



California Office of the Small Business Advocate

Governor Gavin Newsom's Office of Business and Economic Development

2023/24 Technical Assistance Program

A grant program for small businesses technical assistance programs

Program Announcement

Opportunity Number: SBTAP2023

Total Program Funding: \$23 Million

**Released:**

June 15, 2023

Revised June 30, 2023<sup>1</sup>

**Proposals Due:**

By 11:59:59 PM PDT on August 3, 2023

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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<sup>1</sup> Change Notes

Page 17 | Added link to online application portal.

Page 20 | Removed underserved business group indicator for metric # 4, Number of Training Hours.

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## About the Program

### Overview

The California Small Business Technical Assistance Program (SB TAP or Program) provides approximately \$23 million in annual grant funding to improve the state's business and technical resources and networks for entrepreneurs and micro and small business owners. Funding is provided to support consulting and training services to small businesses and prospective small businesses. The program prioritizes scopes of work intended to help underserved businesses including women, minorities, rural and disaster-impacted small businesses across the State. This Program Announcement is 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 TAP funding available during the 2023/24 fiscal year.

The Technical Assistance Expansion Program (TAEP) was created in 2018 through Government Code Section 12100-12100.69 to expand the services of federally awarded small business technical assistance programs in California that provide one-on-one confidential free or low-cost consulting and training to small businesses and entrepreneurs in this state. The Program was expanded to include small business technical assistance Centers funded through private and philanthropic sources that meet the criteria defined in subdivision (e) and (f) of Section 12100.63.

In 2022, Government Code Section 12100.60 established the California Small Business Development Technical Assistance Act of 2022, which re-named the program as the Technical Assistance Program (TAP) program and established it as a long-term program to provide technical assistance resources including training and consulting services to small businesses and entrepreneurs.

The Office of the 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.

### Purpose

California is home to a range of small business technical assistance centers ("Centers") that provide free or low-cost one-on-one, confidential consulting and training to help small businesses and entrepreneurs start, grow and expand, and create jobs in California. These Centers are funded in part by federal and private funding sources and are a crucial aspect of the support system for small business growth and entrepreneurship across the State. The SB TAP provides state grant funding to support direct services to small businesses and entrepreneurs including through expansion of services to underserved businesses and regions. The program is intended for established Centers with a track record of high-quality technical assistance work. In addition, the program is intended for Centers with the capacity to build on existing work, expand to serve California's underserved business groups, and ensure equitable access and opportunity for all California small businesses.

### Priorities

CalOSBA will prioritize funding for applications that best meet the factors listed in Government Code Section 12100.60-12100.65 and give priority to applications that build on existing work with a strong track record of success and/or propose new or enhanced services to reach 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. It is CalOSBA's aim to embed TAP within the context of Executive Order N-16-22, which

requires state agencies and departments to take additional actions to embed equity analysis and considerations in their mission, policies and practices.

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.

CalOSBA seeks 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 businesses 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 programs, partnerships and collaborations to 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.

- “Authorized Representative” means the principal contact in the proposal and grant agreement.
- “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.
- “Disaster Impacted” means all territories included in a state or federal emergency declaration or proclamation.
- “Diversity, Equity, and Inclusion Action Plan” means a distinct and actionable strategy to provide technical assistance services to underrepresented individuals and business groups. Strategies should include achievable and measurable goals to reach desired markets.
- “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.
- “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.

- "Grant Period" means October 1, 2023 through September 30, 2024
- "Lead Center" means a Small Business Development Center (SBDC) Lead Center.
- "Local cash match" means nonfederal cash that is spent on eligible small business technical assistance program costs.
- "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.
- "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.
- "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.
- "New Client Served" means the number of new clients counseled and/or trained that has never received services from the Center.
- "Private funding source" means any entity that makes grants, and includes corporate or private philanthropy or similarly established nongovernmental entities. Private funding source does not include California State or local funding.
- "Rural areas" means all territory, population, and housing units that are not defined as urban. To qualify as an urban area, the territory must encompass at least 2,000 housing units or at least 5,000 persons. The term "rural" encompasses all population, housing, and territory not included within an urban area. Rural areas can be identified with the U.S. Census Bureau's [TIGERweb Decennial \(census.gov\)](https://tigerweb.census.gov/) online map.
- "Small business development center" means an entity or physical location, recognized by the federal Small Business Administration, from which a small business owner or an aspiring entrepreneur may receive free one-on-one consulting and low at-cost training on a variety of topics, including starting, operating, and expanding a small business.
- "Small business technical assistance center" includes a federal small business technical assistance center or any established 501(c)(3) nonprofit community-based organization the mission of which includes economic empowerment of underserved microbusinesses or small businesses and entrepreneurs and that operates entrepreneurial or small business development programs which provide free or low-cost services to California's underserved businesses and entrepreneurs to enable their launch and sustained growth.
- "Small business" means a business or nonprofit 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.

