Officer as soon as feasible to do so. Other SBDC service providers shall be open during the normal business hours of their sponsoring SBDC organizations.

Advisory Board:

Each SBDC must establish an Advisory Board in accordance with 15 U.S.C. 648(j). Enclose a list of the members of the SBDC statewide Advisory Board, with their titles, and a description of the Board's responsibilities.

These advisory boards must include a predominant number of representatives from small businesses or associations representing small businesses located throughout the entire area of

service. Veterans, women, minorities and Native Americans, as appropriate, should be represented. There should be regular periodic meetings each year. The SBA District Director should be a non-voting member.

The reasonable cost of travel of any Board member for official board activities may be paid out of the SBDC's budgeted funds. An SBDC's proposal must include the date of its Board's most recent meeting.

Conflict of Interest Policy:

Enclose a current copy(s) of the conflict of interest policy utilized throughout the SBDC network.

Training:

The proposal must include a list of the types of training to be offered during the budget period. To assist SBA, categorize the types of events to be offered on a quarterly basis by topic (e.g., Marketing/Sales, Accounting/Budget, Cash Flow Management, Procurement, Rural Business Development, International Trade, Grow Your Business). Recipients will be expected to provide the SBA project officer with a monthly calendar of training.

Personnel:

Provide resumes for any new key personnel directly employed by the SBDC; (i.e., Lead and service center directors, special program directors, counselors, trainers, and other professionals.) Applicants for initial funding are required to submit resumes for all key personnel.

Other Funds

Fully describe any other Federal or state small business assistance programs, contributions (see Attachment C, Section C), or grant funds (excluding foundation accounts) managed by the SBDC organization outside the SBA Cooperative Agreement. Include the source and amount of funds provided by each organization, and the purpose for which the funds have been provided.

The SBDC must maintain an updated list of funding sources and amounts for each source of funds received by the SBDC network (including grants, contracts, and contributions.) In addition, for each source of funds, documentation of the name and phone number of the donor/contractor/grantor, the amount of funding, the intended purpose, and any requirements, stipulations, or deliverables must be maintained and made available during the biennial examination process.

SBDCs managing other small business programs outside the SBA cooperative agreement must maintain separate accounting/financial records to ensure a clear audit trail for the funds provided under the SBDC cooperative agreement.

In accordance with 15 U.S.C. 648(a)(5), Associate Administrator for Small Business Development Centers must concur with all federal initiatives to be accomplished through the SBDC networks.

Treatment of Proposal Information:

In the event the SBDC's proposal contains confidential data, the SBDC must follow Part 102 of SBA's regulations.

Confidentiality and Dissemination of Information:

Unless otherwise specified, all financial, statistical, personnel and/or technical information and data which are furnished, produced, or otherwise made available to the SBDC by its small business customers during the performance of this Agreement shall not be used for purposes other than performance of work under this Agreement. The above information received by the SBDC may be privileged and must not be released or disclosed by the SBDC without the prior written consent of the client unless otherwise required by law. If such information is requested in a legal proceeding, the SBDC must take the necessary precautions and legal recourse to protect privileged information.

No files or records will be removed from the premises of any Government agency with which the recipient may work without the approval of the agency in possession of such documents. Publication of any information will be in accordance with OMB Circular A-110.

## **MULTI-YEAR PROPOSAL INSTRUCTIONS**

### **FIRST YEAR**

#### **STEP 1**

In addition to the steps set forth below, see the requirements listed on page B-1 for first year of 3-year proposals.

Applicants shall submit a complete budget, which includes a Standard Form 424 (SF-424) "Application for Federal Funds," Standard Form 424A (SF-424A) "Budget Information-Non-Construction Programs," and all required certifications as listed in the Required Application Format. **ALL DOCUMENTATION MUST BE ORIGINAL AND SIGNED BY THE AUTHORIZED EDUCATIONAL INSTITUTION OR STATE OFFICIAL.**

The initial proposal should also include two separate SF-424s for the optional years 2 and 3 budget periods. No additional budget information is necessary with the initial proposal for optional years 2 and 3. Additional information must be provided regarding future budget submission at renewal time.

The project period consists of an initial 12-month budget period, and a 24-month option period (comprised of two 12-month budget periods). The Notice of Award for the initial budget year will provide funding for a 12-month period only. The Cooperative Agreement will include a statement which reads: "Project period of up to 36 months, consisting of three 12-month budget periods, subject to the availability of funds."

## **STEP 2**

Sections A, B, C, D and E of the SF-424a, "Budget Information - Non Construction Programs" should be completed for the corresponding 12 month budget period.

## **STEP 3**

Applicants should prepare a program narrative for the 3-year project period. The development, management, coordination, and operation of the statewide SBDC program, along with targeted SBA goals and initiatives should be discussed. The Planned Milestone Accomplishments for the Lead SBDC and for all service centers must be completed for the first year only.

## **STEP 4**

The 36-month programmatic and budget proposal must be reviewed by and have received concurrence from the district office. It is then sent to the OSBDC to be reviewed for programmatic content by the appropriate SBA Program Manager. If there are no programmatic issues to be resolved, the SBA Program Manager will recommend approval to the Grants Management Specialist. The Grants Management Specialist will review the budget and all fiscal documentation. Once determined that all costs are in compliance with applicable OMB cost principles, the Grants Management Specialist will process and issue the Notice of Award.

