

AMERICA'S SBDC[®] NEW MEXICO



SELF-STUDY

America's SBDC Accreditation Review
August 14, 2019

TABLE OF CONTENTS

| | |
|--|---------|
| PREFACE | 2 - 6 |
| <u>1.0 LEADERSHIP</u> | 6 - 11 |
| <u>2.0 STRATEGIC PLANNING</u> | 11 - 20 |
| <u>3.0 STAKEHOLDER AND CUSTOMER FOCUS</u> | 21 - 32 |
| <u>4.0 MEASUREMENT, ANALYSIS AND KNOWLEDGE MANAGEMENT</u> | 32 - 36 |
| <u>5.0 WORKFORCE FOCUS</u> | 36 - 44 |
| <u>6.0 OPERATIONS FOCUS</u> | 44 - 47 |

EXHIBITS: The exhibits for the preface and the six standards can be viewed via Dropbox by clicking on this [hyperlink](#) as well as the hyperlinks contained throughout this self-study.

| Highlights of the New Mexico SBDC Network | | | | |
|---|--|----------------|--------------|--------------|
| Date Program Started | July 1, 1989 | | | |
| Key Funding Stakeholders | Key Funding Sources & Amounts | | | |
| | Year | Federal | State | Other |
| | 2014 | 636,578.00 | 3,772,100.00 | |
| | 2015 | 708,884.00 | 3,877,200.00 | |
| | 2016 | 721,394.00 | 3,861,575.00 | |
| | 2017 | 816,433.00 | 3,790,389.00 | |
| | 2018 | 802,707.00 | 3,468,656.04 | |
| | 2019 | 808,962.00 | 3,621,908.90 | |
| Key Client Segments | Type 1 – In Business with 8 other factors; Type 2 – Nascent (Pre-Venture) interested in starting a business with 6 other factors; and Type 3 – Existing business with 4 other factors – See Standard 2 for additional details. | | | |
| Staff (As of August 7, 2019) | Lead Center: 5 full-time (1 temporary) and 1 part-time Center Directors: 17 (1 Vacant position) + 1 Special Project Director Business Counselors: 18 Support: 8 | | | |

| | | | | | | |
|---|--|-------------------|-------------------|--------------------------|-------------------|----------------------|
| | See Organizational Chart | | | | | |
| Service Centers | 18 - see Network Directory | | | | | |
| Service Area | State of New Mexico, 121,697 square miles – the third largest SBDC service area geographically – See Service Area Map | | | | | |
| Total Clients Served & Service Hours (Run Date 8/14/2019) | Year | Clients Counseled | Counselling Hours | Average Hours Per Client | Attended Training | Total Clients Served |
| | 2014 | 2,966 | 11,392 | 3.84 | 4,555 | 7,521 |
| | 2015 | 2,407 | 9,835 | 4.09 | 3,855 | 6,262 |
| | 2016 | 2,726 | 10,567 | 3.88 | 3,627 | 6,353 |
| | 2017 | 3,201 | 13,756 | 4.30 | 3,065 | 6,266 |
| | 2018 | 2,909 | 12,514 | 4.25 | 2,013 | 4,922 |
| Special Programs | SBDC Program Special Programs include: the Native American Business Project, second year; and the Technology Commercialization Accelerator planned for later this year. Additionally, the NMSBDC Network includes two other programs – the International Business Accelerator (contractor) last 13 years; and the Procurement Technical Assistance Center (6 locations) last 10 years (all PTAC members are employees of Santa Fe Community College) | | | | | |
| Mission, Vision and Values | Mission: To develop skilled entrepreneurs and strong businesses. Vision: To be the most effective economic development organization in New Mexico and be recognized as such. Core Values: Client Centric, Integrity, Professional, Team | | | | | |
| Strategic Challenges | Human resource and oversight limitations due to multiple host organizational structures; size of service areas; tribal lands and Native American sovereignty; language barriers; managing multiple time periods at the same time – Federal Program Year October-September, Federal Funding Year – January-December, New Mexico Fiscal Year – July-June | | | | | |
| Strategic Advantages | Robust state funding; client centric workforce; leadership stability | | | | | |
| State's Economy | | | | | | |
| State Population | New Mexico's population is 2,095,428 (July 2018 estimate). The median age is approximately 37.2 years of age. The ratio of females to males is approximately 50.5% female and 49.5% male. Racial diversity rough estimates are Hispanic or Latino 48%, White (not Hispanic or Latino) 37%, American Indian 11%, Black 2% and Asian 2%. New Mexico has the highest % population of Hispanic or Latino Americans and the second-highest % population of Native Americans. New Mexico is home to part of the Navajo Nation (over 14 million acres), 19 federally recognized Pueblo communities and 3 federally recognized Apache tribes. One of every three residents speak Spanish at home. The population of sheep and/or cattle outnumber the people population. | | | | | |
| State Employment | March 2018 - March 2019 Over-the-Year Employment Growth was 1.2%; Unemployment rate is 5% | | | | | |

| | |
|---------------------------------------|---|
| State Small Businesses | <p>As reported by the U.S. Small Business Administration's Office of Advocacy the New Mexico 2018 Small Business Profile lists 154,257 small businesses, which are 99% of New Mexico businesses. Further, 60,595 are minority owned businesses and 1,164 are small business exporters. New Mexico small businesses have 339,640 employees, which is 54.2% of New Mexico employees. New Mexico's 2017 economy growth rate of less than 2% lags the overall US growth rate of 3.4%. The median income for individuals self-employed at their own incorporated businesses was \$41,733 in 2016. In addition, in 2016, New Mexico lending institutions reported under the Community Reinvestment Act, issuing 26,055 loans under \$100,000 (valued at \$380.9 million).</p> |
|---------------------------------------|---|

Economic Overview

The economic picture of New Mexico is heavily influenced by extraction industries such as oil and gas production, federal government spending and tourism. In 2019, New Mexico's gross domestic product was \$94.2 billion with a GDP per capita of \$39,811. Historically a ranching and mining state, New Mexico's natural resources still contribute significantly to its economy. Although the mining sector employs a small percentage of the total workforce, the oil and gas industry contributes over \$2 billion annually to the state in taxes and other revenue. New Mexico is also the leading producer of potash in the country and has significant uranium resources. Cattle and dairy products top the list of major animal products. Major crops are hay, nursery stock, pecans and chile peppers. New Mexico is rich in fossil fuel and alternative energy resources with major petroleum and natural gas deposits located in the Permian Basin in southwest New Mexico and in the San Juan Basin in the northwest. Approximately 75% of the roads in the state are unpaved.

Federal government spending is a major driver of the New Mexico economy and is a major employer in New Mexico providing more than 25% of the state's jobs. In the 1940s, the Manhattan project at Los Alamos (now Los Alamos National Laboratory) and the establishment of Sandia National Laboratories began in Albuquerque in 1948. This blossomed into what is now a significant presence of federal investment in the state (both labs are funded by the US Department of Energy). New Mexico is also home to three Air Force Bases (Kirtland, Holloman and Cannon) and the Army's White Sands Missile Range. Kirtland AFB, in Albuquerque, includes the Air Force Research Laboratory. Employment at Los Alamos and Sandia Laboratories is primarily reflected in the Professional, Scientific & Technical Services sector as both are managed by private corporations. New Mexico receives roughly \$6 billion in federal research funding, but employment has fluctuated over the years.

New Mexico tourism generates expenditure of over \$6.5 billion annually. Virgin Galactic, the first space tourism company to develop commercial flights into space has its world headquarters and mission control at Spaceport America 25 miles south of Truth or Consequences, New Mexico. The commercial flights are scheduled to begin later this year.

Last year's oil and gas production netted over an additional billion dollars to state revenues allowing investment in economic development funds such as Local Economic Development Assistance (LEDA) and Job Training Incentive Program (JTIP) to be funded at \$60 million and \$10 million for the state FY20 (fiscal year). However, oil and gas production and price is always in flux and is hard to predict, which makes the state's economic outlook frequently uncertain.

Program History

The New Mexico Association of Community Colleges (NMACC), with support from the State Legislature and the Governor, initiated the New Mexico Small Business Development Center (NMSBDC) Program in 1989. The NMSBDC Lead Center is located on the campus of the Santa Fe Community College in Santa Fe, New Mexico (the federal grant awardee). Since then the NMSBDC has experienced significant growth, with a statewide footprint of 18 service centers and 9 satellites and a current total budget of more than \$4.4 million. Most of that funding comes from the New Mexico Legislature's General Appropriations Act in Higher Education funding to Santa Fe Community College (SFCC) as a single line item Research and Public Service Project (RPSP). At the onset and for many years Roy Miller served as the

Executive State Director (ESD) who retired in 2010. After Roy's retirement, Michael Mykris (Santa Fe Service Center Director) twice served as the Interim ESD and for two years, Michael Rivera was the ESD. Russell Wyrick has served as the ESD since January 2014.

The NMSBDC established the International Business Accelerator (IBA) thirteen years ago with a primary mission of developing one-on-one direct import and export business between New Mexico and Mexico and has expanded to include the entire global marketplace. This program is subcontracted through Western New Mexico University and has a strong working relationships with the NM Economic Development Department, Office of Mexico Affairs, and other related organizations in the state. The IBA is fully funded from non-matching state-legislated funding through the NMSBDC core budget. While the IBA is the state's largest contributor for net economic growth through export and import their performance is only included for state stakeholders. While the IBA is a part of the NMSBDC Network it is not part of the SBDC Program.

The NMSBDC established the New Mexico Procurement Technical Assistance Program (PTAP) in 2009 using \$400,000 recurring funding from the U.S. Department of Defense, Defense Logistics Agency, and \$400,000 cash match recurring funding through NMSBDC core State recurring budget. The NM PTAP is now the PTAC (Center versus Program) and operates in six locations around the state. While PTAC is a part of the NMSBDC Network it is not part of the SBDC Program.

Service Area

State of New Mexico, 121,593 square miles – the third largest SBDC geographically. Each service center has an assigned service area with a few areas having overlap. See [Service Area Map](#)

Workforce

The New Mexico Small Business Development Center (NMSBDC) Network consists of the Lead Center at Santa Fe Community College (SFCC), a network of 18 service centers and 9 satellites strategically located throughout the state and are accessible to all New Mexicans. As mentioned earlier the IBA and PTAC are also part of the NMSBDC Network. Mostly community colleges and a few four-year colleges/universities serve as the host for the service centers. The highly skilled NMSBDC Network Team members is comprised of 60 some business professionals with small business management and ownership experience and other special skills. All local SBDC service centers are managed through cooperative agreements between Santa Fe Community College and the local host educational institution. The NMSBDC ESD is the contract administrator in all cases. Additionally, the network has six Procurement Technical Assistance Centers (PTAC) locations and the International Business Accelerator (IBA) in Santa Theresa, which is near the United States and Mexico border. All NMSBDC Lead Center Team members are employees of Santa Fe Community College and report to the NMSBDC ESD. In October 2014, Martin Gutierrez and Adriene Gallegos were both selected as Associate State Directors. The SBDC subcontracted staff, located throughout New Mexico, are employees of their various host institutions and report through their institutions designated chain of command. JoAnne Oglesby, NMSBDC Program Coordinator retired in early 2019 and the position was reclassified and is expected to be filled in the near future. Two additional temporary positions (funded by non-match State funds) were added to the Lead Center in 2018 with Glenn Walters serving as Senior Special Projects Coordinator (full-time) and Michael Silva serving as the Senior Project Manager (part-time).

Significant Changes

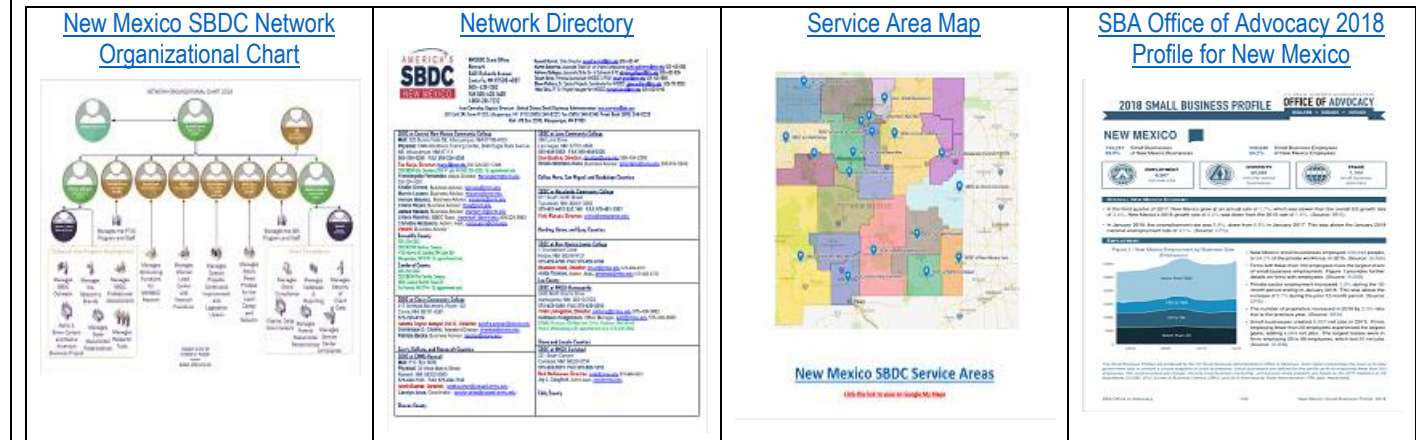
Santa Fe Community College, the grant recipient's President has turned over twice, 13 of our host institution's leadership has also turned over and ten of our Service Centers have also experienced turn over in the Center Director position since the last accreditation visit. The University of New Mexico – West Service Center and the two Central New Mexico (CNM) Community College Service Centers were consolidated into one CNM Community College Service Center in 2017. A shift away from administrative support staff at smaller service centers and rightsizing the staffing for each service center continues to be a change. The numerous process improvements that have been implemented since the last accreditation visit are included within the responses to the Standards.

Competitive Challenges

Serving remote rural areas is a continuing challenge.

Exhibits – Overview

These exhibits are provided in the Dropbox folder titled [0.0 PREFACE](#) and can also be viewed by clicking on the hyperlinked images and/or titles below.



1.0 LEADERSHIP

Objective: The SBDC has a governance system and environment that routinely addresses organizational values, ethical behavior and performance expectations.

1.1 Senior Leader Authority

The SBDC Network director has the authority to make decisions to lead, set strategic direction and sustain the network.

Describe how the SBDC network director has authority to:

Allocate financial and human resources for setting and achieving the SBDC network's vision and strategic priorities.

As described in the Preface, New Mexico uses [cooperative agreements](#) with Subcontracted Service Centers to establish Network director authority for Program decision-making, strategic direction and Program sustainability. The Executive State Director (ESD) also known as the Lead Center Director, Russell Wyrick, has full authority to allocate financial and human resources as evidenced by the following quote from the cooperative agreements with the Subcontracted Service Centers:

"In accordance with SBDC Program rules, the Lead Center Director, referred to in this cooperative agreement as the NMSBDC Executive State Director, operates and administers the operations of the NMSBDC Program and Network, and has full authority to make budget expenditures under the program's budget as well as to manage NMSBDC Program activities. As the full-time senior manager, the ESD, directs and monitors the program activities and financial affairs of the NMSBDC Network to deliver effective services to the small business community. The Executive State Director is tasked to ensure the NMSBDC's compliance with applicable laws, regulations, OMB circulars and executive orders, implements the SBA/SFCC cooperative agreement and serves as the principal contact point for all matters involving the NMSBDC Network. (13 CFR Part 130, p.521, 130.350 b.) (CY OSBDC Funding Opportunity, 2019, p.59, 8.2.16). Once the NMSBDC receives its approved budget and program funding from SBA and the State of New Mexico, the NMSBDC ESD has full authority to manage and implement the budget without restrictions from the grant's host entity, including the management and oversight of all statutorily required areas of statewide coverage. (CY OSBDC Funding Opportunity, 2019, p.59, 8.2.16)".

The Lead Center Team and the Santa Fe SBDC Service Center are employees of the grant recipient, Santa Fe Community College, all of the remaining SBDC staff positions are employees of one of the Subcontracted Service Centers in New Mexico. The cooperative agreements with the Subcontracted Service Centers address areas such as the services to be provided, deliverables, record keeping, required professional development for staff, requirements concerning vacancies, and numerous other requirements and guidance. Two key requirements stated in each cooperative agreement are compliance with the [NMSBDC Program Policy and Procedure Manual](#) and the NMSBDC [Foundational Documents](#) (see Standard 2). The Foundational Documents provide the roadmap for moving forward towards our vision, accomplishing our mission and exercising our values on a daily basis, which will be described in Standard 2.

Below is an example of Lead Center human resources oversight as stated in cooperative agreements:

"The following HR actions regarding your SBDC Program funded staff require the prior approval of the NMSBDC Lead Center:

1. *Changing the title or job description of your institution's SBDC Program funded staff.*
2. *Making an offer of employment to an applicant who will be funded through this cooperative agreement or SBDC Program funds.*
3. *Posting a job vacancy for a position, which will be funded through this cooperative agreement or SBDC Program funds.*
4. *Increasing the salary or pay rate of your staff funded through this cooperative agreement beyond the personnel budget included this cooperative agreement.*
5. *Changes in the organizational structure of your SBDC Subcontracted Service Center or reporting line for your SBDC Subcontracted Service Center Director".*

Our organizational values of Client Centric, Integrity, Professional and Team establish the clear tone and direction for achievement of our strategic priorities that are aligned with our mission and vision.

Determine appropriate organization structure and governance.

Organization structure and governance determinations are first made by the Lead Center Team conducted through reviews of applicable federal and state regulations & rules; the OSBDC CY Funding Opportunity, the Notice of Award (NOA) and the NOA Terms and Conditions. The Executive State Director and Lead Center Team uses a variety of methods to establish organizational structure including the use of several research tools to help [determine the location of service centers](#), their assigned service areas and authorized staffing. Population and past client activity are two major factors in rightsizing a service center staffing as well determining operating locations to be Client Centric and have appropriate performance expectations. All Subcontracted Service Centers have a Center Director and based upon previously mentioned factors may be authorized additional business counselor(s). Due to technology improvements most smaller service centers do not have an administrative/support position. As stated earlier the Subcontracted Service Center cooperative agreements, NMSBDC Policy and Procedure Manual and the NMSBDC Foundational Documents provide the necessary Program governance. All Subcontracted Service Center Directors have direct control of their Lead Center [approved budget allocation](#).

Manage operations in accordance with rules and regulations governing the program.

The Subcontracted Service Center cooperative agreements, NMSBDC Policy and Procedure Manual and the NMSBDC Foundational Documents provide the ESD authority and necessary guidance to manage NMSBDC operations in accordance with federal and state rules and regulations. A key method to address, communicate and provide a framework for ethical behavior is the required Code of Conduct/Confidentiality/Conflict of Interest Forms signed by all SBDC Program funded staff, trainers and volunteers (see Standard 4). Training staff on Program rules and regulations is an on-going process and includes our 6 Part Professional Development Program (onboarding, new hire orientation and other parts to be discussed further in Standard 5) and numerous required meetings (to be discussed further in Standard 2). The Associate State Directors of Grant Compliance and of Outreach and Program Development monitor Program activity via requirements as established by the cooperative agreements and the Program Policy and Procedure Manual, on-site reviews, Neoserra database control and oversight and required Subcontracted Service Center institution and Center Director communications. The Principal Accountant oversees Program financial accountability and has specific processes to ensure all funds are spent in accordance with Program guidelines, rules and regulations. All Subcontracted Service Center's requests for reimbursement require ESD approval prior to payment.

Create and achieve performance expectations.

The Subcontracted Service Center cooperative agreements, NMSBDC Program Policy and Procedure Manual and the NMSBDC Foundational Documents provide the performance expectations for the NMSBDC. [Attachment A](#) of each Subcontracted Service Center's cooperative agreement outlines the required Deliverables for each Center. Our Mission, Vision and Values as stated within the Foundational Documents' Statewide Business Plan as well as our cyclical meeting requirements clearly focus on performance expectations and provide the monitoring system for achievement. These and other related processes will be fully explained within Standard 2.

1.2 Leadership System

1.2(a) Sustainable Organization

SBDC leaders routinely guide and sustain the organization, communicate with the workforce, encourage high performance work, advance organizational values, and promote ethical behavior. Describe:

Leadership System

The Executive State Director (ESD) serves as the overall visionary leader and uses a variety of people, teams and groups for inputs and collaboration. The ESD established the NMSBDC Leadership System which consists of multiple layers of leadership as follows:

NMSBDC Lead Center Executive Team (5 members):

Executive State Director - Russell Wyrick; Associate State Director of Grant Compliance - Martin Gutierrez; Associate State Director of Outreach and Program Development – Adriene Gallegos; Senior Special Project Coordinator - Glenn Walters; and Senior Project Manager - Mike Silva

NMSBDC Lead Center Leadership Team (7 members):

Lead Center Executive Team and the Principal Accountant – Stuart Graw; and the Program Coordinator – (currently vacant)

NMSBDC Extended Lead Center Leadership Team (9 members):

Lead Center Leadership Team and the PTAC Program Manager – Therese Rivera; and the IBA Executive Director – Jerry Pacheco.

NMSBDC Network Leadership:

Extended Leadership Team and the Subcontracted Service Center Directors

The organization chart shows the reporting structure. The Lead Center Leadership meets systematically as follows: the [Regular Meeting schedule and process](#), strategic meetings as part of the Statewide Business Plan Cycle, quarterly improvement meetings, plus/delta meetings after most network and orientation events and a variety of other occurrences. The ESD assigns the Project Champion for Chartered Teams, which will be discussed further in Standard 5.

The two Associate State Directors (ASDs) are given full authority to execute their assigned areas of responsibility. The ASD of Outreach and Program Development (OPD) is given the authority to ensure and enforce consistent utilization and protection of the NMSBDC logo, brand and Program image. This position also holds authority to interact and communicate with state and federal legislative stakeholders, outside funding sources, the NMSBDC Statewide Advisory Board and various community leaders. The Program's professional development and marketing outreach budget are also managed by this position. The ASD of Grant Compliance is given the authority necessary to ensure and enforce the consistency, accuracy and validity of the Programs' reported economic impact and counseling data. This position also interacts and negotiates with the Small Business Administration's (SBA) Project Officer assigned to the NMSBDC and the Office of Small Business Development Center (OSBDC) Program Manager in regards to annual Program goals, reports and other grant issues.