- “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.
- “Unique Client Served” means the number of clients counseled and/or trained. Each client can be counted once per year as part of program reporting.
- “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 member of the National Guard and were called to federal activity duty or disabled from a disease or injury that started or got worse 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; 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.

## Funding and Duration

The 2023/24 grant period will commence on October 1, 2023 and end on September 30, 2024.

A total of approximately \$23 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 2023/24 award in full during the grant period. On a case-by-case basis upon written approval from CalOSBA, Centers may receive an extension of up to three quarters to spend down 2023/24 grant awards. Centers should ensure that grant funding requests and proposed scopes of work align with the grant period timeline.

Centers must apply with a match agreement to conduct technical assistance to small businesses. The match agreement may be from a federal or private funding partner. The requested funding amount may not exceed the total federal or private award to provide technical assistance to small businesses specified in a Center’s agreement with a federal or private funding partner. The requested funding amount may not be less than twenty-five thousand dollars (\$25,000) per year. The Center’s match agreement must extend through the end of the performance period (September 30, 2024) or the Center must have a clear path to renew the agreement or provide a funding source for the same work that extends through the performance period. 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 or private award.

## Funding Categories

Allowable activities and expenditures under the Program are listed below. [See cost policies sheet.](#)

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).

3. Supplies include products or technology to conduct direct consulting/trainings or webinars. Supplies may not be for indirect administrative or overhead expenses. Supplies or capital expenditures for general purpose equipment, including staff equipment such as laptops for staff, are unallowable.
4. 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 \$5000 planned post or beyond the original proposal must be submitted with justification to CalOSBA for pre-approval.
5. 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.
6. Travel - Limited and clearly justified travel expenses related to serving clients in rural areas may be allowed with clear justification as part of the center's general scope of work. Funds may only be used for the above allowable transportation expenses. Funds are not available for the payment of per diem, lodging, meals, or subsistence expenses.
7. Program Administration costs must be directly associated with the administration of the approved Scope of Work. Administrative costs must be fully justified and may not be indirect or overhead. Examples of allowable program administrative costs include staff or contractor time to conduct monitoring and evaluation, staff time to coordinate and oversee the program, staff or contractor time to develop a new program or curriculum, staff or contractor time to travel to rural areas. Pre-approved technology tools to support monitoring and evaluation are also allowable if justified in the grant application and SOW. Technology tool cost shall not exceed \$1,000. Program administration **does not** include indirect or overhead costs, travel unrelated to serving rural clients. All program related administrative costs must be thoroughly justified in the scope of work and pre-approved budget. All costs must be easily identifiable and itemizable with a clear connection to the administration and oversight of TAP.

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, **program administration, supplies, research and marketing are limited to a combined maximum of 20% of the total annual grant award**. Further, all spending on allowed program administration, research and/or marketing must be detailed, justified and approved in the grant application.

Per the statute, State funds provided pursuant to the **Program shall not supplant local cash match dollars** included in a federal small business technical assistance center's plan described in subparagraph (A) of paragraph (2) of subdivision (f) or in any nonfederal small business technical assistance center's plan.

**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 serving rural clients
- Food and beverage
- Supplies not directly related to consulting, training, allowable research, or allowable 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). Unallowable indirect and overhead costs include rent, insurance, indirect administrative costs that are not directly related to program administration, for example, indirect costs to a center host organization.
- Other items that are banned by the State of California, or CalOSBA deems inappropriate or inconsistent with statutory or programmatic requirements of TAP

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. The fact that a cost requested in a budget is awarded, does not ensure a determination of allowability.

