***SBDC Service Center Program Compliance Review***

SBDC Service Center:

Service Center Host Institution:

Current Program Year:

Date the review was conducted:

PROGRAM COMPLIANCE AND SERVICE DELIVERY

1. Center Director**:**
2. Identify the Service Center host by type of institution (University, Community College, Chamber of Commerce, Faith Based, etc.):
3. Is this Center a “specialty center” (such as a Technology Program, or International Trade Center). If yes, are specialized services available to clients throughout the SBDC’s Network?
4. Does the Center’s current staffing level comply with the SBDC’s proposal/cooperative agreement?
   * How many SBDC counseling/training staff (employee or contracted) report to this center?

# of Full time =

# of Part time =

* + What is the typical wait time for clients seeking a counseling appointment?

1. Have any changes occurred in the Center’s services, such as key personnel (Center Director), project scope or objectives, planned milestones, etc. since the cooperative agreement was signed?
2. Select 12 Service Center client counseling files for review (it is important that SBA personnel make the selection). Is the SBA form 641 (Request for counseling) in each file signed and complete? Are there adequate notes in the file that would provide guidance to a third party regarding the client’s counseling history? If the review of the notes indicates a business plan was created with the help of the Service Center, is there a copy in the file?
3. Select 12 client training files for review (it is important that SBA personnel make the selection). Does each file contain a completed SBA form 888 for each attendee (Management Training Report), marketing materials for the training, attendee lists, any program income receipts and client training evaluations? SBA form 20 (National Training Participant Evaluation Questionnaire) may be used for training evaluations. Service Centers may use their own form provided it captures the same pertinent information.
4. Is SBA’s partnership with the SBDC featured prominently so that logo placement, all promotional and marketing materials, the website, etc. have the appropriate acknowledgement of the SBDC’s affiliation with SBA? (see Program Announcement).
5. Obtain from the Lead Center the Service Center’s economic impact performance for the most recently completed. Federal fiscal year performance should be analyzed for the purpose of this review even if the Service Center operates on a calendar year funding cycle. Goals for each service center can be found in the SBDC’s proposal under “Planned Milestones”. Use data provided by the SBDC’s MIS system to fill in the table below. If the Network measures Service Center performance on metrics other than those shown below, add the metric they use.

*Federal Fiscal Year 2013 Performance Analysis*

*(October 1, 2013 – Sept 30, 2014)*

|  |  |  |  |
| --- | --- | --- | --- |
|  | *Goal* | *Actual* | *% of Goal* |
| *Long Term Clients* |  |  |  |
| *Capital Infusion* |  |  |  |
| *New Business Starts* |  |  |  |

Did the Service Center meet its planned goals for this twelve-month period?

9a. If the Center’s goals were not met, why not?

9b. If the Center’s goals were exceeded, what were the contributing factors?

1. Review the Center’s **current** federal fiscal year-to-date economic impact performance, based on the SBDC’s MIS data. Identify the time period for the data provided below:

*Current Year-To-Date Performance Analysis (FFY 2015)*

*October 1, 2014 to current date*

|  |  |  |  |
| --- | --- | --- | --- |
|  | *Goal* | *Actual through* | *% of Goal* |
| *Long Term Clients* |  |  |  |
| *Capital Infusion* |  |  |  |
| *New Business Starts* |  |  |  |

Is the Service Center on track to meet its planned goals the end of the current period? If not, please explain.

1. Client Data Verification Calls.\*\* Contact at least 3 SBDC clients from the list of 10 selected prior to your visit, using the recommended script to determine the following:

Compare the client’s responses to the information in the SBDC database and follow up with the SBDC on any apparent, significant discrepancies.

Summarize your client verification calls here:

FINANCIAL MANAGEMENT

1. If program income is generated by the Service Center, what is their documented policy pertaining to securing and safe guarding program income revenue? (Ask to see operations manuals or policy documents that explain how the Center collects and manages “program income” funds for verification).
2. Does the Lead Center conduct regular financial review of this Service Center? Please include the date of the last review.

SUMMARY

1. Does the Service Center adequately partner with other federal, state or local small business assistance programs? For example, Faith-based and Community entities, Chambers of Commerce, SCORE, Women’s Business Centers, etc. Explain.
2. Does the scope and quality of counseling and training provided by the Service Center meet the needs of the local business community? Explain (Types of counseling, trainings vs. the local economic and business climate. Your District Office should have information to assist in this assessment as well as survey results). If not, please explain and provide input for improvement.
3. If there have been significant changes in the local economy or in the local business market within the last twelve months, has the Service Center adjusted its services appropriately? (If so, the Service Center should be able to provide research, surveys or studies conducted by them or a third party which shows the Service Center is indeed making the necessary correct adjustments). If not, please explain and provide input for improvement.
4. What are the successes/best practices of this Service Center?
5. What are the challenges of this Service Center?

COMMENTS

Please include any comments/recommendations that may ensure a better SBA/Service Center working partnership and how improved collaboration could provide better services to small businesses.

*CERTIFICATION*

I certify that the responses and information provided on this review are true to the best of my knowledge.

*SBA Project Officer Date*