Leadership sustainability is enhanced by documenting processes and guidance within Subcontracted Service Center cooperative agreements, NMSBDC Program Policy and Procedure Manual and the Foundational Documents. In April of 2018, the ESD established the Regular daily meeting with the two ASDs to enhance communication and guide Program values, performance and sustainability. Later in the year other team members were added to form the current Executive and Leadership Team Regular meeting design. The ESD also shifted several tasks directly to the two ASDs to ensure that several staff members could perform essential strategic functions such as the WIG meetings and Program accountability. Subcontracted Service Centers are divided into five Groups. In 2018 and 2019, the ESD assigned the ASD OPD Groups Alpha and Bravo (6 centers) and the ASD GC Groups Charlie, Delta and Echo (12 centers) for conducting the WIG meetings, signing off on Network Team member's Professional Development plans and accountability for Program performance within their assigned groups.

Set vision and values; create a focus on action to accomplish the organization's strategic priorities; improve performance; and attain its vision

The ESD and the rest of the Lead Center Leadership Team sets the vision and values for the Program through the NMSBDC Foundational Documents. The NMSBDC Lead Center has successfully blended a customized version of the FranklinCovey Four Disciplines of Execution with a traditional recurring planning cycle in order to create an integrated business management system and strategy execution system for strategic priorities. The NMSBDC Statewide Business Plan Cycle created in March 2015 uses Dr. W. Edwards Deming's PDSA cycle (Plan, Do, Study, Act) to conduct strategic planning on a recurring annual basis. This cycle is fully presented in Standard 2 which will outline the PDSA cycle, the numerous meetings and extensive involvement by the Network Team members.

The Network's values were established in 2015 and are reviewed and discussed each year in accordance with the Statewide Business Plan Cycle. These values Client Centric, Integrity, Professional and Team have remained unchanged and have been embraced as the culture by the Network Team members. The vision established in 2015 was "To be respected as New Mexico's biggest job creator". In the spirit of continuous improvement using the Statewide Business Plan Cycle process the vision was changed in 2017 to "To be the most effective economic development organization in New Mexico." and in 2018 the words "and be recognized as such." were added to the end of the vision and continues as the current vision. The 2018 vision changes launched additional improvements to the Statewide Business Plan Measures, Definitions, Statewide Action Steps and outreach activities. This has resulted in increased awareness of the Program value by key stakeholders, partners, clients and communities.

The ESD and Lead Center Leadership Team designed all aspects of the annual Statewide Business Plan Cycle to systematically involve all Network Team members, review strategic priorities, learn from collected data, identify Plan improvements and create actions to accomplish (this will be further described in Standard 2). Deployment of the Statewide Business Plan follows the PDSA cycle along with a variety of systematic meetings. The design of the Statewide Business Plan (an alternative to a traditional Strategic Plan) is such that the Statewide Wildly Important Goals (WIG) Meetings are held to strategically align the Network's actions with the strategic priorities in the Statewide Business Plan. These monthly meetings serve to communicate priorities and strategies that the NMSBDC Network as a group identified as being critically important to our state and Program. The Center WIG Meetings (see Standard 2) serve as an operational system for performance review and improvement that feeds into the overall success of the Program by concentrating on execution of the Statewide Business Plan at the center level. The Lead Center Leadership Team finalizes all plans and initiates implementation at the annual July Network meeting. This unique method has resulted in an SBDC Network where strategic planning is focused on execution of the most important priorities and Team commitment to achieving the

Program's Wildly Important Goals drives innovation and continuous improvement at all levels. The organizational culture has shifted to where Program goals are achieved as a natural result of strategically aligned daily activities.

Communication and deployment of performance expectations ()*

The performance expectations are communicated through the Subcontracted Service Center cooperative agreements and are defined by the NMSBDC Foundational Documents, which includes the Statewide Business Plan Cycle, Statewide Business Plan, Measures and Definitions. Following the Statewide Business Plan Cycle the July Statewide meeting is held to train and deploy the next Federal Program Year (October – September) Foundational Documents which ensures all Network Team members are aware of the strategies and understand their individual and center role in moving the Program towards fulfillment of Program performance expectations.

Communication and deployment of performance expectations continues throughout the Program year via the Statewide Business Plan Cycle, the Statewide and Center WIG meeting processes, new hire orientation and other meetings and training events. An on-line [Master Calendar of Meeting Dates and Times](#) is provided to all Team members via email and the Intranet. The Lead Center Team have routine communication with Center Directors as needed and responds to questions as they arise. All on-line Program meetings are recorded and archived for later viewing for anyone that misses a meeting or wants a refresher. The on-line Program meetings often convey performance expectations. In 2019, the Lead Center Team evaluated the functionality of on-line meeting platforms and a shift from WebEx to Zoom was implemented.

Review performance to understand the health of the organization and to enable translation of performance findings and learning into priorities for improvement and innovation. ()*

The ESD and the Lead Center Leadership Team review performance and priorities for improvement through actions within the PDSA cycles of the Statewide Business Plan Cycle, this includes the collection and analysis of Program performance data (further described in Standards 2, 3 and 4). Standardized Statewide and Center WIG meetings, bi-annual Statewide meetings, monthly Center Director meetings and Regular Lead Center Executive and Leadership Team meetings are used to review performance towards mission and Statewide Business Plan accomplishment. Actions are identified that address performance findings and learnings and are prioritized through multiple progressions at the April Regional Meetings, Lead Center review, May Center Director Meeting, Lead Center Prioritization Matrix scoring validity and justification (discussed within Standard 2) and the Lead Center Final Matrix (see Standard 2) provided to the ESD for final plan actions.

Examples of short term steps as well as Statewide Action Steps (the revised term used beginning with FFY19 Plan) include:

- A 2016 step to develop the NMSBDC Intranet and populate it with meaningful information for the Network. This step was a priority so that improvements could be documented and communicated.
- 2017 steps included identifying the best sources for referring Type 1 and 2 Clients (described in Standard 3) to the SBDC for services, creation of a third party endorsement template and professional development for all Network Team members concerning legislative outreach.
- A 2018 step for each center to claim their Google Business Page.
- The 2019 steps included redesign of our professional development (described in Standard 5) and developing standardized counseling sessions (described in Standard 5).

Promote ethical behavior including how potential conflicts of interest are managed

During on boarding, new hire orientation, other training events, statewide meetings and on-site reviews ethical behavior is a constant focus. Our core values of Client Centric, Integrity, Professional and Team guide the daily performance of all Program staff. All Program staff, trainers and volunteers annually review and sign the Code of Conduct/Confidentiality/Conflict of Interest Form (see Standard 4). The cooperative agreement with Subcontracted Service Centers lays out in detail (Section 6, pages 9-10) further guidance in this area and explains how potential conflicts of interest are managed. Additionally, the NMSBDC Program Policy and Procedure Manual also addresses ethical behavior and how potential conflicts of interest are managed.

How leaders analyze their performance and efforts to improve

Systematic reviews are conducted following the Statewide Business Plan Cycle, Regular Meeting schedule, WIG meetings, quarterly improvement meetings, plus/delta meetings after most network and orientation events and a variety of other occurrences. Neoserra scorecard information provides relevant measurement performance data for the Network and each Subcontracted Service Center. Formal and informal interaction with stakeholders (discussed within Standard 3), stakeholder, client and Program staff surveys (discussed in Standards 3 and 5) all contribute to the processes leaders use to analyze and improve performance. The Lead Center Leadership Team members and the PTAC Program Manager, which are all Santa Fe Community College (SFCC) employees, use the required SFCC's Collaborative Annual Employee Review (CAER), which is designed to promote growth and development.

1.2 (b) Compliance

The SBDC network operates in compliance with the laws and regulations governing the network. Describe:

How leaders demonstrate a commitment and a culture of legal compliance;

The ESD ensures that the cooperative agreements for each Subcontracted Service Center cite the legal compliance issues and are then monitored by a variety of methods including WIG meetings, Center Director and Statewide meetings; [on-site reviews](#) by the ESD and the two Associate State Directors (ASDs); and on-line reviews by the ASD of Grant Compliance. The NMSBDC Program Policy and Procedure Manual as well as the NMSBDC Foundational Documents all communicate legal compliance for the Program. Training provided by leadership during on boarding, new hire orientation and statewide meetings also demonstrate a strong culture of legal compliance by leadership. Our core value of Integrity guides the daily actions of leaders and Network Team members.

How the network deploys processes to ensure sound fiscal and contractual management to meet requirements.

Processes are systematically deployed using cooperative agreements with Subcontracted Service Centers that include Attachments A-T, the NMSBDC Program Policy and Procedure Manual, the NMSBDC Foundational Documents, new hire orientation, WIG meetings, Center Director meetings and other meetings as part of the annual Statewide Business Plan Cycle. The Principal Accountant oversees all fiscal transactions for the Program and via emails and training offerings ensures that the appropriate processes are deployed across the Network. The June 2019 Financial Review by the SBA (2-year cycle) revealed sound fiscal management and resulted in zero findings. Program Reviews by the SBA Program Official (annual process) in 2019 revealed sound contractual management and resulted in no findings. Other systematic processes include Subcontracted Service Center institution's financial audits, Lead Center reviews, [semi-annual](#) and annual reports, quarterly reimbursement requests and Center budget proposals, allocation and monitoring.

The results of programmatic and financial reviews performed by governing authorities, including a summary of findings, outcomes and current status, and how this information was used to improve

The draft of the [June 2019 Financial On-Site Review](#) by the SBA for PY2018 (2-year cycle) revealed sound fiscal management and resulted in zero findings as did the 2017 and 2015 financial desk reviews for PY2016 and PY2014. [Program Reviews](#) by the SBA Program Official (annual process) in July 2019 as well as in 2015, 2016, 2017 and 2018 revealed sound contractual management and resulted in no findings. During each review the Lead Center Team interacted with the reviewers and always sought inputs for possible improvement opportunities. Several improvements were pursued and implemented such as file locations and standardized property inventory records, which is now included within Subcontracted Service Center cooperative agreement Attachment H. Santa Fe Community College (SFCC) also conducts audits and grant oversight of the SBDC Program with no areas of concern identified.

Compliance with the requirements of 13 CFR 130.460 (f) (1) for all key positions

SFCC complies with the salary requirements. Salaries of Subcontracted Service Center Directors have a wide variance based upon the administrative policies of host institutions. The ESD works with the Subcontracted Service Center institution's leadership to establish Center Director salaries in compliance with this requirement. The ESD allocates sufficient funding for Subcontracted Service Center Director's salaries as part of their cooperative agreement Attachment B. In recent years the ESD has successfully negotiated with institution leadership to increase the salaries for multiple Center Directors.

1.2 (c) Support the National SBDC Program

The SBDC leaders support and participate in the common interests of the national SBDC program. Describe:


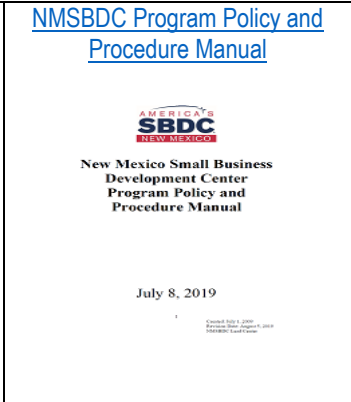
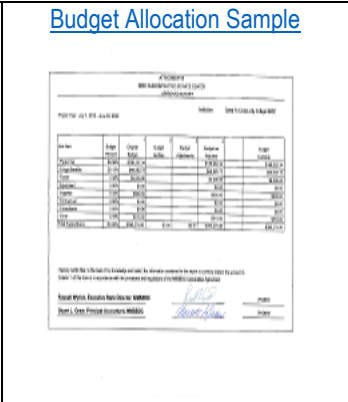
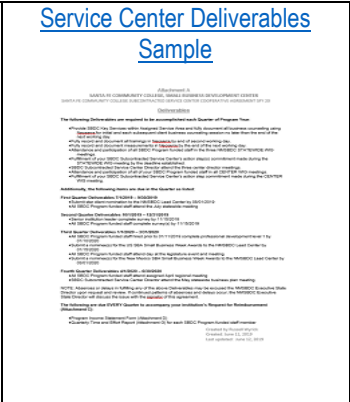
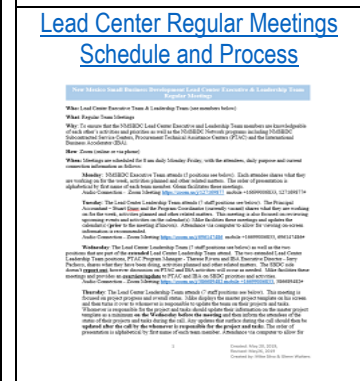

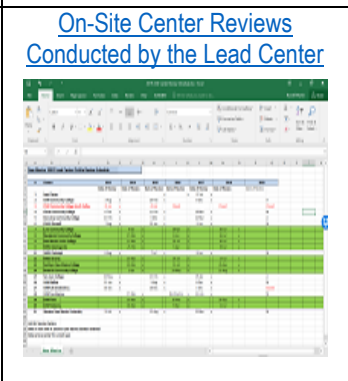
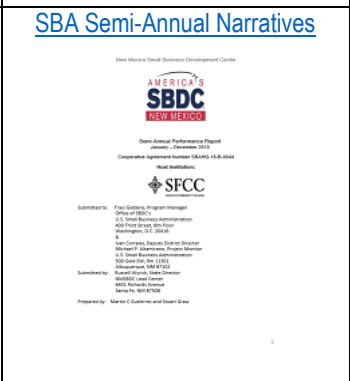
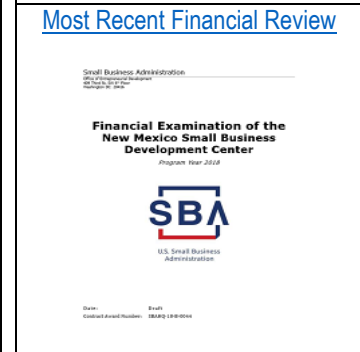
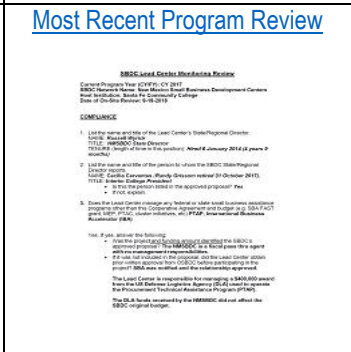
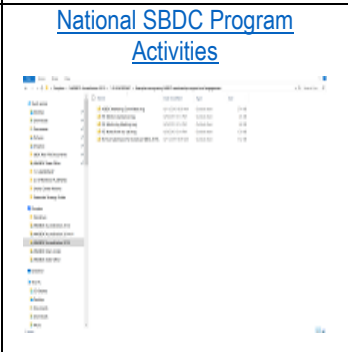
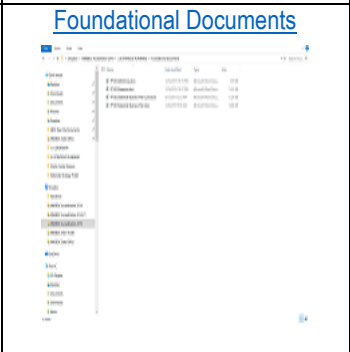
How the leaders and network members participate in activities, initiatives and share in the advancement of the national SBDC program.

New Mexico is a dues paying ASBDC member and was one of the first states to implement the America's SBDC logo throughout the network. The ESD, ASDs and other Network Team members are [involved with national SBDC program activities](#) such as State Director and Associate State Director calls, on-line meetings and electronic discussion boards. The ESD has served to help orient new State Directors and has hosted another State Director visiting the State Lead Center. The ESD, ASD for Grant Compliance and the Senior, Special Projects Coordinator attended the ASBDC Legislative Conference in Washington D.C. While in D.C. the three met with numerous SBA officials including the new Program Manager for New Mexico and the SBA offices of Native American Affairs, International Trade and Disaster Assistance. The ESD and other Lead Center Team members participate in congressional and legislative visits annually to promote America's SBDC programs, services and results including visiting with all five New Mexico members of Congress at least once each year. Additionally, the ESD attended the Square State meeting in Oklahoma in June of this year as well as being an observer on an Accreditation visit in July 2019. NMSBDC participates every year with the National Impact Survey.

For the last few years, including this year, the ESD has provided funding for all NMSBDC Program staff to attend the annual ASBDC Conference and has encouraged involvement by Network Team members with national SBDC programs. The ASD OPD and the Northern New Mexico College Subcontracted Service Center Director serve on the national marketing committee and NMSBDC Network Team members have made several presentations at annual ASBDC Conferences. Nominations for Client and Network Team members have been systematically submitted. See Standard 6, second question, 2nd paragraph, for an example of sharing within the national SBDC program.

Exhibits – 1.0 Leadership

These exhibits are provided in the Dropbox folder titled 1.0 LEADERSHIP and can also be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|---|--|---|--|
| Subcontracted Service Center Cooperative Agreement Sample  | NMSBDC Program Policy and Procedure Manual  | Budget Allocation Sample  | Service Center Deliverables Sample  |
| Lead Center Regular Meetings Schedule and Process  | Master Calendar of Meeting Dates  | On-Site Center Reviews Conducted by the Lead Center  | SBA Semi-Annual Narratives  |
| Most Recent Financial Review  | Most Recent Program Review  | National SBDC Program Activities  | Foundational Documents  |

2.0 STRATEGIC PLANNING

Objective: Develop, implement, modify and measure progress on a strategic plan that drives the SBDC network toward its established mission and vision.

2.1 Strategy Development

2.1 (a) Strategy Development Process

The SBDC has a process to address its strategic challenges and leverage its strategic advantages and opportunities. The process, at a minimum, must include identifying, collecting and analyzing relevant information critical to achieving the program's vision. Describe the strategic planning process to include:

The vision, values and mission of the SBDC

The NMSBDC strategy process ensures that the Network is engaged in collaborative Team efforts through multiple annual discussions to address if we are moving forward towards our vision, accomplishing our mission and daily demonstrating our values. The vision established in 2015 was "To be respected as New Mexico's biggest job creator". The Program demonstrated its agility by rapidly achieving within a year

becoming the state's largest job creator; however, the assumption that being the largest job creator would automatically garner immediate respect proved to be elusive. In 2017, due to state economic conditions and considerable Network Team member turnover, the focus of the Network Team members shifted to effectiveness and the vision was changed to "To be the most effective economic development organization in New Mexico." In somewhat of a return to the original vision in 2018 the words "and be recognized as such." was added at the end of the vision and continues as the current vision. The 2018 vision changes launched additional improvements to the Statewide Business Plan Measures, Definitions, Statewide Action Steps and outreach activities by Lead Center Team and center staff. For example, the "number of community presentations" was added as a Statewide Business Plan measure and the ESD and other Lead Center Team members made numerous presentations to various organizations and groups. This included presentations to the New Mexico Association of Counties, the New Mexico Municipal League, the New Mexico Higher Education Department, the Council of University Presidents, the New Mexico Independent Community Colleges, the New Mexico Association of Community Colleges and multiple legislative committees. This has resulted in increased awareness of the Program's value by key stakeholders, partners, clients and communities.

At the January 2015 Statewide Meeting all Network Team members were given index cards and asked to consider their personal values and identify what they believe the values of the Network should be. This generated over 250 inputs, which were categorized by Team members and all fit within 4 distinctive groupings – Client Centric, Integrity, Professional and Team. This categorization became the Network values. Each year using the Statewide Business Plan Cycle April Regional meetings Network Team members are asked to discuss and capture their thoughts for the following questions: What do these values mean to you? Are we fulfilling these values or are we falling short in some areas? What can we do to better to fulfill these values? Do we need to consider additional values, or do we need to better clarify our current values? Over the years, inputs have surfaced such as changing Professional to Professionalism, changing Team to Teamwork and adding new values, however after following the steps with the Statewide Business Plan Cycle the values were always confirmed as correct and remain unchanged.

Also at the January 2015 Statewide Meeting the Network Team members determined that New Mexico's economic development needs for small businesses were obtaining successful business skills and an entrepreneur mindset, as well as sustaining their endeavor long term. This resulted in the following mission statement being created: "To develop skilled entrepreneurs and strong businesses." Each year during the April Regional meetings the Network Team members are asked to discuss similar questions to the values questions concerning changing the mission. These past discussions have confirmed the mission, but surfaced the need to add definitions for "skilled entrepreneurs" and "strong businesses" to the Definitions portions of the NMSBDC [Foundational Documents](#) in 2018.

Deployment of the values, mission and vision is ongoing through the use of the Statewide Business Plan Cycle, WIG and other planned meetings, new hire orientation and Network interactions. For example, at the July 2018 Statewide Meeting each day was themed around one of the four Values. This included the daily attire, presentations, discussions and activities for that day focused on a specific Value. Team day was especially fun and included facilitated interactive Team activities and Network Team members wearing their favorite team attire/colors. Another example, was the February 2019 Statewide Meeting where Network Team members were engaged in lengthy small and large group discussion concerning "How does your center know what your clients need and want? And How do you use that knowledge to improve your services." These discussions created meaningful takeaways for continuing our advancement of being Client Centric.

The key steps in the strategic planning process, the participants, and the planning horizons

The NMSBDC strategic planning process is a customized version of the FranklinCovey Four Disciplines of Execution (Focus on the Wildly Important, Act on Lead Measures, Keep a Compelling Scorecard and Create a Cadence of Accountability) with a traditional recurring planning cycle in order to create an integrated business management system and strategy execution system for strategic priorities. The NMSBDC's [Statewide Business Plan Cycle](#) created in March 2015 uses Dr. W. Edwards Deming's PDSA cycle (Plan, Do, Study, Act) to conduct strategic planning on a recurring annual basis. As previously stated, Network's values were established in 2015 and are reviewed and discussed each year in accordance with the Statewide Business Plan Cycle. Our implementation of both the FranklinCovey's Four Disciplines of Execution and the PDSA cycle provide the framework for Program and Network Team member learning and continuous improvement. In addition, the [Annual Foundational Documents Improvement Process Map](#) provides another visual of our strategic planning process.

The overall planning horizon by the Lead Center is long range (3 years) with three long-term strategic priorities: Ensure Program Sustainability, Increase Our Services to Clients Through Internal and External Collaboration and Technology, and Increase Awareness of the Program. These strategies are then translated into an annual [Statewide Business Plan](#) using the Statewide Business Plan Cycle for the Network. The annual Statewide Business Plan matches the Federal Program Year, our Notice of Award and the Subcontracted Service Center cooperative agreements which are all only for a single year. The Statewide Business Plan Cycle guides the strategic planning for the NMSBDC Network. Using the Statewide Business Plan Cycle, Program data is collected, analyzed and provided to the Network Team members in a Network on-line meeting. This meeting is recorded and archived so that discussion and learnings are captured for future reference. Inputs are received from the entire Network at April Regional meetings concerning any suggested changes to the Statewide Business Plan including the values, mission, vision, wildly important goals, measures, key services, client segments, stakeholder segments and statewide action steps. April Regional meeting inputs are collected, revised and condensed by the Lead Center Team and presented to the Center Directors for their recommendations at the May meeting. Following the May meeting the Lead Center Team then reviews the Center Director's recommendations (see How You Have Improved the Planning Process for further information) and provides analysis to the ESD for his final decisions. All Network Team members participate in the strategic planning process as outlined in the Statewide Business Plan Cycle, with key roles for Center Directors, Lead Center Team and the ESD. The culmination of the strategic planning process results in four documents being annually created (matching the federal Program year). These documents are entitled the Foundational Documents and consist of the Statewide Business Plan Cycle, the Statewide Business Plan, [Measures](#) and [Definitions](#) and are presented, discussed and trained at the July Statewide meeting.