### 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. Be designated by a federal entity to provide small business technical assistance services (including federal pass-through funds to state and local entities (i.e., ARPA, MBDA SSBCI funds if proof of source is provided) or a registered 501(c)(3) or 501(c)(6) with a mission to promote the economic empowerment of underserved microbusinesses, small businesses, entrepreneurs, and small nonprofits. State funds are not eligible matches for this program. Local agreements are an eligible primary match source for this program only if derived from federal pass-through funds.
2. Have an established entrepreneurial or small business development technical assistance program that provides free or low-cost services to California’s underserved businesses and entrepreneurs to enable their launch and sustained growth.
3. Applicants must submit an active grant or contract designated by a federal entity or private funding source to administer a small business technical assistance program in California OR a Letter of Intent/Funding Announcement from a funding source stating the Applicant will administer a small business technical assistance program in California by or starting on October 1,



2023. The agreement should extend through the end of the performance period, or the applicant should have a clear plan to spend all funds by the end of their active grant. Extensions or renewals of active grants may be included in the plan to fully exhaust funds. Federal pass-through funding is accepted as long as the applicant can demonstrate through an active contract or letter from the funding entity that the funds are from a federal source. State and local funding is not an acceptable form of match, per statute.

4. Applicants must have a fiscal agent that is able to receive nonfederal funds and be authorized by a federal entity, or a registered 501(c)(3) or 501(c)(6) with a TAP program-aligned mission, to provide small business technical assistance.
5. SBTAP funds shall not supplant a Center's local cash match. However, funding from other state programs may be used as local cash match.
6. Applicants must have a plan of action and commitment to fully draw down all the federal or private funds in their primary agreement with a federal or private funding source during the grant period using local cash match.
7. Applicants must generate and provide documentation of the local cash match required by the funding partner. Alternatively, if the applicant is not a federally contracted small business technical assistance center, the applicant must provide a plan of action for drawing down any match required by those private funding sources using local cash match outside of state funds not described in Section 12100.63 during the award period.

Applicants may only combine funding from multiple awards if the awards are of the same type (federal awards OR private awards), and if the awards are for the same eligible program (i.e., two federal awards for the same Women's Business Center, or two private awards explicitly for the same small business technical assistance program). Federal and private awards **may not** be combined. Centers may not combine more than two funding sources.

## Application Types and Authorized Representatives

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

### Individual Programs

Individual center applications are appropriate for applicants that operate one center under a single organization and fiscal authority with shared match agreement(s). The Authorized Representative is the Center itself. Please note that SBDCs must apply as network-based programs.

### Group-Based Programs

Group-based programs consist of multiple Centers organized under a coordinating administrative or fiscal entity that serves as the Authorized Representative. Group-based programs consist of independent Centers organizing voluntarily. Each center applies with its own match agreement(s), proposal and budget. Centers within group agreements each implement unique programs that are distinct from other Centers within the group. Applications that are identical, highly similar to each other or plagiarized will not be accepted.

## Network-Based Programs

Network-based programs consist of a group of Centers that operate under a single Fiscal Authority in a single match agreement(s). An example of a network program would be programs with a lead center and multiple satellite Centers, and/or programs operated by the five Small Business Development Center Networks. The Authorized Representative will be the coordinating administrative entity defined by the match agreement funder, for example the Small Business Administration (SBA).

All applications must be unique in their scope. If applications with duplicative scopes of work are received, only the application with the largest requested budget will be eligible for consideration. All other applications will be declined. If the applicant is uncertain which type of application they should submit, it is strongly recommended they speak with the CalOSBA Programs Team before submitting their application. Emails can be sent to [SBTAEP@gobiz.ca.gov](mailto:SBTAEP@gobiz.ca.gov). Multiple individual applications received utilizing the same Fiscal Authority may be combined by CalOSBA into a single group-based application, when deemed appropriate by the CalOSBA Programs Team. Final funding amounts are determined by CalOSBA, not the authorized representative.

## Applicant and Agreement Responsibilities

The Authorized Representative will submit the Program application to CalOSBA, receive the Notice of Award, and enter into the 2023/24 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 and network agreements.

In addition, the Authorized Representative will serve as the principal contact with CalOSBA. 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, the Authorized Representative must provide CalOSBA with a written statement confirming they are acting on behalf of the Authorized Representative.

## Notice of Intent to Award and Grant Agreement

Final award amounts for all grantees will be determined by [the application review process](#).

Once scores for all recipients have been determined, CalOSBA will email the Authorized Representative a Notice of Intent to Award ("Notice"). The Notice will acknowledge the Center or Network, 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.

For Group-Based Programs, the Authorized Representative will be provided with guidance from CalOSBA to determine final award amounts for subgrantees.

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.

