

U.S. Small Business Administration
Office of Entrepreneurial Development (OED)

COMMUNITY NAVIGATOR PILOT PROGRAM
NOTICE OF FUNDING OPPORTUNITY

FY 2021

Funding Opportunity Number: OED-2021-01

Opening Date: May 26, 2021

Closing Date: July 12, 2021

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U.S. Small Business Administration
Office of Entrepreneurial Development

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1.0 Section I - Funding Opportunity Description

1.1 Program Overview

1.1.1	Federal Agency Name	U.S. Small Business Administration (SBA), Office of Entrepreneurial Development (OED)
1.1.2	Funding Opportunity Title	Community Navigator Pilot Program
1.1.3	Announcement Type	2021 Notice of Funding Opportunity (NOFO) publishing SBA's application submission requirements and review procedures for applications received under SBA's Community Navigator Pilot Program, through SBA grant awards for activities designed to provide a unique collaborative approach to delivering long-term economic small business recovery and resiliency, as authorized by section 5004 of the American Rescue Plan Act of 2021.
1.1.4	Funding Opportunity Number:	OED-2021-01
1.1.5	Catalog of Federal Domestic Assistance (CFDA) Number(s)	59.077
1.1.6	Closing Date for Submission:	The application deadline is 11:59 P.M. Eastern Time on July 12, 2021. Applications received after this deadline will not be reviewed or considered. Applications will only be accepted electronically through http://www.grants.gov (Grants.gov).
1.1.7	Authority:	American Rescue Plan Act, 2021 (Pub. L. No. 117-2, § 5004)
1.1.8	Duration of Authority:	The Community Navigator Pilot Program will be a two-year Project Period, not to exceed twenty-four (24) months.
1.1.9	Funding Instrument:	Grant Agreement
1.1.10	Funding:	Grantees have two years after award to expense the funds. SBA will withdraw all unexpended funds under this award 24 months after start of award.
1.1.11	Award Range:	Amount/Funding SBA is committed to conducting targeted outreach to specific sectors of the entrepreneurial community. Funding is available for organizations that provide a unique collaborative approach to delivering long-term economic small business recovery and resiliency. Under the Community Navigator Pilot Program, SBA is

soliciting applications for three separate competitions:

- **Tier 1 - \$5.0M**
- **Tier 2 - \$2.5M**
- **Tier 3 - \$1.0M**

1.1.1 Project Duration:
2

The Project Period will be for 24 months from the date of award. No option year periods will be exercised by SBA. (Project must expire 24 months after award.)

1.1.1 Project Starting Date:
3

September 1, 2021 to August 31, 2023

1.1.1 Proposal Evaluation:
4

Proposals will be scored against the evaluation criteria in Section 5.0. SBA may ask Applicants for clarification on the technical and cost aspects of proposals. This must not be construed as a commitment to fund the proposed effort.

1.1.1 Agency Programmatic Point of
5 Contact:

Office of Entrepreneurial Development (OED)
U.S. Small Business Administration (SBA)
Email: navigators@sba.gov

1.2 Introduction

The American Rescue Plan Act, 2021 (Pub. L. No. 117-2, § 5004) authorizes SBA to establish the Community Navigator Pilot Program to make grants to, or enter into contracts or cooperative agreements with, private nonprofit organizations, SBA Resource Partners, States, Tribes, and units of entities. OED will support the Community Navigator Pilot Program. OED's mission is to help small businesses start, grow, and compete in global markets by providing quality training, counseling, and access to resources.

1.3 Background

The Biden-Harris Administration is committed to strengthening engagement of its technical assistance to economically disadvantaged individuals as part of a broader outreach strategy. Under the community navigator approach, organizations enlist trusted, culturally and technically knowledgeable partners to conduct targeted outreach to specific sectors of the entrepreneurial community.

1.4 Purpose

The Biden-Harris Administration is committed to ensuring that the nation's small businesses receive the support they need to access federal relief programs that can help them weather the economic downturn caused by the COVID-19 pandemic. The focus of this program is to reach and support underserved small businesses, including micro and rural businesses, with emphasis and those owned by women, veterans and socially and economically disadvantaged individuals.

To better reach these small businesses, SBA is launching the Community Navigator Pilot Program that will strengthen outreach to underserved businesses by partnering with organizations with established relationships and experience within their communities. The Community Navigator Pilot Program is designed to provide high quality technical assistance with pandemic relief programs and recovery services to small businesses and entrepreneurs. Recovery services can include financial assistance, access to capital, contracting and procurement assistance, marketing, operations, and business development, export and industry specific training, among other areas of technical assistance to aid businesses in stabilization and expansion. Programming that focuses on supporting communities where English is a second language and that offers technical assistance in languages other than English is encouraged.