It is important to note that the Wildly Important Goals are aligned to our long-term strategies, which are the strategic priorities for the Program and guide the fulfillment of our mission and advancement towards our vision. The Wildly Important Goal meetings also provides the Program opportunities to manage for innovation. All Network Team members participate in the creation and modification to all Foundational Documents. The 4-page Measures document provides a specific description of each Program Measure in the Plan and ensures understanding by all Network Team members. The 4-page Definitions document provides further clarification to all Network Team members on the meaning of key terms included within the plan. The Measures and Definitions were originally created and deployed for the 2016 Program Year (October 2015) as a single document known as the "Cheat Sheet". In 2018, an extensive review of the document occurred using the Statewide Business Plan Cycle and numerous definitions were added and more additional clarity was provided for some measures. This also resulted in separating the two items into two separate documents. The Foundational Documents are provided to each Network Team member in a hard copy version with instructions to keep for quick reference and are posted on the NMSBDC Intranet.

How data and information is analyzed to identify opportunities;

The Statewide Business Plan Cycle was first deployed at the 2015 Statewide meeting and annually thereafter. The Cycle outlines the systematic approach to collecting and analyzing relevant data on an annual basis. This is done through employee, client and stakeholder surveys and review of performance outcomes, which first occurred October 2015 and continues annually. For example, client data entered by each Subcontracted Service Center into Neoserra (Outreach System Management Informational System) concerning the Network's past performance is quantified and trended for analysis by the Lead Center Team. This analysis plus other information and data includes the following: Statewide Business Plan Measures plus the Neoserra Scorecard, Overall Client Satisfaction (8 questions), Client Satisfaction by Client Segments (8 questions), Chrisman Survey (multiple questions and analysis), Client Needs and Wants (extracted from the Client Satisfaction data), Counseling Hours by Subject (2 charts), Counseling Contact Hours by Subject and Client Type (a chart), Are We Making Progress Survey (52 questions), Employee Survey (18 questions), ROI State Investment (based upon cost of job created), SBDC Peer Comparison (2 charts), Host Institution Surveys (6 questions), Perception of Stakeholder Needs and Wants (extracted from Employee Survey (chart) and the Legislator Survey added in 2019 (Financial committee members only ranking 6 performance measures). Through the analysis of this data and information the NMSBDC Lead Center Team and the Network Team obtains the information necessary to identify key success factors for Program sustainability, opportunities and development of key strategic direction.

As explained earlier and depicted in the Foundational Documents Improvement Process Map of the strategic planning process, the data and information is quantified for analysis during the Study element of the Statewide Business Plan Cycle. During the Act element, the data and information is presented to Network Team members in a half-day March on-line data session and reviewed by all Network Team members at their facilitated April Regional day-long meeting where they provide their analysis in the morning and opportunities for improvements in the afternoon. During the Plan element, the Center Directors review the condensed inputs from the Regional meetings and make their recommendations for Plan modifications and opportunities to pursue. Also, during the Plan element, the Lead Center Team reviews the Center Director recommendations and makes any final recommendations to the ESD who makes the final decisions on all the annual Foundational Documents. Numerous improvements in the overall process have taken place most every year and will be addressed in the "How you have improved the planning process" Section.

All Subcontracted Service Centers collect pre and post surveys from training attendees and evaluate the responses at a center level in order to determine if training outcomes are being achieved. Most centers identify needs and opportunities through direct contact with Clients and feedback obtained through community involvement. Some service centers obtain additional feedback through a Client survey process developed by that specific center.

How strategic opportunities are identified that align with the needs of key stakeholders, and how these needs translate into customer services and products or into new market opportunities ().*

As part of the Study (October-December) element of the Statewide Business Plan Cycle key stakeholder information is collected, reviewed and analyzed by the Lead Center. During the Act (January – March) element the information is provided to the entire Network Team members and an on-line half-day Statewide data meeting is conducted by the ESD. During the Plan (April – June) element all the information is reviewed by Network Team members and their inputs obtained at the Regional meetings. [Regional meetings are facilitated](#) and the process for the meetings is guided by notebooks created by the Lead Center that contain all relevant Program data with very specific questions asked of each attendee. This is followed by the May Center Director's meeting to review the inputs from the Regional meetings and provide their recommendations to the ESD and Lead Center Team. Then, after the Lead Center review and the ESD makes the final decisions, the Statewide Business Plan is created for the following Program Year. Additionally, updates are made as required to the Measures and Definitions documents. The Statewide Business Plan translates opportunities into Statewide Action Steps, which result in new services, products and/or markets.

In addition to the information collected during the Study element, the ESD and Lead Center Team obtain direct inputs from key stakeholders and often make minor changes to services, products and markets based on those inputs. Direct inputs that are strategic in nature are surfaced in the appropriate Statewide Business Plan element. Examples of direct key stakeholder interaction are:

US Small Business Administration (SBA):

- The annual OSBDC Funding Opportunity, our response to the Funding Opportunity, the Notice of Award (NOA) and NOA Terms and Conditions all provide information concerning stakeholder needs and service, product and market opportunities. Additionally, we provide the Program Manager weekly updates about the Program and hold quarterly meetings with the SBA District Office and SBA Resource Partners starting in August 2017.

Subcontracted Service Center Institutions:

- The ESD and ASDs meet face-to-face on site with President/CEO and/or leadership as least once per year. The ESD and ASDs annually brief and interact with the institution leadership that are part of the New Mexico Independent Community Colleges (NMICC) and the New Mexico Associated Community Colleges (NMACC) at their respective annual meetings. Quarterly meetings by the ESD and/or Lead Center Team are held with the Executive Directors of the NMICC and NMACC and stakeholder needs are discussed. The cooperative agreement with each Subcontracted Service Center provides the opportunity to deploy new services, products and markets.

New Mexico Legislature:

- Multi interfaces with members of key committees during Legislative sessions are frequent occurrences. Those key session committees are – House Appropriations and Finance, House Commerce and Industry, House Education, Senate Finance, Senate Education and others according to specific legislation. During the interim key committees include Economic & Rural Development, Legislative Finance and Legislative Council. Also, during the interim numerous formal and informal meetings are attended by the ESD and/or Lead Center Team. The needs of legislators for the services, products and markets we do and /or could provide are a normal part of these interactions.

The core competencies, financial and other resources needed to achieve the key strategic priorities (*).

The 6-part Professional Development Program and hiring processes (see Standard 5) provides a framework for ensuring core competencies are identified and possessed within the Network. Our Network core competencies allow us to leverage the full potential of our Strategic Advantages as listed in the Preface. An example of this is the ability for the ESD to fund numerous supplemental allocations to centers to build upon Network Team member skills and competencies.

The process to determine the financial and other resources needed to achieve strategic priorities and overall Program success is quite extensive and includes the following:

- Review of the annual OSBDC Funding Opportunity.
- Determining the contents of the proposal in response to the Funding Opportunity (another process).
- Deciding what financial resources to request in the annual Program budget proposal for State funding occurs, which is submitted to SFCC for review and approval. Once approved the request goes to both the Executive and Legislative branches of government and follows the established pathway. The New Mexico Higher Education Department does the Executive review and submits their funding recommendation to be part of the Executive budget recommendation. At the same time, our Program budget request goes to the Legislative Finance Committee (LFC) for their review and funding recommendation. Then during the actual legislative session both the Executive and LFC recommendations are reviewed by the House Appropriations and Finance Committee to determine the funding appropriation, which is then reviewed and modified by the Senate Finance Committee as they desire.
- The Notice of Award provides the initial Federal funding for the Program.
- The Lead Center then uses a detailed review and allocation process to determine Subcontracted Service Center locations and their respective base budgets.
- The approved budget allocation for each Subcontracted Service Center is created and included as an attachment to each cooperative agreement.
- A process for Supplemental funding for each Subcontracted Service Center is also done to help achieve desired results as determined by the Lead Center and/or requested by a Subcontracted Service Center. The sample Supplemental funding form is included within the cooperative agreements.
- The Statewide Business Plan outlines the measures and statewide action steps that enable the Program to move forward towards our strategic priorities.

Our Strategic Advantage of robust state funding allows the Lead Center and Network Team members to focus on being Client Centric rather than trying to find funding to sustain the Program. Our strategic priority of “Increase our services to clients through internal and external collaboration and technology” is also clearly enabled by our robust funding and will be further described within Standard 3. For this reason the Program’s strategy is aligned so that our values of Client Centric and Team ensure that the Strategic Advantages are maintained.

How key success factors are identified.

Methods to identify the key success factors include the Statewide Business Plan Cycle process, the OSBDC Funding Opportunity, the SBA Notice of Award, numerous surveys and multiple Lead Center Executive and Leadership Team meetings. Key success factors for our Program are:

- Creating awareness of the value of the services and products we provide
- Collaborating with our stakeholders and SBA Resource Partners
- Providing exceptional client services that provides a strong Return on Investment for our funders
- Ensuring that we are significantly contributing to the New Mexico economy by our services and products
- Embracing our Values throughout the Network

How you have improved the planning process.

The Statewide Business Plan Cycle includes multiple related activities that result in learnings and improvements in the Program's process for planning. For example, the Lead Center Team meets after each of the meetings outlined in the Cycle to conduct a facilitated Plus/Delta with a focus on improving the planning process. One significant Delta surfaced after the May 2018 Center Directors' meeting was the observation that many directors were hesitant to openly express their support/or lack thereof for possible Statewide Business Plan changes surfaced from the April Regional meetings. It was hypothesized that this was a result of peer influence and possible group think. It was also identified that in the April Regional meetings that trying to get attendees to reach consensus on wording for recommendations was actually an obstacle. After discussion the Lead Center Team surmised that using an anonymous voting system was worthy of consideration to address both observations. After on-line research three possible vendors were identified that had electronic voting systems. Meridian was selected and trial Demo [electronic voting devices](#) referred to as "Clickers" were obtained for use at this year's April Regional Meetings. Using PowerPoint slides and the clickers each attendee was able to express their opinion anonymously. This also allowed recommendation for the wording of suggested improvement to capture immediate percentage of support/nonsupport rather than group consensus. This trial yielded exceptional results and was extremely well received at all five April Regional Meetings. As a side note attendees expressed the use of clickers was FUN! The trial was continued to the Center Directors' May meeting with the same positive results and attendee positive reaction. The clickers proved to not only produce the intended results, but also improved the data collection and clearly was a time saving improvement. Based upon what was learned, the elimination of the issues of the two earlier observations and the demonstrated success of the clickers, the Lead Center Team proceeded to purchase the system and integrate it into the planning process. The Lead Center Team is continuing to evaluate the use of the clickers for many other applications including its remote voting capability (cloud based).

Another key improvement to the planning process was adding specific tools into the decision making process for what would be the Statewide Actions Steps in the FFY20 Statewide Business Plan. This was done to help ensure a management by fact process was being used. At the May Center Directors' meeting the clickers were used to evaluate the remaining Statewide Action Steps from the FFY19 Statewide Business Plan and a new system was used to evaluate the 11 proposed new Statewide Action Steps. A paper [Proposed New Statewide Action Steps Priority Matrix](#) was used that listed each proposed action step and Center Directors were asked to rate each step on 5 statements using a 7 point Likert scale. The five statements on matrix are "aligned with values, aligned with mission, aligned with vision, moves the NMSBDC towards WIGs and I support adopting the step". The ESD compiled the scoring results and used two dimensions to further the analysis – validity (the first 4 statements) and justification (last statement). The ESD then narrowed the proposed action steps to the top five and along with any remaining FFY19 Plan action steps the Lead Center Team evaluated the proposed action steps using a scale of High, Medium and Low to determine the final action steps, which were then approved by the ESD.

Additionally, for FFY20, the Statewide Business Plan Cycle had four changes as a result of following our planning process: elements were reordered to follow Dr. Deming's PDSA format, the title of the Check element was changed to the Study element to better align with Dr. Deming's format (Study element), added the [Lead Center Leadership Team's review and prioritization of proposed statewide action](#) steps (Plan element) and the Client survey instrument review was moved to the Do element in order to be updated and used by the start of the Program Year. These are other examples of organizational learning.

2.1 (b) Strategic Priorities

The strategic planning process identifies key strategic priorities, measures and timetables. Provide the strategic plan in the attachments and describe:

How key strategic priorities address challenges; leverage core competencies, strategic advantages and opportunities; and the needs of key customers.

Our key strategic priorities are aligned to the Program's mission to ensure progress towards our vision and being ever mindful of our values. The Program's three strategic priorities assist us with leveraging what the Program does best to meet the needs of our clients while navigating challenges and seizing opportunities. Examples of how our strategic priorities address the areas asked for in this section are as follows:

Increase our services to clients through internal and external collaboration and technology –

Due to the Program's robust state funding we are able afford the technology tools to facilitate internal and external collaboration allowing us to overcome the challenges involved with serving the 3rd largest SBDC service area geographically. Because we are largely a rural state with multiple host organization structures it is challenging to maintain staff at each service center possessing all core competencies. In the course of the current planning cycle it was surfaced through our data that our Type 1 clients (to be explained in Standard 3) had a high satisfaction rate, however the rate was slightly lower than for our Type 2 clients. Through this strategic priority we leveraged the synergy of the entire Network and using extensive collaboration with external partners such as the other SBA Resource Partners to address the needs of all Client Types both current and potential regardless of where they are located in New Mexico. This also helps the Program address language barriers whereas a Network Team member that understands and speaks Spanish can assist another Network Team member at another location with providing services to clients. Our Counseling Session Design Team which will be explained in Standard 5 was a FFY19 Statewide Business Plan Statewide Action Step directly linked to this strategic priority.

Increase awareness of the Program

As earlier discussed concerning the Program's vision the realization that in addition to providing exceptional service the Network's value was not known by all potential clients and therefore clearly an opportunity. The Lead Center Team leverages the entire Network Team in implementing this strategic priority through the Statewide Business Plan driving their daily activities. Network Team members use our Storybook (described in Standard 3) to establish client relationships and increase awareness of the Program during initial counseling sessions so that program participants in turn generate new client referrals. Our Stakeholder and Community Involvement Team (described in Standard 3) was a FFY19 Statewide Business Plan Statewide Action Step directly linked to this and the next strategic priority.

Ensure Program Sustainability

The measures linked to our two Wildly Important Goals as part of our Statewide Business Plan provide a primary avenue for the Lead Center Team to engage Network Team members in actively participating in this strategic priority. Network Team members enhancing their skills through our 6-part Professional Development Program (described in Standard 5) was a FFY19 Statewide Business Plan Statewide Action Step directly linked to this strategic priority.

The strategic priorities link to the human resources challenges are addressed by the Subcontracted Service Center's cooperative agreements, new hire orientation and the variety of Statewide and Center Director meetings. Other challenges such as the size of each service area, tribal lands and sovereignty and language issues are also linked to the strategic priorities. Our strategic challenge relating to "tribal lands and Native American sovereignty" was addressed in 2018 by establishing a full-time Service Center focused on exploring how the SBDC might be able to assist in starting Native American In-Home Child Care businesses. Starting July 2019 the effort towards Native American issues was refocused to a full-time project exploring how SBDC services can better serve the substantial Native American population in New Mexico with business start-ups and existing business growth. Additionally, collaboration with other Native American organizations that can assist Native American businesses is part of this project. The size of each Subcontracted Service Area are reviewed annually as part of the budget process to include whether service centers should be added, eliminated and/or consolidated. The needs of key clients are ever present in our strategic priorities and guide our continuous improvement activities. Leveraging our robust State funding and Program leadership stability towards serving the entire State of New Mexico is continually guided by our strategic priorities and Program values.

Key strategic priorities;

Our key strategic priorities are: Increase our services to clients through internal and external collaboration and technology, Increase Awareness of the Program, and Ensure Program Sustainability

The most important goals for these key strategic priorities and the timetable for achievement. ()*

As stated earlier NMSBDC uses the FranklinCovey's Four Disciplines of Execution and Discipline 1 is Focus on the Wildly Important – Focus on less to accomplish more. Therefore, we have two Wildly Important Goals (WIGs), which were created in 2015 and remain the constant focus of the Network. WIG 1 – Help entrepreneurs start new businesses, grow existing businesses and stay in business. WIG 2 – Build a consistent brand/image and communicate the program's value to stakeholders, partners, clients and the community. These two WIGs continue to guide Network services and performance and are essential to accomplishing our mission and moving towards our vision. WIG 1 and WIG 2 are in total alignment with our strategic priorities. Using the Statewide Business Plan Cycle the WIGs are reviewed and modifications are made annually as needed. This annual cycle produces the Statewide Business Plan, which matches the Federal Program Year and provides the timeline for Program actions. The measures for each WIG provide the information on the performance for the Network and progress towards WIG achievement. The four negotiated goals set by the SBA for the grant award are translated into WIG 1 measures and establish the timeline for completion as the FFY (October – September) and the Program has consistently exceeded all SBA established goals since the current strategic plan has been in place. The WIG 1 and 2 State measures are used internally by the Lead Center and Network Team to evaluate and improve performance. The Lead Center Team converts the WIG 1 measure of "Number of Jobs Created" into a cost per jobs created for the State Fiscal Year (July – June) and provides that to the New Mexico Legislative Finance Committee. Subcontracted Service Center cooperative agreement, Attachment A – Deliverables, establish performance expectations for the measures for each center (as described in

Standard 4). WIGs are expected to have long-term value and continued progress towards accomplishing them is desired and expected. The [Statewide Action Steps Alignment and Accountability Matrix](#) shows our timetables for achievement.

What changes, if any, are planned in the services provided, client segments, emerging markets and operations ().*

The six statewide action steps contained within the Statewide Business Plan establish the annual roadmap for continuous improvement in the services provided by the Network. The shift in our services to the Native American project is expected to extend our services to both rural areas and foster new business starts and existing business growth. Plans are also in place to begin a Technology Commercialization Accelerator at New Mexico Tech, which we believe can help propel the New Mexico economy. An input from an April Regional Meeting surfaced the need to add the example for Type 3 Clients (further explained in Standard 3) as a “Legacy Business”.

2.2 Strategy Implementation

The SBDC has a process to deploy the strategic plan throughout the network, which includes identifying necessary resources, measuring progress and modifying priorities. Describe how:

Strategic priorities are converted into actions ();*

As previously defined the Statewide Business Plan Cycle, the Statewide Business Plan, [Center WIG process](#) and the [Statewide WIG process](#) convert strategic priorities into actions that guide the Program. By managing by fact, the strategic priorities are translated into Wildly Important Goals and Measures and they then drive Program actions for the Lead Center Team and Network Team members. [Service Centers are assigned to one of five groups](#) (Alpha, Bravo, Charlie, Delta and Echo) and each group meets every other month. During the on-line Center WIG meeting each center's measurement performance and client satisfaction surveys since the last meeting are reviewed. Based upon the data each center identifies what WIG they want to improve and a single action to complete within the next 60 days that they hypothesize will move their center towards accomplishing the WIG they selected. In preparation for these meetings, each center's data is compiled by the Associate State Director that has oversight responsibility for that center. The ASD then conducts the on-line group meeting (Alpha and Bravo is the ASD OPD and the ASD GC has the other three) attended by all Network Team members within that group. Once the center proposes their action the ASD asks them if the action is aligned with the mission and our values. The action each center decides to pursue is recorded in a visible on-line spreadsheet known as “the [Center WIG Form](#)” and the results of their action on the measures is evaluated to identify if their hypothesis was correct and moved the center towards accomplishment of the selected WIG. The staff from each center is then asked what they learned from the action they took and its impact on measures. This learning is also captured in the on-line spreadsheet as well. If the action proved to be successful and efficient the center seeks how to build it into their operations to maintain the improvement. These meetings are recorded and archived so that discussion and learnings are captured for future reference. Center WIG meetings were primarily conducted by the ESD in the past and as the Lead Center Team focused on improving this process with our strategic priority of Program sustainability in mind this was expanded to have the ASDs conduct these meetings.

Statewide WIG meetings are held monthly with all Network Team members attending and are primarily conducted by the ESD. These on-line meetings focus on the Program as a whole and our performance on the measures comparing the % completed and the % of the Program Year that has passed, as well client satisfaction data year to date. Based upon the comparisons possible improvement actions are discussed and then implemented if needed. Each center is also asked to identify what commitments they will make towards being engaged in any current Statewide Action Steps that the Network is working on (normally only two steps are worked on by the Network at any one time). These commitments are recorded in an on-line spreadsheet known as “the [Statewide WIG Form](#)”. Meetings are recorded and archived so that discussion and learnings are captured for future reference. When Statewide Action Steps are completed the Lead Center Team evaluates the process used to complete the step and if the action moved us towards our strategic priorities. Lead Center reviews in 2018 determined that a formal process was needed to establish a Team to complete action steps rather than a committee process. The American Society for Quality's (ASQ) International Team Excellence Award Criteria was selected as a framework to accomplish action steps through Team efforts thereby aligning our process with our value of Team (this will be discussed further in Standard 5).

The Lead Center uses Microsoft Project to manage Lead Center actions and established a part-time position to serve as an overall Project Manager to identify and monitor these actions.

The Statewide Business Plan Cycle process produced the following FFY20 Statewide Business Plan Statewide Action Steps:

The current statewide steps for achieving WIG 1:

- Explore the concept of a single business plan template for Nascent (Pre-venture) and a single business plan template for existing businesses.
- Explore a process for identifying and evaluating new research tools and training the network on their use.
- Explore how to meet Type 1 clients' needs for advanced training.

The current statewide steps for achieving WIG 2:

- Explore the possibility of creating a unified workshop curriculum for use across the NMSBDC Network.
- Explore and implement a process for offering live client training across the state through online platform.
- Explore co-counseling opportunities, how to use technology and mentoring as delivery methods.

Actions are deployed throughout the network.