## Termination

CalOSBA will assess each center based on achievements against Program goals and each center's respective scope of work. CalOSBA reserves the right to terminate the agreement in the case of a material breach. A material breach for the purposes of the Program may include, but shall not be limited to:

- Failure to comply with established Program deadlines including failure to file timely reports.
- Noncompliance with metric reporting requirements.
- Noncompliance with narrative reporting requirements.
- Noncompliance with financial reporting or record-keeping requirements.
- Noncompliance in carrying out the scope of work established in the agreement.
- Failure to communicate with CalOSBA in a timely manner.
- Failure to spend funds in a timely manner, in accordance with the grant agreement.
- Termination of the Center's match agreement or other factors that lead to an inability to receive Federal or Private funds.
- Closure of the small business technical assistance center or closure of the program utilized as match for the Program. Inability to receive Federal or Private Match Funds for any reason.
- Closure or cessation of operations by the small business technical assistance center for any reason including, but not limited to the termination of its cooperative agreement with a federal or private funding source.

In the event of termination, the state will 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 or otherwise agreed period to allow project closeout activities, as determined appropriate by CalOSBA. In addition, if a recipient has received notification from its federal or private funding source 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 may 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 online portal to CalOSBA Programs Team.

Authorized Representatives will receive separate email instructions for the online portal. A mandatory webinar training will be held no later than January 19, 2024.

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

Authorized Representatives will be required to submit quarterly performance and financial reports to the Grantee Portal within forty-five (45) calendar days of the completion of each quarter of the grant period. Performance reports (including narrative and metrics) are required even if the Authorized Representative will not be submitting an invoice for the reporting period.

CalOSBA may withhold payment if reports are not received or are deemed incomplete or inadequate. Any invoice submitted after the reporting deadline, without an authorized extension, will be rejected. 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.

The center, not GO-Biz or CalOSBA, will retain possession and control of any and all reporting materials and backup documentation and will make them available to CalOSBA for inspection and audit upon request so that CalOSBA can verify that both the center and any subrecipients have complied with the grant program's terms and conditions, and have executed the contracts and effectuated the program consistent with the statutory goals of the program.

## 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:

- Actual funding expended
- Number of partnerships / collaborations
- Quarterly outcomes from the assistance provided including:
  - Number of Training Events
  - Number of Unique Clients Trained
  - Number of New Clients Trained
  - Number of Training Hours\*
  - Number of Unique Clients Counseled\*
  - Number of New Clients Counseled\*
  - Number of Counseling Hours\*
  - Number of New Businesses Started\*
  - Number of Businesses Closed\*
  - 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 reported based on voluntarily provided data from 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

## Financial Report

Financial Report documentation should reflect itemized expenditures from the invoice and include the following information, as appropriate:

- General ledger and payroll records (required)
- Business consultant names (including affiliated organizations if it's a partnership with another local technical assistance provider, chamber, accelerator, incubator, institution, government entity, etc.) and hourly rates
- Description of non-labor expenditures
- Cost for client consulting, including hourly rates, benefit rates and number of hours worked
- Cost for client trainings
- Cost for supplies
- Cost for travel
- Cost for research
- Cost for marketing
- Cost for program administration

Upon submission of the invoice in the online portal, the Authorized Representative will provide a digital certification 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, describe how the travel was critical to the Center's proposed geographic expansion to rural clients. If research costs were expensed, describe the type of research conducted and outcomes. In addition, 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. The Center will describe the action plan to spend awarded funds and meet metric goals (e.g., Center's marketing efforts will generate new client consultations, X number of trainings will be conducted in Q2, etc.) The Center must also provide confirmation that they are 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 four unique success stories per Center during the performance period. Success stories must be submitted quarterly unless well-justified (for example, Q1 for a new grantee). Success stories must be reported through the CalOSBA success story portal.

### 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 request, 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 consultants 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 (5) business days before the program review.