**NOTE:** District and SBA Headquarters staff must concur on each 12-month budget period.

## **STEP 5**

The "Cash Match and Program Income Certification" and "Planned Milestone Accomplishments" must be submitted annually.

## **SECOND AND THIRD YEARS**

### **STEP 1**

In March or April of each year a renewal letter and the Program Announcement will be forwarded to the SBDC by the Office of SBDCs. This letter will indicate that negotiations for the forthcoming year shall focus on any programmatic changes or budgetary revisions that need to be made to the proposal already submitted to OSBDC. The letter will also allow the SBDC to request its second year refunding option without having to submit a completely revised

programmatic or budgetary proposal (assumes satisfactory performance and the availability of funds).

SBDCs wishing to exercise the renewal option, must officially respond to the district office by the date specified in the renewal letter. This will be the official notification that the SBDC wishes to request the second year refunding option. Response to the renewal letter, with district concurrence, should include the following:

- (A) A new SF-424 and 424A and a complete budget and narrative justification are required for this option year.
- (B) A copy of your current negotiated indirect cost rate agreement, if there are any changes;
- (C) Any new SBA/SBDC priorities;
- (D) A complete set of milestones covering the coming year;
- E) A Certification of Cash Match and Program Income;
- F) A revised list of service centers;
- G) A list of any new employees, the position he/she will occupy, and a resume; and
- H) A list of scheduled SBDC (including Lead and service center) holiday closures.

All revisions to the Cooperative Agreement must be received by the SBA District Office and forwarded to OSBDC by the date specified in the renewal letter.

## **STEP 2**

After response to the renewal letter has been received by the Office of SBDCs, all revisions (if any), will be reviewed for programmatic and financial content by the appropriate Program Manager and Grants Management Specialist.

If there are no outstanding issues to be resolved, the Program Manager will recommend approval to the Grants Management Specialist. The Grants Management Specialist will then process and issue the Notice of Award.

## **SBA AND SBDC DUTIES AND RESPONSIBILITIES WITH REGARD TO PROPOSALS AND RENEWALS**

### SBA

The Office of SBDCs is responsible for:

- 1) Mailing the renewal letter and program announcement to the SBDC State/Region Director;
- 2) Reviewing any changes to the proposal;
- 3) Resolving any outstanding issues not resolved by the district office under the Disputes Policy (See 13 CFR 130);
- 4) Approving the proposal and issuing the Notice of Award; and
- 8) Conducting programmatic and financial reviews.

The SBA District Office is responsible for the following:

- 1) Negotiating the proposal with the SBDC State/Region Director incorporating district office and Agency priorities;
- 2) Reviewing and initially approving the proposal; and
- 3) Submitting the original proposal and one hard copy and a diskette version of the revisions to the Office of SBDC's with a cover letter indicating approval.

**NOTE:** If multiple district offices are in the geographic area of the SBDC, the SBA Project Officer must obtain the **initial approval** and signature of all SBA District Directors before forwarding the Proposal to Headquarters.

The SBDC is responsible for the following:

- 1) In concert with the SBA Project Officer, preparing the proposal including milestones and a short summary of the status of the current year's accomplishments;
- 2) Negotiating the proposal with the SBA Project Officer and SBA District Director; and
- 3) Submitting the original and two copies and an electronic version to the SBA Project Officer in a timely manner.

### **EXECUTIVE ORDER 12372 PROCESS**

Applicants submitting proposals to the Small Business Administration for operation of a Small Business Development Center are bound by the provisions of Executive Order 12372, "Intergovernmental Review of Federal Programs."

To ensure compliance with the Executive Order, SBDCs must provide their state's point of contact with a copy of their proposal as soon as possible. SBA will publish a Notice in the Federal Register notifying states of each pending application, including applications due to be submitted for continuation of ongoing programs. For those applicants submitting proposals to continue operations, the Federal Register Notice will provide for a comment period of 120 days, where practical. For new SBDC programs, the Federal Register Notice will provide for a comment period of 60 days.

In addition to notifying states of pending applications through the Federal Register, SBA will also send a letter to the applicable state point of contact alerting the state of SBA's intent to fund an SBDC. This letter will include the State or Region SBDC Director's name, address and telephone number, and suggest that the addressee contact the State or Region Director if there are any questions about the SBDC program.

The point of contact designated by the state will be asked to forward the state process recommendations directly to the Associate Administrator, Office of Small Business Development Centers, U. S. Small Business Administration, 409 3rd Street, SW, Washington, D.C. 20416. A copy should also be sent to the Lead SBDC Director. Only written comments/recommendations submitted by the point of contact and directed to the Associate Administrator, Office of Small Business Development Centers, will be guaranteed a formal response from SBA. These comments must be received within the time frames stated above.

SBDC applicants must make every effort to accommodate the recommendations of the state. If an accommodation between the state and the SBDC applicant cannot be reached, the SBA will work with the SBDC and the state in an effort to accommodate the recommendation. If acceptance of the recommendation is not possible, SBA will furnish the state with a written explanation of the non-accommodation.

The Office of Small Business Development Centers will also consider comments received from state, regional and local officials even if no official state process procedure has been established. SBDC applicants receiving these comments directly shall ensure they are forwarded to the AA, Office of Small Business Development Centers, for consideration.

SBDC applicants must cooperate fully with SBA officials at all levels to ensure that all comments are addressed in this consultation process.