Since actions are deployed using the previously described processes a quick review of plan deployment helps set the framework for the further description of deployment of actions. The NMSBDC has a fully deployed Statewide Business Plan and other Foundational Documents that are monitored by the Lead Center Team through Statewide and Center WIG Meetings, leadership team reviews and is adjusted annually on a systematic Network-wide basis. The planning process was initiated at the Regional meetings in April of 2015 and rolled out (deployed) to the Network July 2015 at the recurring semiannual statewide meeting. The Statewide Business Plan for each Program year continues to be addressed and trained (deployed) at the annual July Statewide meeting, which allows approximately a two-month advance notice before the actual Program year begins (October – September). Each Subcontracted Service Center's cooperative agreement outlines the required Program Deliverables for their center in an attachment, however the cooperative agreement follows the State Fiscal Year (July – June) and therefore the requirement to follow the Statewide Business Plan is a stated requirement within each cooperative agreement.

Program actions are deployed by seven very distinct avenues described in the question above as follows:

- Center WIG meetings – Centers determine the action they will pursue to improve their performance on the Program Wildly Important Goals. This deployment method ensures center's improvement actions are aligned to our Wildly Important Goals and the Program strategic priorities. This process has been in place since August 2015 and can be viewed by all Network Team members in the NMSBDC Dropbox.
- Center WIG meetings – The learnings that centers realize from the action they took to improve performance often become a new action for the center to establish as a recurring process so that the improvement is maintained. This process has been in place since October 2015 and can be viewed by all Network Team Members in the NMSBDC Dropbox.
- WIG meetings – The other centers within the WIG meeting group often adopt the learning and improvement process from their peer centers and create that as an action within their center. The ESD and now the ASDs may share these learning with other groups as they deem appropriate. This has been in place since October 2015 and can be viewed by all Network Team members in the NMSBDC Dropbox.
- Statewide WIG meetings – Each center commits to the action they will take on the Statewide Action Step that is currently being addressed by the Network. This has been in place since August 2015 and can be viewed by all Network Team members in the NMSBDC Dropbox.
- Statewide WIG meetings – Network Team members volunteer to participate with Statewide Action Steps that are currently being addressed by the Network. This has been in place since August 2015. As previously mentioned within this document, in 2018 this changed to Network Team members volunteering to serve on Statewide Action Step Chartered Teams (this will be further explained in Standard 5). This can be viewed by all Network Team members in the NMSBDC Dropbox.
- Statewide WIG meetings – The Lead Center Team attends these meetings and based upon performance and client satisfaction data as well as the progress towards completing our Statewide Action Steps the ESD directs Lead Center Team members to work on clarifying specific items, develop training materials, create Team charters and/or work with a specific center(s) to help guide improvements.
- Lead Center Team – Actions related to the Statewide Business Plan Cycle and Statewide Business Plan are managed through Microsoft Project and are deployed on Regular Tuesday and Thursday meetings by the Lead Center Leadership Team. This was designed in July 2018 and has been implemented as computers, software and processes for this are put in place.

The on-line spreadsheets have been posted on the Network's Dropbox site since August 2015 so they are accessible to all Network Team members.

Workforce capabilities and capacities, and other resources are sufficient to support the achievement of the action plans ().*

Our strategic advantage of a Client Centric workforce and leadership stability ensures that the NMSBDC Program possesses both the capabilities and the capacities to accomplish our mission and achieve our actions plans. The highly skilled NMSBDC Network is comprised of business professionals with small business management and ownership experience. Our Center Directors and counselors have earned Bachelors Degrees, Masters Degrees and Doctoral Degrees from colleges and universities all over the nation, from the University of New Mexico to the University of Notre Dame. The pride and dedication of counselors shines through the successes of the small businesses they help each year. The ESD and the Lead Center Team use a variety of methods to determine and assess workforce capabilities and capacities. These include use of network volunteers, SBA Resource Partners; skills inventory of Network Team members, center director meetings, statewide meetings, on-line training, new hire orientation, other parts of the Professional Development, the ASBDC Conference attendance and perhaps most importantly our actual progress towards our measurable performance and value to New Mexico's economy. In the spirit of continuous improvement, the Lead Center Team in May 2019 adjusted the decision-making process for final selection of Statewide Action Steps to include a formal process for consideration of the resources and skills necessary to support each proposed Statewide Action Step.

The NMSBDC Network Team has not only proven to be sufficient to support action plan achievement, but the Team's collective performance has exceeded all OSBDC established Program goals since 2015.

Key performance measures and/or indicators for tracking progress are defined and projected into the future ().*

The measures for each Wildly Important Goal in the FFY20 Statewide Business Plan are:

"The following NM and U.S. Small Business Administration (SBA) measures are used to identify if the NMSBDC Program is meeting Wildly Important Goal (WIG) 1:

- Percentage of new business starts still in business after 3 years. (NM)
- Number of extended engagement clients with impact. (benchmarked) (NM)
- Number of jobs created or saved. (benchmarked) (NM)
- Dollar amount of growth in sales. (benchmarked) (NM)
- Number of new business starts. * (benchmarked**) (SBA)
- Dollar amount of capital infusion. * (benchmarked**) (SBA)
- Number of jobs supported. * (benchmarked**) (SBA)
- Number of clients served. * (benchmarked**) (SBA)

*Subject to change by the CY 2020 U.S. SBA OSBDC Funding Opportunity

** Subject to change by the U.S. SBA Notice of Award

The following NM measures are used to identify if the NMSBDC Program is meeting Wildly Important Goal (WIG) 2:

- Number of legislative visits. (benchmarked)
- Number of third party endorsements. (benchmarked)
- Number of media exposures. (benchmarked)
- Number of community presentations. (benchmarked)
- Improvement in perceptions from the institution survey.
- Improvement in perceptions from NMSBDC Client survey. "

These measures are identified and established through the Statewide Business Plan Cycle. The Subcontracted Service Center's cooperative agreements provide the required measures for each Center and benchmarks are established to project what the center's average performance would be through normal operations without any special emphasis. The Measures document within the Foundational Documents describes each Statewide Business Plan WIG measure in detail to aid Network Team members in their understanding of each measure.

The ESD projects measures into the future by monitoring the networks human and financial resources, projected turnover, SBA rules changes, etc. to project the realistic measurement outcomes for future years and makes control adjustments as deemed necessary to dial in the desired overall results.

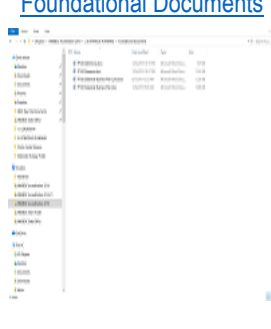
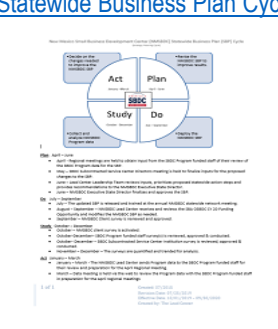


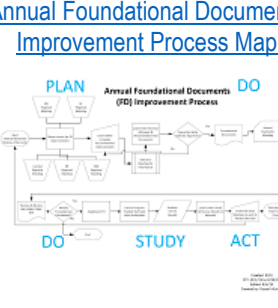
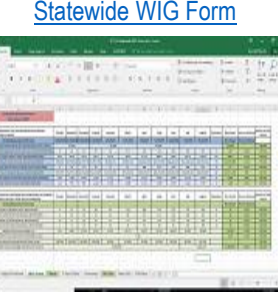
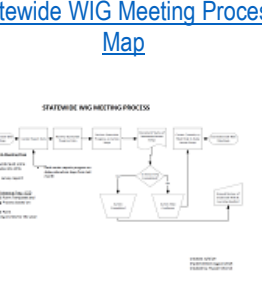
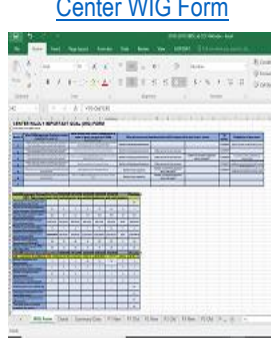
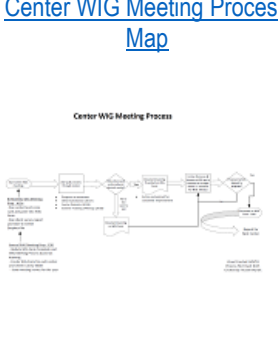


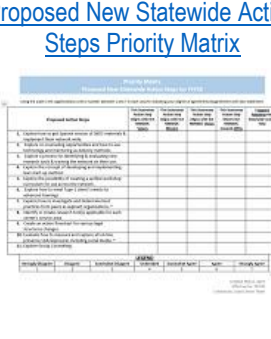
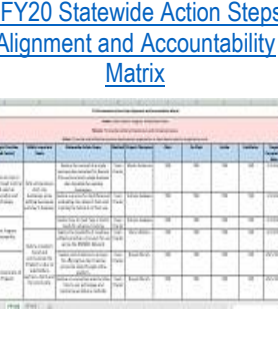
Plans are modified if circumstances require a shift and how new plans are executed.

The earlier described Statewide Business Plan Cycle outlines how modifications are made on an annual basis and how they are executed. One change to the cycle was made for the FFY19 plan when the actual OSBDC measures were not released until after the FFY19 plan was created. Reviewing the OSBDC Funding Opportunity for any possible plan revisions is now part of the Do element and helps us address the strategic challenge of the multiple fiscal/program years we face. If circumstances require plan modification due to resource changes or other factors the ESD would addresses this by meeting with the Lead Center Leadership Team and collectively revising the plan. Revisions would then be discussed with Center Directors during Center Director meetings or communicated via email or other methods according to the change

and what may be required to deploy the change. When a Measure or Definition that supports the Plan has required further explanation this is done by Center Director meetings and/or emails and then incorporated into the Foundational Documents as part of the normal Statewide Business Plan Cycle.

Exhibits – 2.0 Strategic Planning

These exhibits are provided in the Dropbox folder titled 2.0 STRATEGIC PLANNING and can also be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|---|--|---|---|
| Foundational Documents  | Statewide Business Plan Cycle  | Statewide Business Plan  | Measures Document  |
| Definitions Document  | Annual Foundational Documents Improvement Process Map  | Statewide WIG Form  | Statewide WIG Meeting Process Map  |
| Center WIG Form  | Center WIG Meeting Process Map  | April Regional Meeting Facilitator Guide  | Electronic Voting Device  |
| Proposed New Statewide Action Steps Priority Matrix  | Lead Center Evaluation for Possible FFY20 Statewide Action Steps  | FFY20 Statewide Action Steps Alignment and Accountability Matrix  | List of Center WIG Meeting Groups  |

3.0 STAKEHOLDER AND CUSTOMER FOCUS

Objective: Identify and segment stakeholders and customers; determine their requirements, expectations and preferences for each; build relationships; and determine satisfaction.

3.1 Stakeholder Engagement (Existing and Potential)

3.1 (a) Stakeholder Requirements and Expectations

The SBDC understands the requirements and expectations of its key stakeholders and any new stakeholders. Describe how the SBDC:

Determines their key stakeholder ()*

A clear definition of what constitutes a stakeholder was established in 2015 at the Statewide meeting as “The key decision makers who financially support the NMSBDC through direct or indirect contributions”. Our three key stakeholders are the New Mexico Legislature, US Small Business Administration and New Mexico higher education institutions that host a Subcontracted Service Center. This is reviewed annually using the Statewide Business Plan Cycle.

Listens to and interacts with stakeholders to understand how the SBDC aligns with their needs;

Systematic processes to collect relevant information to analyze and assess key stakeholders needs, requirements and expectations are in place. Survey data is used to identify gaps and strategies that need to be discussed in the next April Regional meetings.

US Small Business Administration (SBA)

- The ESD and ASDs interact with the SBA District Office on a regular basis to include set periodic meetings and as the need to talk occurs (normally a few times a month). The ESD interacts with the SBA District Director to discuss what SBA Headquarters is asking of his office and opportunities for collaboration. The ESD and ASD GC meets with the OSBDC during the annual Legislative meeting in Washington DC and seeks to understand how our Program aligns with their needs. The funding opportunity, our proposal submission, and the Notice of Award and its Terms and Conditions all provides other methods for listening and interacting with this stakeholder. The ASBDC Annual Conference, which is attended by almost all Network Team members, also provides an opportunity to listen to and interact with this stakeholder. The ESD and/or the ASD GC attend OSBDC monthly webinars. The [SBA regional administrator also visits New Mexico from time to time](#) and therefore provides another opportunity for interaction.
- Based upon an inquiry from one of our members of the US Congress to the SBA District Director concerning how New Mexico was positioned to rapidly assist small businesses (and homeowners) when a disaster such as fire, flood and weather strikes a community this was discussed at an SBA Resource Partner Quarterly meeting. It was determined by the Partners that this was a worthy opportunity for improvement. The ESD remembered a presentation dealing with disasters done by the Vermont SBDC at an ASBDC Conference. In August 2018, the ESD directed a charter be created for a Team of the Partners and others to form with the purpose being: “[The New Mexico Small Business Partners' Disaster Relief Work Group](#) (SBPDRWG) is established to create a robust responsive process for businesses and individuals to obtain financial assistance from the Small Business Administration (SBA) when disasters are declared in New Mexico. The work group is tasked with reviewing policies and processes relating to disaster relief primarily from the SBA; however, disaster relief from other organizations should be reviewed as well”. Using the Vermont plan as a starting point and adding additional members with expertise in disaster planning and response as the Team progressed, the team facilitated by an NMSBDC member, created a 77-page [Disaster Preparedness, Recovery and Response Guide](#). The guide was posted on the NMSBDC public website, briefed at the July 2019 NMSBDC Statewide Meeting and August 2019 [SBA Resource Partner Meeting](#). The creation of this guide is just one example of how we listen and align our efforts towards stakeholders needs, collaborate with partners, be Client Centric and improve our services to aid in New Mexico's economy. The local staffer for the US Congressman, in the response to the guide being created, said, “Thanks all for your work on this comprehensive resource guide. Hoping we won't need it but appreciative of all the thought and effort that went into crafting the document. It will be most helpful”.

Subcontracted Service Center Institutions:

- A variety of methods are used by the Lead Center Leadership Team to listen and interact with host institutions. Methods include [surveys](#), [quarterly meetings](#) with the Executive Directors of the [NMICC](#) an [NMACC](#), ESD annual site visits, interactions during legislative hearings concerning higher education, ESD annual meetings with the presidents/CEOs that make up the NMICC and NMACC, situational interactions (i.e. hiring, pay, organizational structure, HR issues), via center director interactions as needed, ASD GC interactions with the NMICC and NMACC presidents/ASDs to assist in the survey process. Center Directors are responsible for maintaining positive relationships with their host institution leadership.

New Mexico Legislature:

- Multi interfaces with members of key committees during Legislative sessions are frequent occurrences. Those key session committees are – House Appropriations and Finance, House Commerce and Industry, House Education, Senate Finance, Senate Education and

others according to specific legislation. During the interim key committees include [Economic & Rural Development](#), [Legislative Finance](#) and Legislative Council. Also, during the interim numerous formal and informal meetings are attended by the ESD and/or Lead Center Team. The needs of legislators for the services, products and markets we do and/or could provide are a normal part of these interactions. The Program holds an [annual Day at the Legislature along with the Star Client Reception](#). These provide quality opportunities for the Program's clients and Network Team members to share and listen with legislators and their staffs. In recent years, legislators in every legislative session have recognized our Star Clients during House and Senate Floor Sessions and recognized the NMSBDC Network for its contributions to New Mexico with a [Memorial](#). Centers are measured on the number of [legislative visits](#) they make during the year, which keeps them actively engaged in interacting with their state legislators. The ESD while visiting service centers sometimes meets with state legislators from the area he is visiting to listen to any concerns they might have. New Mexico in some aspects is a small state and it is not uncommon for Network Teams members to see their state legislators while in the community. Several attempts to do annual stakeholder survey have not yielded significant response since most legislators in New Mexico do not do surveys of any kind. This year we were able to obtain priorities for what some [legislators](#) on the two finance related committees thought were important for our Program to measure.

Listens and responds to feedback from key stakeholders ()*

The Program listens and responds to our three key stakeholders by both formal and informal methods at the Lead Center and center levels.

US Small Business Administration:

- The SBA provides feedback by SBA SBDC Project Officer to the Program through the annual Lead Center Program review, financial reviews every 2 years and center on-site reviews on a 2-year cycle. The Lead Center reviews this feedback and takes actions as necessary for possible improvements and corrects any issues from any of the reviews. The annual OSBDC Funding Opportunity provides the platform for our programmatic responses followed by the actual Notice of Award and Teams & Conditions. This annual cycle is a prime feedback and communication mechanism with this stakeholder. The Program has identified that a collaborative approach in working with this stakeholder produces multiple benefits and results in strengthening the reputation of the Program and the support for small business in our state. The semiannual narratives, quarterly EDMIS upload, programmatic and financial changes all provide opportunity for dialogue.

Subcontracted Service Center Institutions:

- The ESD, ASDs, Center Directors and other Network Team members have regular face-to-face interactions with host institution leadership to include quarterly meetings with the Executive Directors of the NMICC and NMACC, annual meetings with the NMICC and NMACC Presidents/CEOs, annual surveys, and other methods for listening and responding to these stakeholders. As situational issues arise host institution leadership provides feedback to either Center Directors, the ESD and/or ASDs and are always heard and responded to in a timely manner. The formal host institution surveys are included in the March data meeting and the April Regional meetings as part of the Statewide Business Planning Cycle.

New Mexico Legislature:

- It is important to note that New Mexico Legislators are citizen legislators and the only state legislators that serve without pay. As citizen legislators they are extremely accessible all year-long and during both legislative sessions and interim legislative sessions they are routinely available to talk to directly. At higher education and economic legislative hearings, legislators often provide highly complementary remarks about our Program, and will occasionally seek some additional information concerning our Program and it/s services. If any legislator's comments require a response these are dealt with personally and timely. Legislative staff members may also contact the Lead Center for information or assistance and our response is always timely. Legislators also visit service centers and interact with Network Team members. The legislative finance committee higher education analyst works with the Lead Center to discuss Program accountability for state funding and [ROI](#) target measurement.

Communicates the value the SBDC brings to all stakeholders and meets their expectations

As mentioned in the responses to the previous questions within Standard 3.1 the Program has a variety of communication methods. The Program's vision, strategic priorities and WIG 2 are aligned to specifically communicate the value of our Program to the three key stakeholders. These are executed through center actions and Statewide Actions Steps. For example, the FFY19 Statewide Business Plan included the Statewide Action Step "Explore ways to involve stakeholders and the community when clients (with their permission) start a new business or add new jobs". While this action will promote the Program overall it is specifically intended to provide opportunities to communicate the value of the Program to our stakeholders along with stakeholders having direct interfaces with our clients.

The Program WIG 2 measure of “[Third Party Endorsements](#)” helps the Program communicate its value to stakeholders by direct comments from the clients we serve. Stakeholders have frequently commented on their appreciation for hearing directly from the clients who are using our Program services.

The annual Day at the Legislature provides a unique opportunity for legislators to hear Program Star clients tell their story of small business success and be recognized by both host institution leadership and legislators.

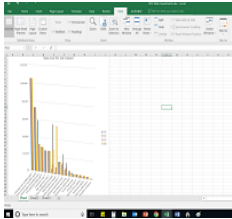
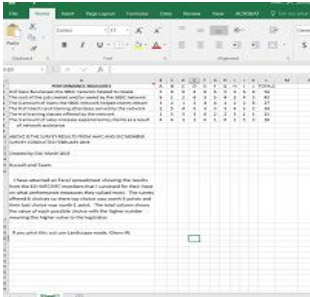

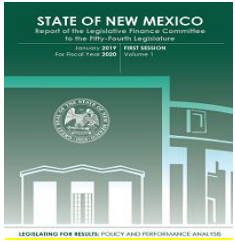
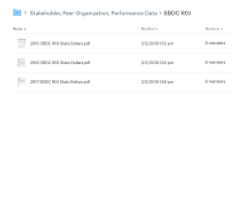
The ESD was the keynote speaker for the 2019 SBA SBW Awards in Albuquerque.

Evaluates the approaches used to understand stakeholder needs and improve them.

The Statewide Business Plan Cycle as earlier described provides a systematic process for understanding stakeholder needs and evaluating the approaches used. The Cycle and the actual Statewide Business Plan are evaluated for improvement annually to ensure the voice of the stakeholder is heard and acted upon. For example, every year survey questions for host institutions are reviewed for currency and modified if needed to ensure that actionable information is obtained from that stakeholder. The FFY19 Statewide Business Plan Cycle was modified to include a step in the Do element to modify the Statewide Business Plan if changes to the OSBDC Funding Opportunity exist. During the April Regional meetings all Network Team members are encouraged to surface any ideas for improving the approaches we use for understanding stakeholder needs. Any of these suggested improvements are discussed by the Lead Center Team for possible implementation and implemented if determined to aid in understanding stakeholder needs.

Additional Data (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|--|--|--|---|
| <p>ROI State Program Comparison Trend</p>  | <p>HAFC SFC</p>  | <p>2019 Network Team Member Perception Stakeholder Needs</p>  | <p>SBDC Service Center ROI</p>  |
| <p>ROI State Program Comparison Data</p>  | | | |

3.1 (b) Stakeholder Relationships and Satisfaction

The SBDC obtains information on key stakeholder satisfaction, dissatisfaction and engagement. Describe how the SBDC:

Builds relationships with existing stakeholders and acquires new stakeholders as appropriate. (*)

As described earlier the Lead Center Team and Network Team members has built strong relationships with our three key stakeholders. Within each of our three key stakeholders there is always new individuals (new local and national SBA officials, new host institution leaders and new state legislators) to establish a relationship with and inform of our services and Program value. For example, after each election of our state legislators each service center is provided the contact information for their area’s state legislators.

One of our FFY19 Statewide Actions Steps was to “Explore ways to involve stakeholders and the community when clients (with their permission) start a new business or add new jobs.” A chartered team (Standard 5) was established and in addition to the charter decided on three objectives to guide their efforts – being Client Centric, identify tools to use and train centers. Communicating newsworthy events is aligned to our vision and strategic priorities and the four phases the team came up with are – inform, involve, invite and be visible. As the team continues its efforts it will have a toolkit that is deployed for all centers use that will allow them to engage our stakeholder directly with our clients and vice versa.

Some examples of how stakeholder relationships are built and improved are as follows:

US Small Business Administration (SBA)

- The ESD and ASDs interact with the SBA District Office on a regular basis to include set periodic meetings and as the need to talk occurs (normally a few times a month). The ESD interacts with the SBA District Director to discuss what SBA Headquarters is asking of his office and opportunities for collaboration. The ESD communicates with the OSBDC Program Manager weekly. The ESD and ASD GC meets with the OSBDC personnel during the annual Legislative meeting in Washington DC and seeks to understand how our Program aligns with their needs. Some of our relationship building face-to-face meetings with SBA DC program offices during the 2019 ASBDC Conference included the Office of Native American Affairs – Shawn Pensoneau, Office of International Trade – Stephen Sullivan, our new Program Manager -Traci Giddens, Office of Disaster Assistance - Alex Contreras, Linda Low and Delores Rowen, and the OSBDC Acting Director - Bruce Purdy.