CalOSBA reserves the right to conduct a minimum of one (1) site visit per grant award year for grantees under the Technical Assistance Program. The purpose of a site visit will ensure effective implementation and compliance of the program. There are three key aspects that CalOSBA should inspect and observe which will include, but is not limited to, the following:

- Evaluation of the grantee's progress in achieving the stated objectives and outcomes outlined in their grant proposal. This includes assessing whether the technical assistance provided aligns with the identified needs and if it has resulted in tangible improvements or advancements.
- Examination of the grantee's financial management practices, ensuring that funds are being used appropriately and in accordance with the grant's guidelines. This involves reviewing financial records, expense reports, and receipts to verify compliance with budgetary restrictions. Moreover, CalOSBA will observe the grantee's documentation and reporting procedures to assess their ability to provide accurate and timely updates on the progress of their technical assistance efforts. This includes reviewing data, reports, and other relevant documentation to determine if the grantee is effectively tracking and measuring the impact of their activities.
- CalOSBA's site visit provides an opportunity for the analyst to engage with the grantee's staff and stakeholders, gaining insights into their perspectives on the effectiveness of the technical assistance received and identifying any challenges or barriers faced during implementation. By inspecting and observing these crucial elements, the grant program analyst can ensure accountability, transparency, and successful outcomes for the grantee and the program.

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.

## Timeline

### Pre-Bid Webinars

- Thursday, June 28, 2023 from 11:00 AM to 12:00 PM
  - [Click Here to register.](#)
- Thursday July 11, 2023 from 11:00 AM to 12:00 PM
  - [Click Here to register.](#)



June 15, 2023	Program Announcement Release and RFP period begins
June 28, 2023	Pre-Bid Webinar at 11:00 AM PDT Submit questions in advance to <a href="mailto:SBTAEP@gobiz.ca.gov">SBTAEP@gobiz.ca.gov</a>
June 29, 2023	Deadline to submit optional Letter of Intent to apply. LOI should include applicant name, location, and approximate funding request. Email PDF on letterhead to <a href="mailto:SBTAEP@gobiz.ca.gov">SBTAEP@gobiz.ca.gov</a>
June 30, 2023	Application portal available online. See “Application Instructions and Submission” for link.
July 11, 2023	Pre-Bid Webinar at 11:00 AM PDT Submit questions in advance to <a href="mailto:SBTAEP@gobiz.ca.gov">SBTAEP@gobiz.ca.gov</a>
August 3, 2023	Grant application deadline <b>Must submit online by 11:59:59 PM PDT</b>
August 3 – August 31, 2023	Proposal review
September 1, 2023	Notice of Intent to Award sent via email
September 5 - 8, 2023	Follow up calls to Awardees (if needed)
September 6 – 15, 2023	Grant Agreements sent to Awardees
October 1, 2023	Grant program begins
September 30, 2024	Grant program ends

**Application Instructions and Submission**

All applications, with required attachments, must be submitted electronically using the CalOSBA online application portal. **The online application can be accessed [here](#).** Applications submitted via email or facsimile will not be reviewed or scored.

*All applications must be submitted by the deadline (August 3, 2023 by 11:59:59 PM PDT) 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 two days 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 Joy Nordby, Program Analyst, at [joy.nordby@gobiz.ca.gov](mailto:joy.nordby@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 final and not subject to appeal or protest. The determination of rejection for grant funding is final and not subject to appeal or protest.

CalOSBA reserves the ability to modify applicant budgets if included costs are deemed ineligible. A Center and its fiscal host (if different from the Center) 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:

- Federal or Private Award specifically for direct technical assistance to small businesses (Fully Executed award with scope of work or Letter of Intent with scope of work). The agreement and/or contract number of the match award must be clearly indicated.
- Proposal Narrative. The Proposal Narrative responses will be entered directly into the online application portal with the following character limitations (including spaces): Individual applicants or centers within a group-based application will have 3,000 characters available for narrative questions worth 5 points and 5,000 characters available for narrative questions worth 10 points. Network-based applications will have 4,000 characters available for narrative questions worth 5 points and 7,500 characters available for narrative questions worth 10 points. Each center within a group application must complete a separate and unique proposal narrative that is subject to the character limitations of an individual applicant. Narratives that exceed the allowed character count will not be reviewed beyond the allowed character limitation. It is not required that applicants utilize the total character count allotment. – [Download Template](#)
- Proposed Centers, Services, and Language Access – [Download Template](#)
- Budget Justification Spreadsheet. All costs must be directly related to program activities and should be explained within the template and itemized – [Download Template](#)
- Organizational Chart
- Local Cash Match Form – [Download Template](#)
- STD.204 Payee Data Record Form – download this form at <https://cdn.calosba.ca.gov/wp-content/uploads/std204-SBTAEP.pdf>
- STD.21 Drug-Free Workplace Certification – download this form at <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std021.pdf>
  - *The STD.204 and STD.21 forms must be signed within two-weeks of each other.*