Subcontracted Service Center Institutions:

- A variety of methods are used by the Lead Center Leadership Team to listen to and interact, as well as to establish and build positive relationships with host institutions. Methods include surveys, quarterly meetings with the Executive Directors of the NMICC and NMACC, ESD annual site visits to each center that includes face-to-face meetings with host institution leadership. For example, some of the issues that have been discussed at the quarterly meetings with the two Executive Directors are how to increase survey responses from host institution leadership, administrative fees, legislative issues and priorities, how the Program can support their initiatives and how Program performance measures can help tell the story of how host institutions are contributing to the state's economic development. The ESD contacts new host institution leadership to welcome them and introduce them to the Program and our services. This is followed by a face-to-face meeting upon the next visit to their institution. The ESD builds relationships with host institution leadership as situations arise with issues, events and the Program.

New Mexico Legislature:

- As previously mentioned New Mexico legislators are very accessible and frequent contact is commonplace. The ESD, Lead Center Team and Network Team members build relationships by frequent interactions at legislative hearings during the legislative session and during the interim including formal presentations by the ESD to legislators. Our role of educating and advocating state legislators is on-going and always helps build positive relationships. Several WIG 2 measures are directly aligned for centers to build positive relationships with this stakeholder.

Listens to and obtains feedback from stakeholders

As previously discussed NMSBDC uses a variety of methods to listen to and obtain feedback from all of our stakeholders. Methods we use include regular face-to-face and on-line meetings, surveys, situational meetings, the OSBDC Funding Opportunity and Notice of Award and stakeholder visits to service centers.

Although not part of our three key stakeholders we do use two other entities to indirectly provide stakeholder feedback. These include the State Advisory Board and our five New Mexico members of the US Congress. The State Advisory Board (see Standard 6 for further description) members have been a voice to the ESD to advise, counsel and confer on policy matters pertaining to the operation of the NMSBDC Network, which includes feedback relative to our stakeholders. The ESD and/or ASD GC meet at least annually face-to-face with each of our New Mexico's five members of the US Congress to discuss small business issues, receive any feedback they might have obtained from stakeholders and ensure they are fully aware of our Program's value to New Mexico.

Assesses, analyzes, and responds to stakeholders' satisfaction and/or dissatisfaction.

The Statewide Business Plan Cycle (described in Standard 2) provides the roadmap for assessing, analyzing and responding to stakeholder satisfaction and/or dissatisfaction. Additionally, the ESD and Lead Center Leadership discusses stakeholder satisfaction during Regular meetings (described in Standard 1) on a frequent basis. In the rare instances where a stakeholder expresses dissatisfaction the ESD addresses the issue directly with the stakeholder in a timely manner.

Captures actionable information for use in meeting or exceeding stakeholders' expectations.

Through the Program's WIG 1 and 2 measures actionable information is captured. Actionable information is also captured through our stakeholder surveys and regular dialogue with stakeholders by the Lead Center Team and Network Team members. Through our Statewide Business Plan Cycle the captured information is analyzed and improvements are planned on a systematic basis. The cycle allows data to be trended data so that the Program can evaluate if our actions are moving us forward to exceed stakeholder expectations including OSBDC established goals for our Program. The April Regional meetings and May Center Director meetings provides the opportunities for the entire Network Team to discuss stakeholder expectation and surface actionable information.


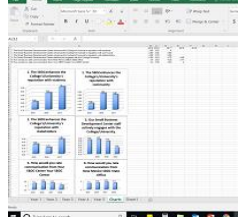
Assesses their methods to understand the satisfaction level of their stakeholders to improve them.

Our Statewide Business Plan Cycle in the Study Element one item is “October – December – SBDC Subcontracted Service Center Institution survey is reviewed, approved & conducted.” Also in the Study element SBDC Program staff are surveyed on numerous Program related items to include what they perceive are their host institution’s and state legislator’s needs and expectations. In the Act element one item is “January - March – The NMSBDC Lead Center sends Program data to SBDC Program funded staff for their review and preparation for the April Regional Meeting.” In the Act element one item is “April – Regional meetings are held to obtain input from the SBDC Program funded staff of their review of SBDC Program data for the Statewide Business Plan.” These methods all allow fact based decision making for assessing and understanding our stakeholder’s satisfaction levels and if our methods for doing so need improvement.

The listening methods explained in previous questions that are used by the ESD and Lead Center Team also allow for stakeholder satisfaction inputs to be evaluated by the Lead Center Leadership Team in Regular meetings (described in Standard 1). For example, the Lead Center Leadership Team in an effort to improve the response rate from host institutions made several adjustments to the host institution survey distribution method by involving the Executive Directors of the NMICC and NMACC in the process.

Additional Data (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|--|---|--|--|
| Stakeholder Surveys  | Annual Host Survey Trend  | | |
|--|---|--|--|

3.2 Customer Engagement (Existing and Potential)

3.2 (a) Customer Requirements and Expectations

The SBDC demonstrates how it defines and analyzes the requirements, expectations, and preferences of customer segments and potential segments. Describe ():*

The customer segments the SBDC currently serves and any potential segments being pursued.

Our Program uses the word “Client” versus the word “customer” which will be reflected as such within this self-study. While the NMSBDC Program provides services to all new or existing small businesses in New Mexico, we strategically align tools, resources, and marketing efforts to attract and serve the needs of the following key client segments: Type 1, Type 2 and Type 3. For America’s SBDC Accreditation Standard 3.2 the client is the customer.

Type 1

- Already in business when becoming a NMSBDC Program client.
- Interested in growth.
- Located in New Mexico or interested in New Mexico.
- Preferably an industry capable of creating economic base jobs.
- Will benefit from the services we provide.
- Is willing to listen and work with their SBDC business counselor.
- Is willing to do the work necessary to become a skilled entrepreneur and build a strong business.
- Will follow through on signing the Client Economic Impact Report.

Type 2

- A Nascent (Pre-venture) individual interested in starting a business.
- Has the resolve and/or the experience, financial resources and credit score to start.
- Business will be located in New Mexico.
- Is willing to listen and work with their SBDC business counselor.
- Will benefit from the services we provide.
- Is willing to do the work necessary to become a skilled entrepreneur and build a strong business.
- Will follow through on signing the Client Economic Impact Report.

Type 3

- Already in business when becoming a NMSBDC Program client.
- Is located in New Mexico.
- Will benefit from the services we provide.
- Provides a product or service that is critical to the quality of life, health or economic well-being of the community and may be at risk of relocating outside of the community or in danger of closing, such as a legacy business.

These three key client segment types were identified during the 2015 Statewide meeting and are reviewed and updated based on the Statewide Business Plan Cycle process. With our focus on the future, potential Client segments are always discussed in the April Regional meetings and surfaced to the May Center Directors meeting, however no new Client segments have been added. In April 2019, the Regional meetings identified the opportunity to improve the Type 3 client description by adding the words “such as a legacy business”. The words “legacy business” were also added to the Definition document in the Foundational Documents. In alignment with our value of Client Centric centers are allowed to modify the Client segment descriptors to fit the needs of Clients in their service area.

How the requirements and expectations are determined for each customer segment (existing and potential) and how the products and services provided meet their expectations.

During the Study element of the Statewide Business Plan Cycle one item is “November – December – The surveys are quantified for analysis.” The Client satisfaction survey data is sorted by Client segment type and trended. The Lead Center Team conducts the analysis with a focus on Client driven excellence and in the Act element, the following occurs “January – March - The NMSBDC Lead Center sends Program data to the SBDC Program funded staff for their review and preparation for the April Regional Meeting.” During the April Regional meetings during facilitated questions and discussions all Network Team members participate in evaluating the requirements and expectations for each Client segment as well as satisfaction of those segments with the Program’s products and services. The data from Client and Network Team member surveys concerning Client needs or perceived needs as well as Client satisfaction data are essential parts of our systematic process for determining Client requirements and expectations.

The FFY20 Statewide Business Plan lists our Program’s key services as:

- *Counseling* - We provide high quality business counseling that meets our clients’ specific needs, aligns with our mission and results in measurable outcomes.
- *Training* – We provide high quality training that meets our clients’ needs, aligns with our mission.

During the Client registration process the initial needs and expectations of Clients are automatically collected. For counseling Clients one of FFY19 Statewide Business Plan Statewide Action Steps was to “Develop a standardized process for initial counseling sessions and the first follow up counseling sessions across the NMSBDC Network.” A Chartered Team was established to accomplish this and with Network Team member engagement this was accomplished (see Standard 5 for the charter and the processes the Team created). As part of the Client intake process and the first two counseling sessions Client requirements and expectations are individualized to each Client for the business counselor. For training Clients, the registration process along with pre and post training surveys inform Network Team members of Client requirements. The guidance processes developed by the Counseling Session Design Team were trained for implementation at the July Statewide Business meeting and actual implementation begins with the Federal Program year (October 1).

A key service provided by our service centers to clients is the data and documents that are produced for them using from our “Research Tools”. “Research Tools” are defined in our Definitions Document as “An information resource contracted by the NMSBDC Lead Center that is used to developed skilled entrepreneurs and strong businesses by providing valuable business information to a client about their industry, market, customers, products, services, or financials.” Our research tools include: Bidmatch – government contracting, SBDCnet – custom research, Reference USA – business listings by industry, Demographics Now – GIS based demographics, Financial Projection Software (South Dakota) – financial planning and IBIS World – industry reports. Some tools are most often used for specific Client segments such as Bidmatch and Financial Projection Software for Type 1, while the others tools are most often used for both Type 1 and Type 2 and Reference USA is used for all three Client Types.

Evaluates the approaches used to understand customer needs and improve them.

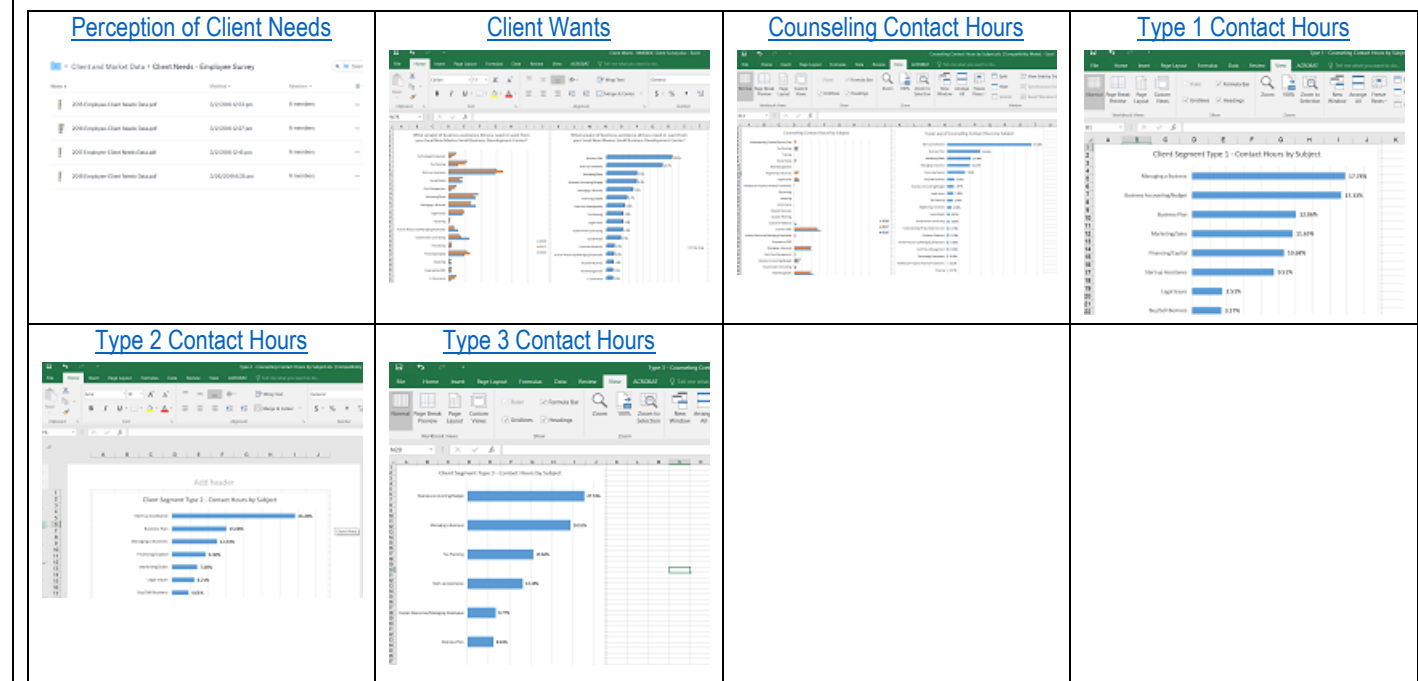
As previously outlined the annual Statewide Business Plan Cycle is one of the systematic processes used by the Program for evaluating the approaches for understanding Client needs. Each part of the cycle includes the opportunity to evaluate our approaches and surface possible improvements. As part of the Do element one item is “September – NMSBDC Client survey is reviewed and approved.” Client satisfaction is part of WIG Center meetings and WIG Statewide meetings and improvement opportunities may be revealed in any of these meetings. The outreach done by the ESD, ASDs and Network Team members directly to Clients at such events like the Star Clients Reception also provides opportunities for listening to Clients and therefore may influence the approaches used to understand Client needs.

In 2018, to better understand the state of rural small businesses, the not-for-profit Small Business Majority, conducted a three-pronged research project. The project was designed to explore the unique needs and challenges of small business owners in rural communities (for the purposes of this study, small businesses were defined as fewer than 100 employees). Focus groups with small business owners in rural communities in Georgia, Mississippi, New Mexico and Texas, were held and roundtable discussions with key stakeholders including Small Business

Development Centers (SBDCs), chambers of commerce, economic development organizations and local officials within these rural small business ecosystems were conducted. These qualitative findings were supplemented with a national poll of rural (defined by U.S. Census codes) small business owners across America. The ESD and several Network Team members participated in the roundtable discussions at all the New Mexico sites. As a result of this effort, Small Business Majority, released their report on February 12, 2019, entitled [“Examining the Unique Opportunities and Needs of Rural Small Businesses”](#) at the US Capitol Visitor Center in Washington D.C., which the ESD was invited to attend and attended (during the ASBDC Spring Conference). The report’s key findings are being reviewed and used to support the Program’s understanding of rural Client needs across the state and to help us advocate for rural small business support.

Additional Data (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.



3.2 (b) Customer Relationships and Satisfaction

The SBDC obtains information on customer satisfaction, dissatisfaction and engagement. Describe how the SBDC (*):

Builds relationships with existing customers and acquires new customers.

As previously presented, one of our Values is being “Client Centric”, one of our strategic priorities is “Increase services to clients through internal and external collaboration and technology” and one of our Strategic Advantages is having a “Client Centric workforce”. The Program is designed for the Network Team members to build relationships with Clients. The Network Team members are oriented into and trained on our values during on-boarding, new hire orientation, the other parts of the Professional Development Program (further described in Standard 5), Center Directors, the ESD and ASDs and other methods. Although all of our Network Team members have always focused on building positive Client relationships through their intake, counseling sessions and other Client interactions, during the April 2017 Regional meetings it surfaced that a review of how each centers does those three things could lead to Network-wide improvements. The [Counseling Session Design Team](#) (CSDT) took on this task and we now have Network-wide written guidance on how to do Client intake and the first and second counseling sessions that are focused on building positive Client relationships. Creation of our [Storybook](#), which is used during the first Client session to build relationships was a Statewide Action Step in the FFY17 Statewide Business Plan and implemented in 2017, and was improved by the CSDT. This guidance was produced by a TEAM of Network Team members, was fully endorsed by all centers and is soon be posted on the Intranet.

One of the Program measures for WIG1 is Extended Engagement Client with Impact which is defined as “A client with 5 or more hours of contact time per individual or business during that fiscal year or any prior year, that has resulted in a new business start, sales increase, job creation/retention, or capital infusion in the current program year.” This assists the centers with prioritizing their relationships with existing Clients with continued impact potential over a multi-year timeframe.

Based on peer organizational learning in January 2016 the New Mexico SBDC met by phone with the South Dakota State Director and the Maine State Director (separate calls) to identify their best practices based upon our identification as them being aspirant organizations. We learned from both state Programs that lender referrals were a key to their high performance outcomes in regards to Capital Infusion. Our Program then undertook an action step to review the data indicating the referral source for our Clients who had used the NMSBDC to assist them in obtaining a loan over the three-year period 2013 – 2015. The data indicated that 80% of the NMSBDC Capital Infusion came to us from Clients who had been referred to us by lenders. It was also discovered that 80% of our business starts came from partner referrals. For these

reasons and in alignment with our strategic priority concerning collaboration (mentioned earlier in this question response) the Program has focused on building lender and partner relationships to acquire new Clients. Through the Statewide Business Plan Cycle these became Statewide Action Steps for the FFY17 Statewide Business Plan. As a result, the Program dollar amount of Capital Infusion increased from \$31,158,177 in 2015 to \$38,431,164 in 2016, \$44,282,463 in 2017 and \$50,227,599 in 2018.

The Network Team members also acquire new clients by: participation in networking events, sponsoring large community events, newsletters, host institution and community presentations.

Listens to and obtains feedback from customers.

Network Team members listen to and obtain feedback from Clients using multiple listening posts such as [Client surveys](#) and training surveys, stakeholder survey, National Impact Survey, word of mouth, 3rd party endorsements, face-to-face meetings, comments from stakeholders that they have received from our Clients and Star Client interaction during the state legislative session. The concept of [Diagnostic Counseling](#) was embraced in 2015 and the ESD recorded an hour and 15 minute WebEx training session on this for listening to Clients and identifying their actual versus perceived needs. In 2019, we contracted Eric Spellmann to redo the recording into 14 separate 5 minute presentations for ease of retrieval and recording quality.

The State Advisory Board (see Standard 6) is comprised of small business owners, lenders and other leaders from organizations across the state that support small businesses. One of their duties is to serve as a listening post to provide the ESD with feedback concerning potential Client needs that might impact NMSBDC policy matters concerning small business issues within regions and/or the state.

Assesses, analyzes and responds to actionable customer feedback to continuously improve relationships with and satisfaction of customers.

The Statewide Business Plan Cycle (described in Standard 2) provides the roadmap for assessing, analyzing and responding to Client feedback and improvements to increase satisfaction with the services we provide. The Center (every 60 days) and Statewide (monthly) WIG meetings are designed to take both performance data and customer feedback data from discussion to analysis to action for improvement. Additionally, the ESD and Lead Center Leadership discusses Client feedback during Regular meetings (described in Standard 1) on a frequent basis. FFY Statewide Business Plans over the years have included Statewide Action Steps to improve Client relationships including the CSDT in the FFY17 Plan and Client follow-up for impact and relationships with Type 1 Clients in the FFY 17 Plan. A Lead Center action in 2016 responded to the Client needs concerning the use of social media by contracting Eric Spellman to educate the entire Network Team members concerning the use of social media.

Through the Statewide Business Plan Cycle in the 2017 April Regional meetings it was recognized that WIG 1 was in need of an additional measure for evaluating accomplishment. The measure "the percentage of new business starts still in business after 3 years" was added to the 2018 Statewide Business Plan. A part-time Network Team counselor was hired to research the current status of Clients that used SBDC services to start a business 3 years prior. These Clients are interviewed to ascertain the causes of their business closure if they are no longer in business or growth status if they are still in operation. Counseling session notes are reviewed to see if the SBDC ever discussed the specific risk factors, which were ultimately responsible if the business closed. Through this data and analysis, the Program is learning how it might improve the counseling provided to Clients during the startup phase. One example of this learning is that our data shows that Clients who have a business plan in place have a higher survival rate than those who don't.


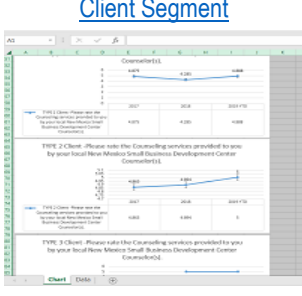
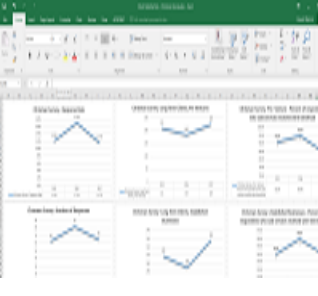
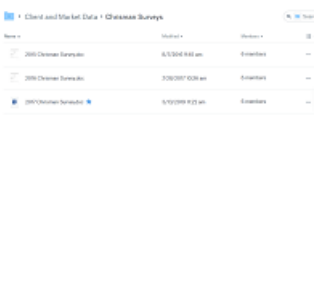

Captures actionable information for use in meeting or exceeding customers' expectations.

In addition to the three-year survival rate actions described in the previous question above, the Program uses Client surveys and the multiple listening posts described earlier in this section to capture actionable information. During counseling sessions with Clients our counselors are capturing direct actionable information from Clients on how the SBDC can address Client expectations. The CSDT's recent efforts producing a standardized guide for Client intake and the first and second counseling sessions aids in this information capture. The Statewide WIG meetings held every month requires the review of Client satisfaction survey results so that any dissatisfaction can be identified and dealt with in 31 days or less.

Captured actionable information flows into our Statewide Business Plan Cycle so that individual Client inputs influence how our annual Statewide Business Plan is improved. Our value of Client Centric keeps network staff members focused on not only meeting, but exceeding Client satisfaction.

Required Trend Data & Analysis (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|---|--|---|--|
| Client Satisfaction Trend  | Client Satisfaction Trend by Client Segment  | Chrisman Survey Trend  | Chrisman Survey  |
| Client Satisfaction Survey  | | | |

3.3 Marketing and Branding

The SBDC has a clear integration of its marketing strategy and image that conveys the SBDC as a cohesive network that is part of the national SBDC program. Describe:

The brand and the strategy for marketing the SBDC.

The statewide strategy is to use standardized information and logos that incorporate consistent [SBDC branding](#) on almost all materials such as business cards, rack cards and any advertisement of the Program's counseling and/or training opportunities. This consistency presents a unified organization across the state. Required processes are posted on the NMSBDC Intranet for creating and printing materials. All flyers, advertisements and other printed materials for Subcontracted Service Center use require approval of the ASD of Outreach and Program Development.

As discussed in Standard 3.2(b) the NMSBDC Storybook is used as a Program awareness and marketing tool for clients. The ESD and Lead Center Team provided numerous [formal and informal presentations](#) concerning the Program to numerous community and other groups such as the New Mexico Municipal League, the New Mexico Association of Counties at their annual member meetings, the New Mexico Higher Education Department leadership, the Legislative Finance Committee staff, numerous legislative session and interim hearings and host institutions at described earlier within this Standard.

As a result of our vision expansion in 2018 "to be recognized as such" and alignment to our strategic priority of "Increase awareness of the Program" and "Increase our services to clients through internal and external collaboration and technology", the strategy to market the Program is focused on telling our story thereby gaining potential client referrals from multiple sources. WIG 2 which is to "Build a consistent brand and communicate the Program's value to stakeholders, partners, clients and the community" and all measures inform us of our progress towards accomplishing the WIG and our strategic priorities. For example, we measure the number of community presentation that centers provide to entities such as local chambers of commerce, area legislative bodies, community organizations, schools, libraries and business networking events. The Program also measures the number of media exposures, which occur when centers publish client success stories, radio, on-line articles and social media. Statewide Action Steps for the FFY19 Statewide Business Plan included: all centers update their Google business page and get one review (completed), explore the term "partners" and create a statewide list (completed and posted on NMSBDC Intranet).

Center WIG meetings create a constant focus for the Network Team members to be mindful of increasing Program awareness and building a consistent brand.

We have been fortunate to have Michael Jordan and Tiger Woods as spokespersons to tell both our story and how our contributions led to their success – just kidding Mark and Al.

How a separate and identifiable logo is used consistently throughout the network on all information, materials and signage to convey it is a cohesive SBDC network.

The NMSBDC was among the first state programs to adopt the use of the national SBDC logo in 2012. The Program committed to retire all previous logos and color schemes that were being used prior to this date and rebranded with the "America's SBDC" logo. The launch began with unified business cards across the statewide program. A portal with approved templates and examples for a variety of printed materials was produced for ease of transition into the new marketing collateral. Through the portal centers can create, print, and order if necessary all collateral to promote their center's activities. Templates include newsletter, workshop announcements, and flyers for SBA Resource Partner activities among others.

The Subcontracted Service Center cooperative agreements spell out specific requirements as follows:

"SBDC Marketing and Promotional Matters - SBDC Subcontracted Service Centers are expected to participate in promoting the SBDC Program and SBDC Key Services in alignment with the NMSBDC Statewide Business Plan and the direction of the NMSBDC Lead Center. The SBA has specific restrictions and guidance concerning the use of the SBA logo, SBA disclaimer verbiage, promotional expenses and the use of client emails and contact information.

The following actions regarding promotion/branding of the NMSBDC Program or your SBDC Subcontracted Service Center require the prior approval of the NMSBDC Associate State Director of Outreach and Program Development:

1. purchasing any advertising or promotional services.
2. purchasing or creating any items for promotional purposes (e.g. rack cards, brochures, shirts, caps, logo pens, signs, banners, etc.).
3. use of any logo on any printed materials and/or online materials including websites and any social media platforms.
4. the creation, use or alteration of any business card for your SBDC Program funded staff.
5. emailing or mailing communication of any type to a client that is not part of a counseling session with that client.
6. releasing NMSBDC or SBDC Subcontracted Service Center measurement outcomes in printed or digital format.
7. submitting a nominee for any National SBA Small Business Week Award, any New Mexico SBA Small Business Week Award or any local, state, national or international award program.
8. developing and/or establishing any website, website pages, social media or email marketing accounts associated with the NMSBDC Program or your SBDC Subcontracted Service Center.

Additionally, cooperative agreements state: "Neither the SBA logo nor the acknowledgment of support statement may be used in connection with activities outside the scope of this program. In particular, under no circumstances may the SBA logo or acknowledgement of support statement appear on items used in conjunction with fundraising, lobbying, or the express or implied endorsement of any goods, services, entity or individual."

All Subcontracted Service Center locations have outside signage to incorporate the America's SBDC New Mexico logo. As required by the cooperative agreements "SBDC Subcontracted Service Center and satellite locations must have appropriate signage that identifies the facilities as a "Small Business Development Center" and must be clearly visible from the main road and/or parking area. In addition, the SBDC Subcontracted Service Center must display signage featuring both the SBA and the NMSBDC Network logos prominently at all facilities open to the public." Site visits by the ESD and Lead Center Team to Subcontracted Service Centers confirm signage is in place.

The NMSBDC Program Policy and Procedures Manual also provides requirements and guidance concerning logos and signage.

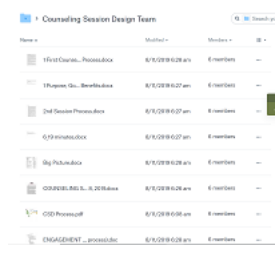


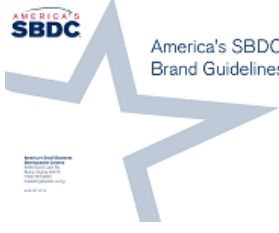
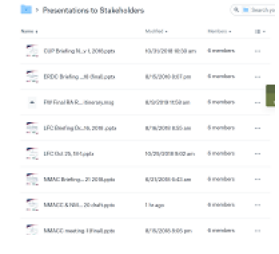







How the SBDC network acknowledges it is a member or an accredited member of the ASBDC through the use of the "America's SBDC" logo or accreditation badge.

By using the accredited member "America's SBDC" logo on our website, all of our marketing collateral and signage we acknowledge being an accredited member of the ASBDC.

Exhibits – 3.0 Customer & Stakeholder Focus

These exhibits are provided in the Dropbox folder titled 3.0 CUSTOMER & STAKEHOLDER FOCUS and can also be viewed by clicking on the hyperlinked images and/or titles below. Links to some testimonials have been provided below to demonstrate the strong support for New Mexico's SBDC Program.

| | | | |
|---|---|--|--|
| <p>SBA Regional Administrator Visit</p> | <p>Disaster Relief Team Charter</p> | <p>Disaster Preparedness, Recovery and Response Guide</p> | <p>SBA Resource Partner Meetings</p> |
| <p>Host Institution Leadership Surveys</p> | <p>NMACC & NMICC Combined Quarterly Meetings with Executive Directors</p> | <p>NMACC Leadership Meetings</p> | <p>NMICC Leadership Meetings</p> |
| <p>Legislative Economic and Rural Development Interim Committee</p> | <p>Legislative Finance Committee</p> | <p>Annual Day at the Legislature and Star Client Reception</p> | <p>Legislative Memorial</p> |
| <p>Service Center Legislative Visits</p> | <p>Finance Related Legislators Input on Priorities of Measures</p> | <p>Legislative Finance Committee ROI for Economic Development Programs</p> | <p>Third Party Endorsements</p> |

| | | | |
|--|---|---|--|
| Counseling Session Design Team Materials  | Storybook  | Client Surveys  | SBDC Branding Guide  |
| Formal & Informal Presentations  | Stakeholder Testimonials  <p>New Mexico Senator Michael Padilla</p> | Stakeholder Testimonials  <p>New Mexico Governor Susana Martinez</p> | Stakeholder Testimonials  <p>SBDC Day - New Mexico – Northern New Mexico College President Rick Bailly</p> |
| Stakeholder Testimonials  <p>New Mexico Lt. Governor John Sanchez</p> | Stakeholder Testimonials  <p>New Mexico Senator Pete Campos</p> | Diagnostic Counseling Training  | Examining the Unique Opportunities and Needs of Rural Small Businesses  |

4.0 MEASUREMENT, ANALYSIS AND KNOWLEDGE MANAGEMENT

Objective: The SBDC has a performance management system for driving and managing daily operations and for tracking overall organizational performance. This system includes measurement selection, data collection, data integrity, analysis and alignment with key strategic priorities.

4.1 Performance Measurement

SBDC has a systematic process which identifies how it selects, measures, verifies and analyzes performance data. The SBDC analyzes trends in key performance measures and other operational data, and benchmarks against other organizations to support continuous improvement. Describe how:

Key performance measures are selected and aligned with strategic priorities

Identification of key measures, data analysis, priorities, and alignment of priorities occur through the activities outlined in the recurring Statewide Business Plan Cycle. Review and discussion of statewide measures and performance occur monthly/bi-monthly through the Statewide and Center WIG Meeting process, which include ongoing learning and adjustments to actions throughout the year to achieve continuous improvement.

Key performance measures are determined in two ways. The OSBDC Funding Opportunity, our response proposal and the SBA Notice of Award provide the first set of measures. The most current SBA measures at the time of this writing are for FFY19 and are: clients served, new business starts, jobs supported and capital infusion. All SBA measures are “benchmarked” (see below for further information). The second set of measures are referred to as New Mexico (NM) measures, which are developed by the Lead Center and the NMSBDC Network through the Statewide Business Planning Cycle as discussed within Standard 2. During the April Regional meetings Network Team members discuss what

needs to be measured in order to provide the data the Program needs to be able to identify if the Program is moving towards accomplishment of the WIGs. The FFY20 NM measures for Wildly Important Goal 1 are: percentage of new business starts still in business after 3 years, number of extended engagement clients with impact (benchmarked), number of jobs created or saved (benchmarked) and dollar amount of growth in sales (benchmarked). Measures for Wildly Important Goal 2 are: number of legislative visits (benchmarked), number of third party endorsements (benchmarked), number of media exposures (benchmarked), number of community presentations (benchmarked), improvement in perceptions from the institution survey and improvement in perceptions from NMSBDC Client survey.

These 14 total key performance measures are in direct alignment with our strategic priorities and are an integral part of the WIG process as discussed earlier within Standard 2. The term “benchmark(ed)” is defined in the Definitions within the Foundational Documents and indicate the performance fair share of each Subcontracted Service Center as spelled out in Attachment A of each cooperative agreement.

Data is collected, verified and used in tracking short and long term operations; as well as overall performance levels. Provide trend data for KPI results, efficiency ratios, return on investment and other data as appropriate. ()*

Performance data is collected by using Outreach System’s Neoserra software. The system is accessed via the internet. Data entry is performed only by authorized Network Team members within the NMSBDC Network. Using Neoserra the client data is entered on a daily basis into the system and can be configured, downloaded and reported at all levels of the organization. Data verification is achieved through Subcontracted Service Center’s cooperative agreement Attachment I [Client Economic Impact Report](#) completion (this will be discussed further in Standard 4.2). Data from Neoserra is used for tracking performance during Center and Statewide WIG meetings and April Regional meetings as described in Standard 2.

The Program’s new hire orientation (described in Standard 5) ensures that all Network Team members are trained and capable of running a scorecard report from Neoserra in order to obtain their individual and center’s performance. These scorecards are used in the WIG meetings to ensure that centers are tracking and aware of their performance against their benchmarks at a minimum of every 60 days. In addition, these scorecards are used in the Statewide WIG meetings to ensure that all Network Team members are tracking and aware of the overall Program performance at a minimum every 30 days. The information obtained from the reports is used by the Lead Center Team to create visuals such as trend, pie and bar charts, which are used to convey Program data during the March Data meeting and the April Regional meetings as described in Standard 2.

Since 2015, the Program has significantly exceeded all of its SBA contracted goals and demonstrated improvement in most measures year over year. See [“Required Trend Data Analysis”](#) question below for our measures, efficiency ratios and ROI.

Key performance measures are used to support decision making, continuous improvement and innovation ()*

The annual Statewide Business Plan developed using the Statewide Business Plan Cycle includes the key performance measures. These measures are used throughout the year in Center and Statewide WIG meetings, April Regional meetings, statewide meetings and Leadership Team meetings to guide decision-making. The Statewide Action Steps within the Statewide Business Plan provide the Program pathways for innovation and continuous improvement.

The Statewide Business Plan Cycle is designed to flow our collected performance measures and data through a systematic recurring decision-making process of analysis, evaluation of potential gaps and opportunities, and the identified solutions into our Statewide Business Plan. This cycle ensures that the Program at a Statewide level is continuously improving and innovating.

The Center WIG meetings are designed to flow our collected performance measures and data through a systematic recurring decision-making process of analysis, innovation, learning and systemization at each center. This process ensures that the program at a Center level is continuously improving and innovating.

Key comparative data are selected and used to support decision-making and innovation.

The Program evaluates itself against the data of other SBDC State/Regional Programs and economic development organizations within New Mexico and uses learnings to support decision-making and innovation. During the Act Phase of Statewide Business Planning Cycle comparative data is gathered by the Lead Center Team and then presented to the Network during the Statewide Data Meeting (conducted online) and thoroughly reviewed by all Network Team members during the April Regional meetings. During the regional meetings, the comments from Network Team members, are captured and later reviewed by the Lead Center Team for presentation at the May Center Directors meeting. Then used by the Lead Center Team to advise the ESD for Statewide Business Plan changes, statewide action steps and Lead Center actions. The actual comparative data used is the SBA population based goals for SBDC Programs, SBDC square state spreadsheet and the NM Legislative Finance Committee (LFC) economic development org. cost/job report.

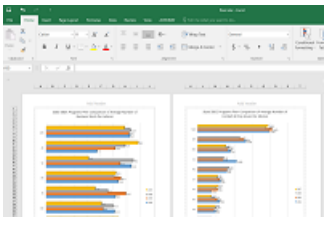
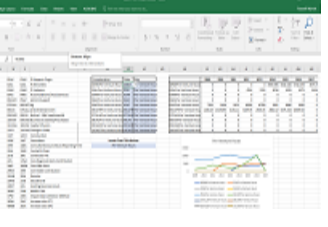
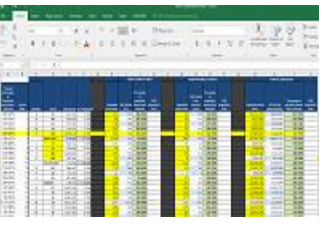
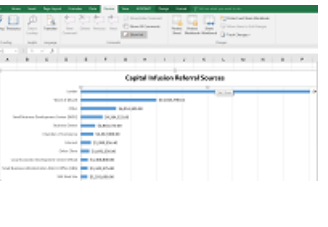
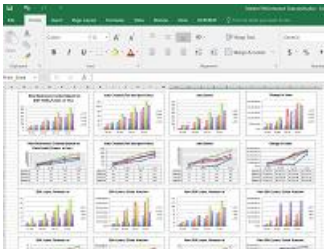
The NMSBDC participates in the National Impact Study contracted by the ASBDC, known as the National Economic Impact Report. This study, completed by economist James Chrisman, annually surveys clients receiving more than 5 hours of assistance two years prior to the year of

surveying. These figures are incorporated into a national results study of continuing satisfaction and long-term results. This report is also used by the Lead Center Team and Network during the Statewide Business Planning Cycle and reported to OSBDC during narratives.

The WIG meeting process allows exposure to other centers' data, which stimulates and drives continuous improvement and innovation through comparative center data.

Required Trend Data & Analysis (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|---|--|--|--|
| SBDC Peer Comparison  | SBDC Peer Model  | SBDC Peer Organization Chart  | Peer Learning  |
| Master Performance  | | | |

4.2 Data Integrity

The SBDC has a systematic process to ensure data and information is accurate and impact is attributed by the client. Describe how the SBDC:

Collects client attribution of economic impact.

The NMSBDC fully deployed a [client attribution based impact verification system](#) in October 2015. All impact is collected on a client signed economic impact verification report as it occurs throughout the year and is uploaded to the Neoserra database management system. The current collection document is entitled Client Economic Impact Report and is Attachment I of each Subcontracted Service Center's cooperative agreement. The following is stated within cooperative agreements: "All economic impact must be captured on the client signed Client Economic Impact Report (Attachment I) and must be attached to the specific corresponding milestone or capital funding in Neoserra. Milestones and Capital Funding entered into Neoserra without a corresponding Client Economic Impact Report will be marked as non-reportable by the NMSBDC Lead Center and will not count towards the SBDC Subcontracted Service Center's Deliverables." The document is posted on the NMSBDC Intranet as a fillable PDF for standardization and ease of use by Network Team members. The NMSBDC Program Policy and Procedures Manual also provides guidance for impact collection and reporting.

The requirement for Client attribution of collected economic impact occurs when the Client signs the Client Economic Impact Report, which states "The purpose of this document is to record what impact our work together had on your business success. Please indicated the results of our assistance below."

Verifies and validates the accuracy of data.

Subcontracted Service Center cooperative agreements and the NMSBDC Program Policy and Procedure Manual provide direction and guidance for data collection and entry into Neoserra. Network Team members are trained on data collection verification and validation during New Hire Orientation and attendees are required to do actual data entry during the class.

The requirement for data validation is fulfilled when the Client signs the Client Economic Impact Report. The business counselor signs the Client Economic Impact Report validating that they collected it.

The requirement for data verification is fulfilled when the Center Director reviews the Client record to verify that the counseling records support that the SBDC services were provided which would result in the collected data shown on the Client and business counselor signed Client Economic Impact Report. Once verified, the Center Director signs the Client Economic Impact Report and it is uploaded to the specific milestone or investment in Neoserra. Additional verification occurs when the ASD GC runs a quarterly filter to identify any and all milestones and/or investments that do not have an attached Client Economic Impact Report. Milestones and/or investments without an attached Client

Economic Impact Report are marked as non-reportable and the Center Director is notified so that data corrective action can be taken. If the data is corrected the ASD GC changes the milestone or investment to reportable status. In addition, the Associate State Director of Grant Compliance (ASD GC) routinely spot checks the client records for all centers to ensure proper collection and verification has occurred. Quarterly the ASD GC reviews the data and uploads it into the EDMIS system and corrects any errors identified after the upload (normally very few if any).

In 2017, the Program added the measure [Percentage of new business starts still in business after 3 years](#). To collect this [data](#) a business counselor is assigned to contact the SBDC Client 36 months after the Client's reported business start date. The Client is asked multiple questions about their current business status, challenges they face and it is identified if they are still in business. This [data is primarily used for other Program improvement purposes](#), but serves as a long-term verification tool that would identify any instances where a specific center or business counselor may have falsified data that a business was started and the Client reports differently.

4.3 Security and Confidentiality of Data

The SBDC has a systematic process in place to maximize security and confidentiality of all customer information and other data. Describe:

How customer data and other sensitive information is kept confidential and secure through all access points.

Our core values of Client Centric and Professional guide everyday actions by Network Team members concerning data security and confidentiality. Subcontracted Service Center's cooperative agreements, NMSBDC Program Policy and Procedure Manual, New Hire Orientation, WIG and other Network meetings are all used to address the confidentiality of client data. NMSBDC's [Code of Conduct/Confidentiality/Conflict of Interest Forms](#) (Attachments [N](#), [O](#) and [P](#)) of the cooperative agreements provide the guidance to ensure customer data is secure and remains confidential unless authorized for release by the client in writing (cooperative agreement forms R & S).

Client data is systematically entered and maintained in Neoserra by Network Team members, who once trained receive their Neoserra password by the ASD GC. The system is set to require passwords to expire every six months. In past years, SBA Form 641 data was captured either in paper form or on-line eCenter registration. In late 2018, the Lead Center Team was notified of three instances where a client paper file folder was left out on a desk where it was a potential risk for a non-Network Team member to view. While this did not result in any actual client data being viewed it was concerning to the ESD. For the last several years, Network Team members have been encouraged by the ESD to go paperless and use only eCenter registration. Therefore, the ESD decided to improve client data security by including in the current cooperative agreements with Subcontracted Service Centers the following: "The **ONLY** approved storage location for client information including client names, contact information, files or records is in the Outreach Systems Neoserra database (referred to as Neoserra). The SBDC Subcontracted Service Center is responsible for reporting all business counseling activity utilizing the NMSBDC Program's management information system software Neoserra. The SBDC Subcontracted Service Center shall require each business or individual requesting assistance to complete the SBA Counseling Information Form (SBA Form 641) through <https://nmsbdc.ecenterdirect.com> prior to commencement of any business counseling and/or training action. Beginning 8/1/2019 a SBDC Subcontracted Service Center must have all clients register through <https://nmsbdc.ecenterdirect.com> and a paper SBA Form 641 will no longer be accepted. Additionally, all paper SBA Form 641s in client files must be converted to electronic format by 1/1/2020 and stored in the client's file in Neoserra."

Security and confidentiality of all client information is addressed during New Hire Orientation (further defined in Standard 5) and during most Statewide meetings. Additionally, the NMSBDC Program Policy and Procedure Manual on page 16 states: "(o) No files or records may be removed from the premises of any center without the prior written approval of the ESD and SBA."

The improved awareness of Cyber Security risks has led to discussions with the Lead Center Host (SFCC) and Center Directors. One of the Lead Center initiatives later this year is to begin a contract with New Mexico Institute of Mining and Technology (NM Tech) to open a Technology Commercialization Accelerator as part of our Program. NM Tech is a New Mexico Center of Excellence for Cyber Security Education and our contract with them will require training in Cyber Security being extended to Network Team members.

4.4 Economic Impact Participation

The SBDC network participates in the impact studies of the America's SBDC and/or SBA and develops a process which strives to attain a statistically significant number of useable responses while adhering to survey protocol and maintaining survey integrity. Describe:

The SBDC's participation in ASBDC and/or SBA impact studies.

The NMSBDC participates in the National Impact Study contracted by ASBDC's, known as the Economic Impact Report. This study, completed by economist James Chrisman, annually surveys clients receiving more than 5 hours of assistance two years prior to the year of surveying. These figures are incorporated into a national results study of continuing satisfaction and long-term results. The information from the study is fully integrated into the Statewide Business Planning Cycle and used by the Lead Center and Network Team members to develop the annual Statewide Business Plan.

The response rate(s)




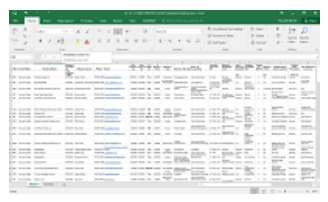


2018-2017 RR 12.6%, 2017-2016 RR 11.7%, 2016-2015 RR 17.1%, 2015-2014 RR 12.1%, 2014-2013 RR 10.2%, 2013-2012 RR 11.1%, 2012-2011 RR 13.1%

Any actions to attain a statistically significant response rate.

The Lead Center has attempted to increase the response rate to the National Impact Study by altering the method by which clients are contacted. From 2011 to 2014 the survey was administered by mail. For 2015 the survey was shifted to have clients respond via email resulting in roughly a 2% increase in the response rate. For 2016 the survey was administered using both mail and email and a 5% improvement occurred. The National survey shifted in several ways for 2017, which we attribute to the lower response rate.