The following documents are optional:

- Letter of Intent – [Download Template](#)
- Resumes of key personnel, submitted as one combined PDF saved as Resumes\_Center Name\_Date
- For new applicants **only**: Letters of Support (3-5 per Center, for work related to small business technical assistance within the last 5 years. Please use template and submit letters as one combined PDF saved as Letters of Support Center Name\_DATE.) – [Download Template](#)

## 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
  - d. Contains false or misleading statements or references which do not support an attribute or conditions contended by the applicant; and if, in the opinion of CalOSBA or GO-Biz, such information was intended to mislead the Review Committee in its evaluation of the proposal
  - e. Plagiarism, including but not limited to failure to cite one’s own work or third-party work, duplicate applications, etc.
  - f. Failure to comply with guidance as set forth in this Announcement, including failure to use required attachment templates
  - g. Late application
3. Application evaluation and scoring by a Review Committee comprised of GO-Biz and CalOSBA panelists based the Scoring Criteria (see below) and statutory criteria.
4. Final award amounts will be determined based on Scoring Criteria (see below), statutory criteria, funding availability, and CalOSBA determinations.

CalOSBA reserves the right to request additional information and request a revised scope of work and metrics. The determination of rejection for grant funding is not subject to appeal.

## Debriefings

Written debriefings of the evaluation results will not be provided to unsuccessful proposals. Oral debriefings may be provided at CalOSBA’s discretion.

## Scoring Criteria

This section provides the application questions and scoring point scale.

Application Section	Points Possible
Proposed Metrics & Scope of Work	35
Center Strategies & Organizational Capacity	10
Diversity Equity and Inclusion Action Plan	30
Financial Management Capability	20
Center Performance*	5
Bonus Points	7

**Total Points Available: 107 points**

\*Up to 10 points may be deducted for poor past performance on a previous CalOSBA administered grant. Poor performance includes such things as inability to spend previously awarded funding, return of previously awarded funding, underperformance against multiple “total” metric categories, noncompliance with grant agreement terms, communication deficiencies, late reporting submissions, inadequate reports with delinquent revisions.

## Service Areas (Not Scored)

Upload into application portal

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

## Proposed Centers, Services, and Language Access

List each center in your proposal including any sub-center or satellite locations, and list language services.

## Proposed Metrics

Must be uploaded into the application portal. For current grantees or applicants that received a grant in the last three years: metric proposal in each “total” category should be equal to twice your YTD (Q2) 2022-23 performance or higher. Any reduction in metrics from your YTD performance must be justified in your proposed scope of work.

1. Number of Training Events
2. Number of Unique Clients Trained
3. Number of New Clients Trained
4. Number of Training Hours
5. Number of Unique Clients Counseled\*
6. Number of New Clients Counseled\*
7. Number of Counseling Hours\*
8. Number of New Businesses Started\*
9. Number of Businesses Closed\*
10. Number of Jobs Created (full and part-time)\*
11. Number of Jobs Retained (full and part-time)\*
12. Dollar Amount of Increase in Sales\*
13. Number of Contracts\*

14. Dollar Amount of Contracts\*
15. Number of Loans\*
16. Dollar Amount of Loans (SBA loans and non-SBA loans)\*
17. Dollar Amount of Equity Capital (to include private investment)\*
18. Additional Funds Raised (non-dilutive funding, grants, etc.)\*

\*Metric requires a goal/estimated number of businesses that will be served 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

## Narrative Proposal Questions

The Proposal Narrative responses will be entered directly into the online application portal with the following character limitations (including spaces):

Individual Applications or Centers within a Group-Based Application:

- 3,000 characters available for narrative questions worth 5 points
- 5,000 characters available for narrative questions worth 10 points.

Network-based Applications:

- 4,000 characters available for narrative questions worth 5 points
- 7,500 characters available for narrative questions worth 10 points.

Each center within a group application must complete a separate and unique proposal narrative that is subject to the character limitations of an individual applicant. Narratives that exceed the allowed character count will not be reviewed beyond the allowed character limitation. It is not required that applicants utilize the total character count allotment.

The Proposal Narrative Template in Required/Supporting Documents can be used for proposal preparation.