Exhibits – 4.0 Measurement, Analysis & Knowledge Management

These exhibits are provided in the Dropbox folder titled 4.0 MEASUREMENT, ANALYSIS & KNOWLEDGE MANAGEMENT and can also be viewed by clicking on the hyperlinked images and/or titles below.

| | | | |
|--|--|---|--|
| <p>Client Economic Impact Report</p>  | <p>Client Attribution, Verification and Validation Process</p>  | <p>3-Year Survival Rate Presentation</p>  | <p>3-Year Survival Rate Data</p>  |
| <p>3-Year Survival Rate Analysis</p>  | <p>Code of Conduct, Confidentiality, Conflict of Interest Form</p>  | | |

5.0 WORKFORCE FOCUS

Objective: Create work systems and an environment that engages, manages, and develops the workforce to maximize its potential in alignment with the SBDC's strategic plan. The SBDC analyzes trends in human resources results to support continuous improvement and high performance.

5.1 Workforce Capability and Capacity

The SBDC has work systems, an organizational structure and staffing patterns based on analysis of key needs and strategies of the SBDC. This structure must align with the SBDC's strategic priorities and be designed to enable the workforce to achieve desired results and effectiveness while providing an opportunity to develop its full potential and achieve high performance. Describe how the SBDC:

Assesses staffing needs to include the skills, capabilities, and capacity ().*

The ESD identifies the number of staff needed for each assigned service area based on population and previous history of Program activity within the service area. Through the Program's Professional Development design, Center Directors are required to assess the capabilities of their staff and identify the specific skills staff need to develop to meet the client needs in their service area. The Network performance on measures inform the ESD on whether skills in specific measurement areas are sufficient or need improvement. A FFY19 Statewide Business

Plan Statewide Action Step was to “Create a skills inventory of NMSBDC staff and SBA Resource Partners”. This action step was completed in 2019.

As the Network improved its performance through designed process improvements the Lead Center’s capacity to coordinate that momentum became strained. To address this the EDS, in 2018, added a full-time special projects coordinator to assist with the variety of planned Program improvements and a part-time project manager to help improve Lead Center processes. In the coming months the Lead Center will further expand its capacity by adding a needed full-time data administrator, shifting a contract event planner to a full-time event planning/training coordinator and revising the vacant Program Coordinator into a much-needed Executive Assistant for the Program. These capacity improvements at the Lead Center have a direct positive impact on responding to Program and service center needs across the Network.

The Statewide Business Plan Cycle (as described in Standard 2) includes assessing skills, capabilities and capacity as well.

Recruits, hires, and retains workforce members.

The Lead Center Team and the Santa Fe Service Center staff are employees of Santa Fe Community College (SFCC) and follow the Human Resource policies and procedures of SFCC. The rest of the Network Team members are employees of their host institution and follow their institution’s policies and procedures. The Subcontracted Service Center cooperative agreements outline requirements for hiring Center Directors and other Network Team members and include what requires ESD coordination and approval.

The host institution recruits and hires Network Team members and the Subcontracted Service Center cooperative agreement provides the following requirements to host institutions concerning vacancies: “Any vacancy of SBDC funded positions must be reported in writing to the NMSBDC Executive State Director within five business days. Any position whose job responsibilities include client counseling must be advertised/listed/posted externally and on the americassbdc.org website. During the hiring process for a permanent replacement for your SBDC Subcontracted Service Center Director position, an SBDC Service Center Director from one of the NMSBDC Subcontracted Service Centers and a staff member from the NMSBDC Lead Center must be allowed to serve on the hiring committee. Hiring of any SBDC Program staff requires prior approval of the NMSBDC Executive State Director before an offer of employment is extended to the selected candidate. If the NMSBDC Executive State Director objects to your institution’s candidate selection, the NMSBDC Executive State Director shall provide a written copy of the decision to your institution. Your institution should then submit one of the remaining qualified candidates according your institution’s policies or conduct a new recruitment process for the position.”

The Program’s efforts to retain our workforce includes: Network Team member surveys to identify potential issues which may be within the Program’s ability to address; the ESD advocating for competitive salaries and benefits; [recognition of centers, individuals and teams](#) for their performance and contributions; providing funding for professional development opportunities including the annual ASBDC conference; built in networking opportunities and activities during statewide meetings; and creating a culture where their efforts are valued.

Organizes and manages the workforce to accomplish the mission of the SBDC.

There are two distinctly different segments of the Program’s workforce, internal, which are SFCC employees (grant recipient) and external which are Subcontracted Service Centers employees of various higher education institutions across the state. The ESD uses a combination of Theory Y management style and Situational Leadership to manage both segments. Since 2014, the Program has undergone significant staff turnover due to retirements, relocations and individuals accepting higher paying positions. This change in the Program’s workforce has necessitated a shift towards the ESD using Situational Leadership more frequently as new Network Team members were more accustomed to managing and being managed by a Theory X approach. Consistent with our focus on the future and valuing our employees, as the Network continues to evolve, the ESD plans to shift back to more of a Theory Y and Situational Leadership approach. As a brief reminder, Theory X explains the importance of heightened supervision, external rewards, and penalties, while Theory Y highlights the motivating role of job satisfaction and encourages workers to approach tasks without direct supervision.

Within the SFCC Program, employees there are also two segments – the Lead Center staff and a Service Center that covers Santa Fe County. The Center Director for the SFCC Service Center has the same relationship to the Lead Center as the other Subcontracted Service Centers and therefore does not report directly to the ESD. When the ESD came aboard in late 2014 he determined that creating two Associate State Director positions was needed for Program sustainability purposes. These two ASD positions along with the Principal Accountant and Program Coordinator comprised the Lead Center Team. In 2018, as Network performance and expectations were increasing the ESD decided to add a full-time Senior Special Projects Coordinator and a part-time Senior Project Manager. The Lead Center systematic meeting design described in Standard 1 is an essential tool for managing the Program’s workforce and accomplishing our mission.

Subcontracted Service Center staff are employees of their host institution and follow the policies of their institution. The cooperative agreement for each host institution provides guidance concerning organization and management of Network Team members as well as outlining the required Deliverables of each center. In 2018 and 2019 the ESD assigned the ASD OPD Group Alpha and Bravo (6 centers) and the ASD GC Group Charlie, Delta and Echo (12 centers) for conducting the WIG meetings, signing off on Professional Development Network Team members plans and accountability for Program performance within their assigned groups. Center Directors are responsible to manage their assigned staff in accordance with their cooperative agreement, Foundational Documents and the Program Policy and Procedure Manual in order to accomplish the mission of the SBDC.

Capitalizes on core competencies, reinforces a customer/stakeholder focus, and meets or exceeds performance expectations.

As stated in the Preface our Strategic Advantage of a Client Centric workforce as well as following our other Program values of Integrity, Professional and Team all contribute to the Program meeting and exceeding our performance measure expectations. Since 2015, the Program has significantly exceeded all of its SBA contracted goals and demonstrated improvement in most measures year over year. Our pursuit of continuous improvement using our Statewide Business Plan Cycle, the Statewide Business Plan, WIG meeting processes, network meetings and training, to name a few of our systematic approaches, ensures the Program is always improving.

The Lead Center Team balances the needs of our stakeholders so that performance expectations are met, but not at the expense of providing services to our rural clients. Our established core competencies keep the Program focused on serving our clients and meeting/exceeding stakeholder expectations.

Uses its structure and alignment to enable the workforce to achieve the desired results and high performance. Include contributions of other individuals beyond the core workforce, if applicable (for example: interns, students, faculty, and volunteers)

The Program is structured with Subcontracted Service Centers across the state who are familiar with the communities within their assigned service area. The Statewide Business Plan that includes our Values, Mission, Vision, Strategic Priorities, Wildly Important Goals, Measures and Statewide Action Steps (described in Standard 2) aligns the Network Team members direction and efforts so that high performance results are achieved. The Program's WIG processes are designed to enable the workforce to achieve the desired results as a reflection of the effectiveness of their actions for improvement.

Aligned with our strategic priority of "Increased services to clients through internal and external collaboration and technology" we have collaborated with SCORE, WESST, and VBOC to pilot co-sponsored trainings in several locations. SBA Resource Partners allow each other's counselors to attend their training offerings to enhance their knowledge and skills. We have implemented a co-counseling environment that we believe will enhance our counselors knowledge and skill levels by observing different counseling styles and expertise. Co-counseling with SBA Resource Partners through technology provides the opportunity to enhance our client services and leverage partner resources to allow the Program to focus on achieving our desired results. Quarterly meetings with the SBA and the SBA Resource Partners provide a forum for collaboration and foster the ability to work together to be Client Centric and contribute to growing New Mexico's economy.

5.2 Workforce Learning and Growth

The SBDC aligns its staff education and training to support achievement of the SBDC's strategic priorities, including the enhancement of workforce knowledge, skills, and leadership capabilities that contribute to organizational effectiveness, performance improvement, and succession planning for key personnel. Describe how the SBDC:

Identifies core competencies throughout the network necessary to achieve desired results including identified specialties important to the network ()*

The ASBDC core competencies were used as a baseline for network discussion and to develop an updated Program Professional Development Plan. In 2018 a committee consisting of Center Directors and counselors reviewed the ASBDC core competencies and adjusted them for our Program. These core competencies were based upon enabling statues of broad elements of expected business proficiency and were identified as:

1. Business Planning, including Strategic Planning and Business Plan Development
2. Financial Analysis
3. Accounting
4. Marketing
5. Assistance with Access to Capital
6. Communication Skills
7. Consulting/Counseling Techniques
8. NMSBDC Additional Specific Requirements

Two of the Strategic Challenges the Program faces are language barriers and tribal lands & Native American sovereignty. Since an estimated 29% of the state's population speaks Spanish at home as a first language the Program recognizes the importance of providing our services to these potential and existing clients. New Mexico's 11% Native American population is the second highest percentage in the Nation. These factors represent specialties important to Program and to our Clients.

Determines the professional development needs of the workforce;

Through the Program's Statewide Business Plan Cycle Client surveys are conducted to identify what Clients need and Network Team members surveys are conducted which collectively captures their professional development needs. During the April Regional meetings the collected data

is compared to ensure that the professional development meets the Network Team member stated needs and equips them to meet the Client stated needs. In 2018 the Lead Center Team undertook the initiative to better align the Program's professional development efforts with a set of core competencies as reflected in the FFY19 Statewide Business Plan Statewide Action Step of "Review core competencies and develop professional development training to ensure the network has those skills and capabilities as outlined in accreditation standard 5.2". This initiative led to the development of a 6-part Professional Development Program aligned with the identified core competencies, which is described further within this section.

Additionally, the Lead Center Team's review of the OSBDC Funding Opportunity and Notice of Award including its Terms and Conditions identifies if any new professional development needs should be addressed. For example, Cyber Security awareness was identified as a future need and is in the process of being added to the knowledge requirements that our Network Team members will be required to have.

Develops a workforce education and professional development strategy that meets or demonstrates progress toward achieving identified competencies for both the network and individuals.

The Professional Development Program is strategically designed to move Network Team members through a [progression of 6 parts](#) towards developing our workforce to acquiring the identified competencies. This strategy helps address our Strategic Challenge of multiple host organizational structures by having a consistent method for taking the diverse workforce the Program is able to acquire and systematically equipped them to meet Client needs.

The [6-part Professional Development Program](#) is as follows:

1. [On Boarding](#) (ALL)
2. [New Hire Orientation](#) (ALL)
3. [Professional Development Level 1](#) (Counselors) one year to complete after hire date
4. [Professional Development Level 2](#) (Counselors) one year to complete after completing Level 1
5. [Professional Development Level 3](#) (Counselors) encouraged to complete within one year after completing Level 2
6. Continuing Education (ALL) (The Lead Center will develop the approach in the future as Network Team members progress through the parts).

Parts 1 and 2 ensure foundational core competencies applicable to all Network Team members are addressed. The orientation process will be discussed in the next question. For parts 3-5 the levels are based upon an employee gaining the knowledge and/or skill required for each element of the core competencies. Therefore, this is not based upon on time exposed to an element or time bound except for overall completion of each level. Parts 3 and 4 which are Levels 1 and 2 are mandatory for all counselors including Center Directors as the identified competencies within those levels are consistent across the Network. While all Counselors are encouraged to continue into overall Level 3 certification, furthering a Counselor's knowledge and skills by specializing in one of the 7 elements such as Accounting. Continuing the growth of counselor knowledge and skills in order to be Client Centric is the primary objective.

Some of the additional improvements made to the Program's Professional Development Program include the skill of facilitating a Center WIG meeting (Level 2) and the skill of facilitating a Statewide WIG (Level 3). This was done so that Network Team members would have the core competency necessary to sustain the improvement process thus moving our Program towards our strategic priority of Program sustainability.

Center Directors coordinate with their Network Team members to create the member's Plan and evaluate the employee's accomplishments towards completing each task. For Center Director Plans an ASD is assigned as an Evaluator to help coordinate, create their [Plan](#) and evaluate the Director's accomplishments towards completing each task. Progress on Plans is required to be entered into Neoserra by each Network Team member so that the knowledge and skills within the Network are captured and can be tracked.

The on-line WIG meetings also provide a systematic method for workforce education by imparting knowledge and Network discussion concerning the contents of our Statewide Business Plan and how to provide quality services to our Clients. These WIG meetings are recorded and archived so that discussion and learnings are captured for future reference. Organizational and personal learning are directly impacted through this methodology.

Uses a systematic training/orientation program for new members of the workforce;

The orientation process has been in place since July 2015 and is scheduled approximately every 90 days. The five-day orientation included a lot of valuable lecture in the past. In 2018, the ESD, ASD OPD and an experienced trainer (Glenn Walters) reviewed the [training materials](#) and an orientation session. As a result of this review and what was learned the Lead Center determined that improvements could be made to enhance learning by attendees.

Starting with the November 2018 orientation session it was changed to a three-day program that focused on new hires acquiring specific knowledge and demonstrating skills. The session was improved to include several training delivery modes including some lecture, as well as

group discussions, role play and skill demonstrations. An attendee [Workbook](#) was added to aid learning, engagement and retention. Some of the knowledge items are provided to scheduled attendees in advance as read-ahead documents. The Knowledge items include:

- Understand the history of the SBDCs
- Understand the history and culture of NMSBDC
- Understand OSBDC, SBA, NMSBA and ASBDC
- Understand the NMSBDC Planning Process – cycle, mission, vision, values, goals, measures
- Understand Client Confidentiality, Conflict of Interest Requirements and Time and Effort Reporting
- Understand the New Mexico Lead Center – its role, staff and relationship To SFCC
- Understand the New Mexico SBA Resource Partners
- Understand your host institution and its relationship to NMSBDC
- Understand how NMSBDC is funded and federal and state program year
- Understand the accreditation process and standards
- Understand leadership styles, roles & responsibilities - Center Dir's

The skill items that are required to be demonstrated by attendees include:

- Ability to upload information into NEOSERRA and:
 - Enter client counseling session
 - Enter a milestone
 - Enter a capital funding
 - Enter a narrative
 - Enter Professional Development
 - Send an email that is counted as a counseling session
 - Add an attachment to a client file
 - Add an attachment to a counseling session
 - Enter a contact via eCenter or manually
 - Enter a client via eCenter or manually
 - Enter a trainee via eCenter or manually
 - Complete a paper SBA Form 641 and electronic equivalent (e-center)
 - Complete an Impact verification Form and upload it into Neoserra
 - Set up a training class in Neoserra

The Lead Center Team meets after every Orientation offering to identify opportunities for improvement. Improvements for the March 2019 orientation included the attendee Workbook having additional information and worksheets added to aid learning, engagement and retention. Also, for the March session a counselor that uses Neoserra on a daily basis was added to train the skill portion of Neoserra and ensure attendees could demonstrate that they had acquired the required skills. The August 13-15, 2019, orientation will include one additional Knowledge item and the use of the electronic voting system is being added to help the trainers know that attendees have actually acquired the required knowledge and reteach material if needed. For the future sessions after the August class the materials created by the Counseling Session Design Team will be added (this is not needed for the August class since all new hires were actually trained during the July Statewide meeting).

Assesses the effectiveness of the professional development offerings including what information is used to make changes to prepare the workforce to the changing needs of the marketplace.

The ASD OPD is the overall reviewer and approval authority of all Network Team member Program Professional Development Plans. In that role the ASD OPD identifies potential offerings based upon what Network Team members might use to complete a required task. The ASD OPD uses the two annual Statewide meetings to add professional development offerings for Network Team members. The Statewide Business Plan Cycle that includes Network Team member surveys asking about their professional development and the April Regional meetings provide opportunities for the Network to surface potential professional development offerings. The WIG meeting process also allows the opportunity for simple professional development offerings. The ESD provided funding in each center's annual budget allocation for each Center Director and counselor to attend the ASBDC Annual Conference and supplemental funding if requested by a center for support personnel to also attend the annual ASBDC Conference.

As previously stated, the Lead Center Team's review of the OSBDC Funding Opportunity and Notice of Award including its Terms and Condition identifies if any new professional development needs should be addressed. For example, Cyber Security awareness was identified as a future need and is in the process of being added to the knowledge requirements that our Network Team members will be required to have.

Develops leadership skills and plans for succession of key positions throughout the network.

The ESD includes the ASDs and other Lead Center Team members in Regular meetings and numerous other processes as described in Standard 1 to ensure Program continuity consistent with our strategic priority of "Ensure Program Sustainability". Full open communication between the ESD and Lead Center Team ensures knowledge of key decisions and processes including budget decisions and Program policies are known by the Lead Center Team. In 2018 and 2019 the ESD shifted a variety of Program's oversight responsibilities and activities to the two ASDs including professional development plan approvals, conducting center WIG meetings and Program accountability of assigned centers. The Subcontracted Service Centers were each assigned to a specific Group (Team) and the ASD OPD was assigned Groups (Teams) Alpha and Bravo and the ASD GC the Groups (Teams) Charlie, Delta and Echo. The ESD continues to develop the leadership skills of the two ASDs through mentoring and involvement in such activities as the annual ASBDC and Spring conferences and other ASBDC meetings and activities.

New Hire Orientation provides a foundation for knowledge and skills to be gained by the office holders of key positions. The ESDs on-site visits to service centers, Center Director meetings, WIG meetings and the ASBDC Annual conference all provide opportunities for Center Directors and other Network Team members to develop foundational knowledge and skills to enable Program sustainability and succession. The ESD has approved three service centers to have Associate Center Directors to help ensure continuity of operation at those centers.

The skill based Professional Development Program for counselors with three progressive levels ensures that our value of Client Centric is ever present and an aid to both developing leadership skills and Program succession.

5.3 Workforce Engagement

The SBDC maintains a work environment and a supportive climate that contributes to the well-being, satisfaction, and engagement of all personnel. Describe how the SBDC:

Supports a work environment that contributes to the well-being, satisfaction, and motivation of the entire workforce.

Our four values – Client Centric, Integrity, Professional and Team guides the everyday actions of Network Team members and provides the cultural foundation for our Program. Our values set the climate for our Network Team members to interact as a Team, with Integrity in a Professional and Client Centric manner. The Program's mission, vision, strategic priorities, Wildly Important Goals, measures and Statewide Action Steps all contribute to creating an environment that motivates our workforce and aids well-being and satisfaction. Our Program's Statewide Business Plan Cycle along with our systematic meetings (such as April Regional, May Center Directors, Statewide meetings in February and July, WIG's) ensures all Network Team members are engaged year-round. The April Regional meetings are held to engage the Network Team members regarding the Statewide Business Plan and the Program direction for the next Program year by receiving their feedback and suggestions for improvements.

During the 2015 Statewide meeting, the Network Team members expressed the need to meet face-to-face at least twice a year given the miles between each center and the time it takes to physically visit centers to make good peer connections and enhance relationships. The July statewide meeting was held as a five-day meeting for several years, however feedback from the 2018 July Statewide meeting determined that a three-day meeting, which would allow for travel time during the week was preferred. The three-day format was implemented as an improvement for the July 2019 Statewide meeting.

The Statewide Action Steps have been used to form committees of Network Team members to be involved in key Program improvement initiatives. While these committees aided in the completion and implementation of past Statewide Actions Steps, in 2018 for the FFY19 Statewide Business Plan it was decided that a more formal process was needed for Network Team members engagement on several of the Statewide Action Steps. Using the American Society for Quality's (ASQ) International Team Excellence Award Criteria as a guide the Lead Center implemented the [process of establishing chartered teams](#), with volunteers from the Network to serve as the Team leaders and members, and facilitated by experienced Lead Center Staff (Glenn Walters or Michael Silva). The [Counseling Session Design Team](#) and the [Stakeholder and Community Involvement Team](#) (Statewide Action Steps), both used our improved Team engagement design and was well received by Network Team members.

Each year the Lead Center recognizes a [center of the year](#), [job creator of the year](#) and selects the [state star](#). This recognition opportunity helps engage the workforce and contributes to well-being, satisfaction and motivation.

Ensures and improves workplace health, safety and security.

The two surveys described later in this section provide direct input from Network Team members concerning workplace health, safety and security. The systematic process as to how this survey data is used for improvement is also presented later in this section. During the on-site visits by the ESD and both ASDs to each of the Program service centers and satellite locations the safety and security of each and every Network team member is reviewed. If any concerns are raised by Network Team members or observed by the ESD and/or ASDs it is immediately brought to the attention of the host institution's leadership. Network Team members participate in their host institution's training concerning health, safety and security and follow the related policies and procedures of their host institution.

Ensures workplace preparedness for disaster or emergencies.

Each host institution provides policies and procedures for Network Team members to be prepared for disaster or emergencies. The Lead Center staff follows the preparedness instructions from SFCC. The portion of the 77-page [Disaster Preparedness, Recovery and Response Guide](#) discussed in Standard 3.1, concerning Preparedness, is being used by the Lead Center to review plans and processes to prepare for disaster and/or emergencies. As stated in the Subcontracted Service Center's cooperative agreements the Program's has set timelines for going paperless in regards to Client files. This effort should enable continuity of operations should a service center experience flood, fire, etc. Outreach Systems hosts our Neoserra database in secure facilities with offsite redundant daily backups.

Provides the workforce an opportunity to provide feedback to determine the key factors that affect workforce well-being, satisfaction and motivation; how it is analyzed; and how this information is used to understand the various needs of appropriate workforce segments.

During the Statewide Business Plan Cycle Study element (October – December) two separate surveys are used to provide insights concerning well-being, satisfaction and motivation. The first [Network Team member survey](#) includes 18 questions and the second survey is the [Are We Making Progress Survey](#) of 52 questions. The two surveys are part of our Statewide Business Plan Cycle in the Study and Act elements, which describe when they are conducted, analyzed and provided back to Network Team members in preparation for the April Regional meetings. During the April Regional meetings all Network Team members review and discuss the data from the two surveys and provide their inputs for improvements. Following the Statewide Business Plan Cycle the Lead Center moves improvement inputs forward for the May Center Director meeting and then the Lead Center provides analysis to the ESD to finalize the next Statewide Business Plan. The surveys provide meaningful data to truly inform the Network Team members and the Lead Center on the needs and satisfaction of our workforce across our various positions at both urban and rural locations.