## Proposed Metrics & Scope of Work – 35 points

1. Past performance: Describe how the Center has previously supported small businesses with technical assistance and the impact of the previous or ongoing technical assistance programs. (5 points)
2. Scope of Work Design:
  - a. Explain the gaps in the Center's community and specific gaps that underserved businesses in the Center's community experience. (5 points)
  - b. Explain the Center's overall vision including how the Center will address the above-mentioned gaps. This should include a description of the Center's approach including

- the programs that will be implemented. For example, describe the small business and/or nonprofit training programs, consulting strategies, etc. (10 points)
- c. Explain the Center's quantitative goals included in the metric proposal. For previous awardees: If any metric goals have been reduced from the previous year, explain why. (5 points)
  - d. Describe how this proposed Scope of Work will build on the base programming supported by the Center's match agreement. (5 points)
3. Match drawdown: Provide a plan of action indicating how the Center will draw down all federal or private funds available during the grant period using local cash match. In addition, if the federal or private award term period is set to expire prior to the end of the TAP2023 Program year (September 30, 2024), please indicate when the Center expects to have proof of continuing award. As a reminder, all TAP participating organizations must have an active federal or private award. (5 points)

### Center Strategies and Organizational Capacity – 10 points

4. Describe the Center's in-take methods including details of any strategies to ensure small businesses are appropriately onboarded. Include any strategies to ensure culturally sensitive and language inclusive onboarding approaches. (5 points)
5. Describe the Center's management strategy for service delivery and how the work will be coordinated and monitored. Ensure you are detailing how management ensures service for underserved businesses, including any shifts you will implement as part of TAP funding. Include organizational chart. (5 points)

### Diversity, Equity, and Inclusion Action Plan – 30 points

6. The Diversity, Equity, and Inclusion Action Plan should include actionable strategy and specific steps to diversify the client pool, provide culturally competent intake and ongoing support, and provide culturally competent and inclusive technical assistance to unserved, underserved, disinvested, and disadvantaged business groups. Include target populations and geographies (for example, rural businesses), in-language services, disparities addressed and associated data points. (10 points)
7. Describe the Center's outreach strategy including the steps taken to reach underserved businesses including minority, rural, and other hard-to reach business owners. (10 points)
8. Detail partnerships with community-based organizations and the roles that the partners play in expanding capacity, reach, locations, and in-language capabilities to underserved businesses. Be specific about the nature of the relationships including if there are MOUs or sub-contracts. Please note that a list of partners is not sufficient to receive full points, there must be detail about who the partners are, what they bring in terms of DEI, and the scope of their work under this TAP proposal. Describe counselors, facilitators, etc. that represent those being served. (10 points)

### Financial Management – 20 points

9. Include detailed budget breakdown. All costs must be justified and allowable – see excel template. (10 points)

10. Justify the grant funding amount the Center is applying for. Discuss how the Center will leverage funds for maximum impact. Note that TAP is competitive and there is great need across the state. Be specific about why the Center requires the funding requested. (5 points)
11. Describe how the Center will track allowable activities and expenditures. (5 points)

### Center Performance – 5 points

12. Existing Centers Only: Has the Center received special recognition from underserved business groups or for its work serving underserved business group for past performance (e.g., awards, letters of recognition, etc.)? Only include awards received in the past 5 years. If yes, explain the work performed to achieve the special recognition and who it was given by (i.e., Assembly Member, federal partner, city, county, etc.) (5 points)

### Bonus Points

13. Complete and timely submission of [Letter of Intent to Apply](#) (optional but recommended). The Letter of Intent (LOI) should include applicant name, location, and approximate funding request. The LOI should be on letterhead and emailed to [SBTAEP@gobiz.ca.gov](mailto:SBTAEP@gobiz.ca.gov) in PDF format. (2 points)
14. For TAP Awarded Centers: Is the Center currently, at least, 40% spent down Year to Date (YTD) as of Quarter 2 of the TAP2022 performance period? (Yes/No) (5 points)

OR

For New Applicants (not a current TAP awardee): Provide a minimum of 3 but no more than 5 letters of support demonstrating the Center’s past performance and ability to spend down previously awarded technical assistance funding within the last 5 years. Refer to section [‘Required/Supporting Documents’](#) for required letter template. (Yes/No) (5 Points)

\* Please note that there is a very strong preference for training and consulting that is completely free of charge to participants. Any low-cost training and/or consulting must be fully described and justified in your application and there must be a mechanism for participants to participate free of charge. CalOSBA reserves the right to require that low-cost training and/or consulting be made free.

### 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 sections 7920.000 – 7930.215.). 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 7922.000 to the extent applicable.