The variety of systematic meetings the Program uses including WIG, Center Director, Statewide Network and Lead Center staff all provide the ability to provide feedback concerning well-being and satisfaction and thereby improvement opportunities.

Supports the workforce via benefits and policies including items such as compensation, career progression and related practices that improve the workplace environment.

The ESD consistently advocates for proper compensation for the Lead Center staff and rewrote position descriptions in 2015 to create the two ASD positions and the Principal Accountant positions with all three individuals receiving a promotion and higher salaries. The ESD has also ensured that positions added to the Lead Center are compensated correctly by meeting with SFCC Human Resources staff (sometime more than once).

As described earlier all Network Team members are employees of their host institution, which as listed in the Preface is a strategic challenge. Since 2015, the ESD has discussed the proper compensation for Center Directors, business counselors and support staff with senior leadership at host institutions, which is most often successful. The ESD encourages all Network Team members to improve their skills through the Professional Development Program as described earlier and provides supplemental funding as requested to support Network Team member's individual growth and value to the Network. Our interactive discussions of our values of Team and Professional support our actions to improve the workplace environment for all Network Team members.

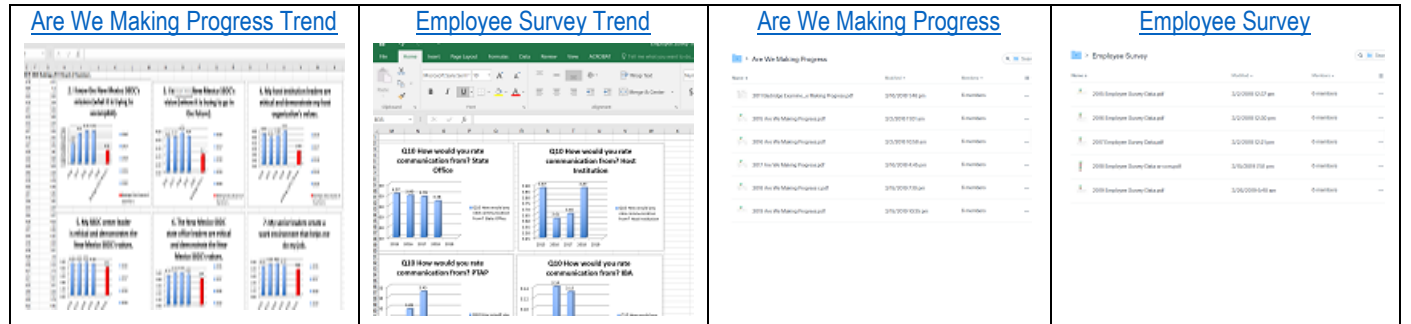
Provides facilities that are professional in appearance, adequate for the delivery of services and allow for confidential counseling.

The Subcontracted Service Center's cooperative agreement state the following: "The NMSBDC Executive State Director determines the locations for SBDC Subcontracted Service Center and satellite locations in New Mexico to ensure that services are readily accessible to small businesses. Your SBDC Subcontracted Service Center approved location(s) is/are listed on Attachment J." and "Your institution is expected to provide free-of-charge, adequate and accessible facilities for your SBDC Subcontracted Service Center to perform the key services outlined in this cooperative agreement. These facilities should include office space for private and secure one-on-one counseling, a reception/waiting area for clients, bathroom facilities accessible for both clients and SBDC Program funded staff, and any other space as required, along with access to telephones, computers, and internet connections. Your institution is also expected to provide free-of-charge, adequate classroom/conference room space for your SBDC Subcontracted Service Center to provide training/workshop SBDC Program events."

Site visits from the ASD GC and ESD confirm service center facilities are professional in appearance and are done prior to the ESD approving the opening of any service center or satellite location. Consistent with our value of Client Centric all approved locations ensure facilities provide private space for confidential Client counseling.

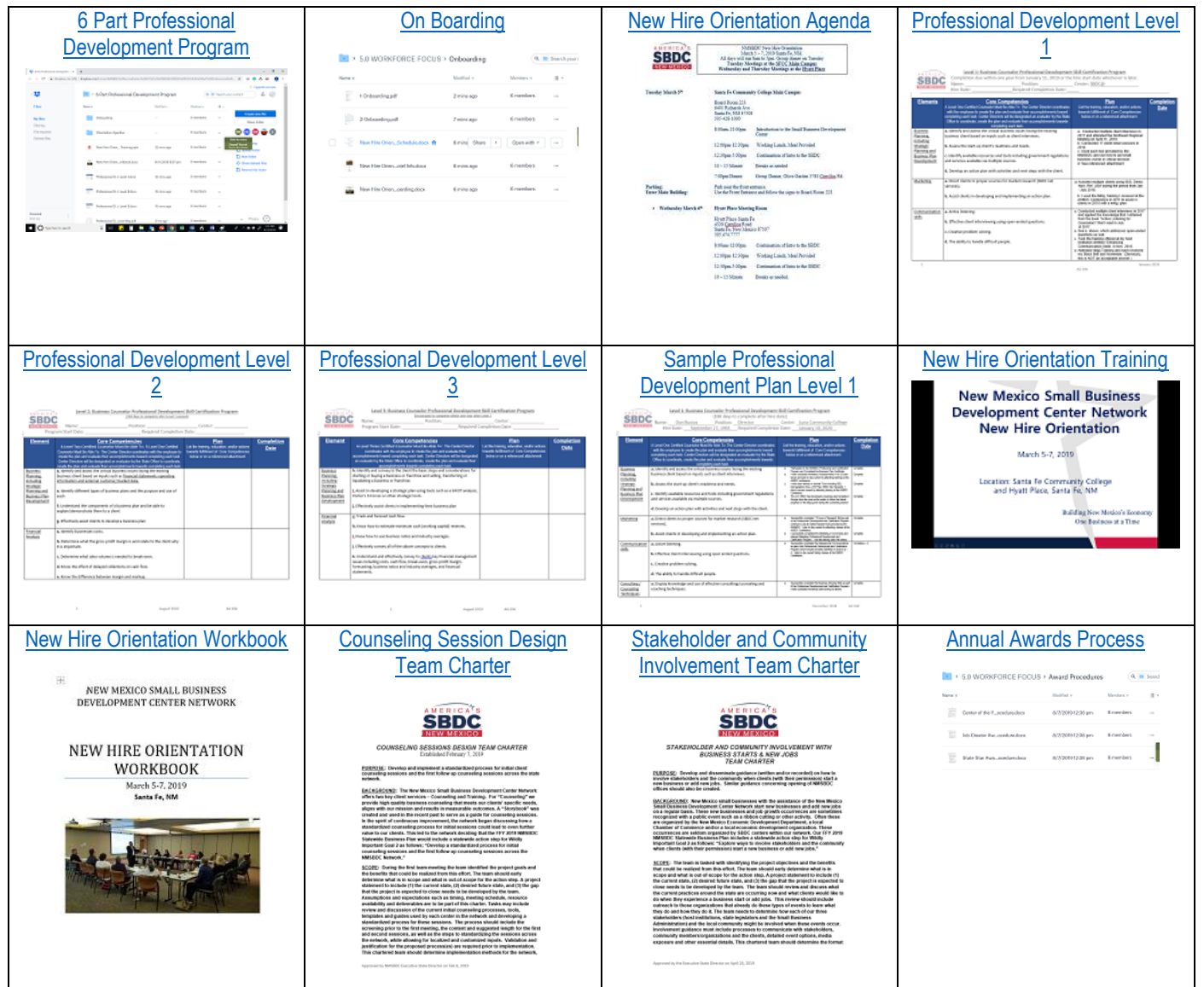
Required Trend Data & Analysis (tables, graphs and charts):

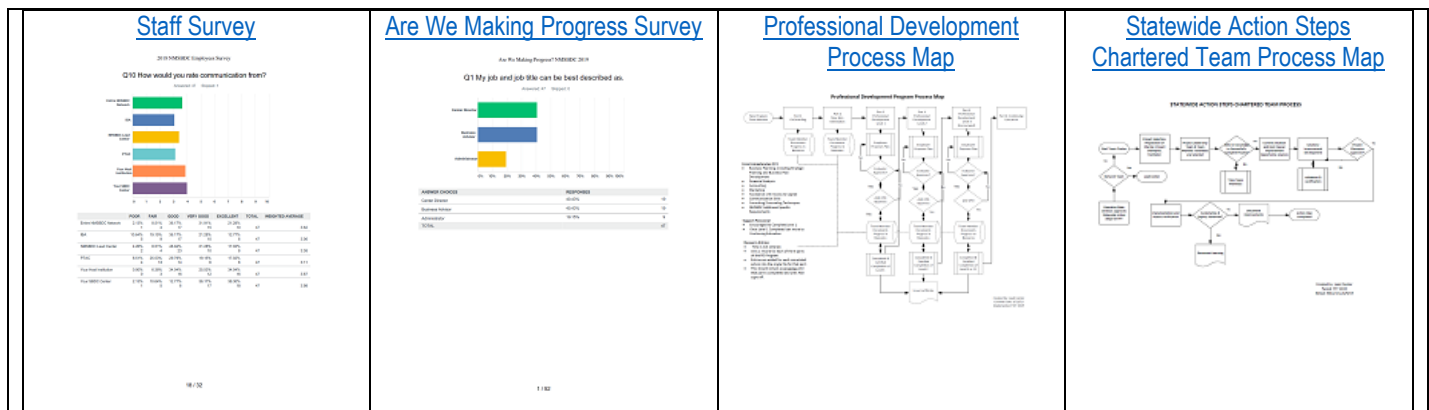
This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.



Exhibits – 5.0 Workforce Focus

These exhibits are provided in the Dropbox folder titled 5.0 WORKFORCE FOCUS and can also be viewed by clicking on the hyperlinked images and/or titles below.





6.0 OPERATIONS FOCUS

6.0 Operations Focus

Objective: The SBDC designs, delivers, manages and improves key services and supportive or critical work processes that maximize customer and stakeholder value; improves operational effectiveness and achieves organizational success and sustainability.

6.1 Service and Process Design

The SBDC has processes to select, design, deliver and manage key services to support customer needs, the SBDC mission and the SBA Cooperative Agreement, and other stakeholder needs. Describe the key services (*). For the key services, describe how:

The customer services are designed, managed and align with key customer needs.

The Statewide Business Plan defines the Key Services as Counseling and Training and the Client Segments as Type 1, Type 2 and Type 3. While the Program provides counseling and training services to all new or existing small businesses in New Mexico; tools, resources, marketing, and operations are aligned to attract and serve the needs of the three client segments.

In alignment with the Program's value of Client Centric, our services for client segments are designed and improved through the Statewide Business Plan Cycle, Center Director meetings, center WIG meetings, statewide WIG meetings and daily Lead Center Team meetings. Client services are managed through the Subcontracted Service Center's cooperative agreements, NMSBDC Program Policy and Procedure Manual, center WIG meetings, statewide WIG meetings and July statewide meetings. Key elements of our client services design and management come from the OSBDC Funding Opportunity, the Notice of Award and its Terms and Conditions and are part of the Subcontracted Service Center cooperative agreements and our Statewide Business Plan. As described in Standard 3 the Statewide Business Plan Cycle includes the review, implementation and analysis of Client surveys to help understand client needs. New Hire Orientation and professional development training as described in Standard 5 also contributes to managing and aligning Client services to Client needs.

Center WIG meetings improve the Program's services to customers by facilitating aligned operational improvements at a center level. These meetings enable Network Team members to develop an understanding of how their actions impact specific performance outcomes and learn to adjust center operations to meet the needs of their Clients in their assigned service area.

The Counseling Session Design Team (as described in Standards 3 and 5), which was a FFY19 Statewide Business Plan Statewide Action Step, standardized the expectation for counselors to invest the time necessary during the intake process and the first counseling session to clearly identify client needs. This was done to ensure that the services provided to a Client align to each individual Client's needs. All Network Team members were trained on the processes created by the CSDT and approved by the ESD at the July 2019 Statewide meeting. The processes and related documents are posted on the NMSBDC Intranet.

Performance is analyzed for quality, efficiency and effectiveness.

The Program's Statewide Business Plan Cycle and systematic WIG meetings ensure that performance is continuously analyzed for quality, efficiency and effectiveness at both the center and statewide levels. Through the Statewide Business Plan Cycle, performance data is analyzed, reviewed by all Network Team members and used by them to provide data informed recommendations for plan improvements at the April Regional meetings. By exercising the Programs' value of Team, developing and analyzing the plan and our performance, the network is able to leverage the skills, knowledge, and experience of our entire Network Team of small business experts.

The Program analyzes quality through performance outcomes and Client survey data by using the Statewide Business Plan Cycle and the WIG meetings. The statewide performance is reviewed by all Network Team members every thirty days during the Statewide WIG meeting and center performance is reviewed and analyzed by all Network Team members every sixty days during the Center wig meetings. Efficiency is

analyzed through the Program's return on investment to legislative stakeholders as compared to other New Mexico programs that help to create jobs and improve the state's economy. The use of SBA Resource Partners for co-counseling contributes to performance efficiency. Effectiveness is analyzed by evaluating the degree that all SBA measured performance outcomes not only meet, but exceed our SBA Notice of Award goals. Neoserra data and on-site reviews by the ASD GC are additional methods used to by the Program to ensure the quality of performance is accurately captured. The SBDC [Annual Report](#) shows the annual Program impact and recognizes each service center's Star Client. .

In 2018, the Lead Center Team studied the guidance provided concerning State Advisory Boards and restructured our [Guidelines](#) in 2019 to match the intent of the guidance. Our Guidelines now state "The New Mexico Small Business Development Center (NMSBDC) Advisory Board is established to help advise, counsel and confer with the State Director on policy matters pertaining to the operation of the NMSBDC Network, in accordance with 15 USC 648(j), 13 CFR 130.360 and OSBDC Funding Opportunity for each program year". The Guidelines are divided into three specific sections: Membership/Roles, Duties/Responsibilities and Procedures. Improvements in the new Guidelines include having specific two-year terms for [members](#), having 2-3 representatives from each region as well as members at-large and six ex-officio members including the SBA District Director. The new Guidelines became effective July 1, 2019, however actual implementation is planned on continuing through the first quarter of the State fiscal year as potential new members are identified. As stated within Standard 3 the Advisory Board members serve valuable roles as a listening post within their community concerning our Program and the advice they provide to the ESD.

In line with the strategic priority of "Increase services to clients through internal and external collaboration and technology" in 2016, the ESD set up a virtual center for one of our small rural communities using technology. This is basically an all in one, touch screen PC with a color laser printer/scanner that's sitting in a room at the local chamber. The process is designed so that a Client does not need to touch anything so it uses a Team Viewer combined with Skype and Zoom to offer a total hands free experience for the Client. The Client shows up at the appointment time and the counselor does the rest. The counselor turns on the computer remotely, launches the Skype call from the counselor's end to start the conversation then moves over to Zoom when it's time to get work done. The counselor can print to the remote printer to give the Client reports, loan packages, etc. If the Client has a business plan or something the counselor wants to see or work on, the Client just sticks it in the sheet feeder tray and the counselor starts the duplex scanner remotely. Once the document is scanned the counselor uses Team Viewer to instantly pull it over from the remote machine to their desktop. The design works for a Client who had never used a computer before and this method definitely accomplishes that because the Client literally never touches anything. The entire set up cost was less than \$1,000. This basically means if a community can provide us with reasonably high speed internet and a private room then we can provide them with SBDC services. This concept has proved to be effective and is planned to be used in several other rural communities in the coming years to help us address our competitive challenge of "Serving remote rural areas is a continuing challenge". The ESD shared this virtual counseling concept in a response to an email from the Texas Gulf Coast SBDC in March 2018 sent to the SBDC Network asking "if anyone has had or is having any experience with virtual advising? In other words a full-time advisor who registers a client and conducts the advising process virtually and completely through the use of technology". The Alaska SBDC State Director responded to the ESD email as follows: "Wow...this is brilliant! Mind if I try something like this in our rural communities in Alaska? We've been trying to work out a system for providing service to smaller communities that have only gotten internet in the last few years and the technology barrier has been a real sticking point for us. Taking the user out of the technology equation never even occurred to me. I'd love to hear more about the tech you use and the way you do outreach to attract clients in the community you operate in. Thanks for sharing, this was the best feedback on this email thread by far!" At the Alaska's SBDC request the ESD had several follow-up conversations and Alaska decided to implement this concept, which is [now operational in Alaska](#).

Data is used for continuous improvement of processes.

Our mindset of continuous improvement is built within multiple processes the Program uses for fact based decision-making based upon data. This is done via data usage throughout the Statewide Business Plan Cycle, systematic WIG meetings, Lead Center Team meetings. The Statewide Business Plan Cycle during the Study, Act and Plan elements produces data that is used for continuous process improvement. The annual March data meeting as part of the Act element and the April Regional meetings as part of the Plan element are clearly focused on using data for process improvement. For example, data from client surveys indicated some variance in the intake and counseling approach amongst centers. These variances led to the creation of the FFY19 Statewide Business Plan Statewide Action Step of "Develop a standardized process for initial counseling session and the first follow up counseling session across the NMSBDC Network." and creation of the Counseling Session Design Team (described earlier). Another example was the Client survey process change in 2016 where it was identified that the method of collecting Client surveys annually did not allow the Program to rapidly resolve Client dissatisfaction concerns. Programming Neoserra to automatically send Client surveys out when the second counseling session is entered into the database ensures that Client concerns can be identified and addressed within 30 days.

During the 2017 April Regional meetings and the subsequent 2017 Statewide Business Plan Cycle meeting, Wildly Important Goal 2 was modified to include the words "program's value". While communicating the "program's value" to stakeholders and Clients was clear, as the year progressed and moving into the 2018 and 2019 Statewide Business Plan Cycles discussion continued concerning of how we communicate the "program's value" to partners and well as "and the community" which was added to the goal in 2019. These discussions resulted in the words "partner" and "community" being defined in the Definitions Document of the Foundational Documents and the FFY19 Statewide Business Plan Statewide Action Step of "Explore the term "partners" and create a statewide list". This was completed in May 2019 and a [list of partners](#) for each service center was posted on the Intranet. This list creates numerous opportunities for outreach to service center's existing partners and

provides all service centers a listing that can be used to improve the “program’s value” through collaboration, co-hosting and also Client referrals.

Specialty programs are leveraged with and integrated into the SBDC network ().*

Through the Statewide Business Plan Cycle the Lead Center in 2018 identified two opportunities for improvement by developing specialty programs to meet stakeholder and client needs.

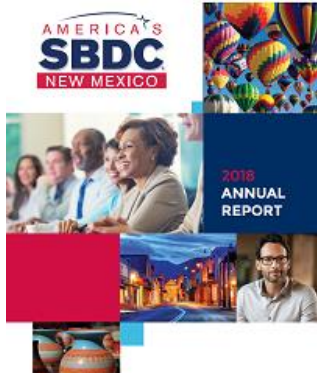
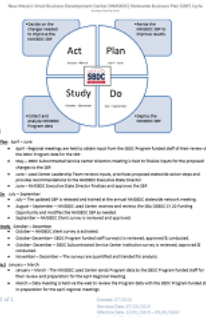
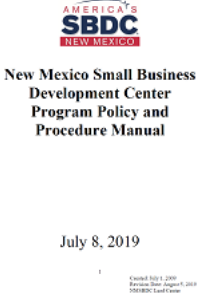
- Native American – aligned with our Strategic Challenge of “tribal lands and Native American sovereignty” the ESD established a Service Center in 2018 to research and provide assistance to start Native American In-Home Childcare businesses. It was known that the lack of childcare providers on and near Native American lands was an obstacle to individuals seeking employment and pursuing educational opportunities. The learnings determined that helping to start Native American In-Home Childcare businesses was not really a viable strategy for the NMSBDC to pursue. During that center’s 2019 April Regional meeting the Lead Center Team and the Center Director determined that this initiative should be revised to a program rather than a center and be focused solely on helping Native Americans start and grow small businesses. The plans for how this initiative will determine the best methods for creating and serving these businesses are being formulated by the project director.
- Technology Commercialization Accelerator – Envisioned in 2018 as the result of an identified gap in the state’s ability to convert developed products and technologies into the commercial marketplace, this program is intended to aid in meeting that need. The Lead Center selected New Mexico Institute of Mining and Technology (known as NM Tech) to manage this program and the NM Tech President is moving the university to be an Entrepreneurial University. On-going discussions and planning with NM Tech continue as this is projected to begin operation in the last quarter of this year. NM Tech has secured a location for this program and will soon be selecting an individual to work full-time for this program. A detailed Statement Of Work is being finalized and includes specific language from the FCY20 OSBDC Funding Opportunity, how the program will interact with our existing SBDC Program and other items to meet state needs. The Subcontracted Service Centers will serve as a lead generation source for Client referrals.

Two longstanding NMSBDC Network specialty programs which are funded by non-SBA funds are:

- IBA – described in the Preface this program is leveraged and integrated with the SBDC Program in several ways including: the Subcontracted Service Centers serve as a lead generation source for client referrals and vice-versa, the Director serves as part of the NMSBDC Extended Leadership Team described in Standard 1 and the program staff members attends statewide meetings. Expansion of international trade represents a significant opportunity for growing the state’s economy and this program’s supply-to-supplier efforts leverage that opportunity for small businesses across the state.
- PTAC- described in the Preface this program is leveraged and integrated with the SBDC Program in several ways including: The Subcontracted Service Centers serve as a lead generation source for client referrals and vice-versa, the Director serves as part of the NMSBDC Extended Leadership Team described in Standard 1 and the program director attends statewide meetings. One in four jobs in New Mexico are government funded and the PTAC Program ensures that small businesses can leverage the opportunity for participating in government contracting to grow their business.

Additional Data (tables, graphs and charts):

This data is provided in Dropbox and can be viewed by clicking on the hyperlinked images and/or titles below.

| SBDC Annual Reports  | Statewide Business Plan Cycle  | NMSBDC Program Policy and Procedure Manual  | |
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Exhibits – 6.0 Operations Focus

These exhibits are provided in the Dropbox folder titled 6.0 OPERATIONS FOCUS and can also be viewed by clicking on the hyperlinked images and/or titles below.

[Alaska SBDC Kiosk Article](#)



[Partner List for each Service Center](#)

[State Advisory Board Guidelines](#)



[State Advisory Board Members](#)