Hub and Spoke "Navigator" Model

The "Hub" and "Spoke" approach features a lead organization – a "Hub" – at the center of a network of "Spoke" organizations that deploy trusted

messengers to work with businesses in targeted communities. These networks leverage the business development expertise of the central Hub organization and the community credibility of spoke organizations to better connect business

owners in underserved communities with critical services and assistance programs. Key principles for effective use of this model includes the following:

Hubs at the center of action:

- o Hubs coordinate navigator activities via regular meetings, joint planning, and collaborative strategy development.
- o Hubs drive and coordinate the communication strategies with SBA, including planning outreach events, and webinars, and coordinate activities with SBA District Offices and Resource Partners.
- o Hubs develop training curricula to prepare spokes to work with businesses 1:1 serving as a clearing house for best practices on outreach, education, and 1:1 counseling.
- o Hubs train and help spoke with document preparation and data collection
- o Hubs receive and distribute technical knowledge and updates received from SBA.
- o Hubs obtain prior approvals from SBA, as outlined in the terms and conditions for the award.
- o Hubs collect and synthesize evaluation and performance metrics for all parties, including “spokes,” and produce reports to the SBA in a timely manner.
- o Hubs translate all Hub produced documents and materials into languages required by communities served through spokes and for ensuring that data and performance metrics are translated into English for submission to SBA.

Spokes are trusted ambassadors:

- o Spokes are dedicated to engaging direct outreach and 1:1 loan, grant, and relief assistance package documentation preparation for businesses and to providing additional technical assistance as needed.
- o Skilled in providing technical assistance to small businesses in areas including, but not limited to financial literacy, credit counseling, financial assistance, accessing government contracts and exporting.
- o Provide in-language technical assistance.

- o Spokes focus on reaching or exceeding agreed upon goals for participation in aid and technical assistance programs by underserved communities (socially and economically disadvantaged, rural, veterans, women, and individuals with disabilities).
- o Spokes conduct focused, grassroots outreach including phone calls, texts, emails, and other forms of engagement and outreach.
- o Spokes provide linguistically and culturally knowledgeable experts such as CPAs, attorneys, or other professionals to offer counseling for entrepreneurs in underserved communities.
- o Spokes work to amplify communications via earned and paid media and leverage other trusted partners like schools, churches, and local elected officials.
- o Spokes collect clients data in accordance with required metric collections outlined in the performance management section and furnish such information to the “Hub” for additional analysis and reporting in a timely manner.

Effective “Hub” and “Spoke” networks are data-driven and accountable:

- o An effective network supports underserved businesses to complete necessary paperwork to engage with SBA programs and services, including loan packaging assistance and assistance finding lenders or other sources of financial assistance.
- o Navigator networks keep track of applicants assisted by documenting loans/grants and other assistance program metrics.
- o Navigator networks establish numerical goals for applications filed and loans/grants received and track progress.
- o Navigators track business technical assistance and business training provided.
- o Navigator networks provide service to assist applicants denied loan/grant approvals to resolve outstanding matters to secure qualified funding opportunities.

“Hub” will be responsible for:

- o Creating and following regulations and policies.
- o Managing consortia agreements.
- o Providing technical assistance
- o Formulating partnership goals and objectives.
- o Overseeing operations of activities, programs, and paid staff.
- o Creating and following a strategic action plan.

“Spoke” will be responsible for:

- o Being a community leader amongst the represented sector(s).
- o Ensuring clear communication between the sector represented and the partnership.
- o Providing technical assistance
- o Supporting the partnership’s mission.
- o Attending partner meetings which are held on an agreed upon frequency with Hub.
- o Contributing to the strategic planning process.

Duration of “Hub” and “Spoke” consortia partnership relationship:

The relationship between the “Hub” and “Spoke” shall be from August 1, 2021 until the end of the performance period.

1.5 Leveraging of Resources

Selected applicants must maximize their efforts and leverage SBA funding by working in conjunction with SBA District Offices and other Federal, state, local and tribal governments, economic business development programs and activities; SBA Resource Partners, such as Small Business Development Centers (SBDCs) Women’s Business Centers (WBCs), SCORE and Veterans Business Outreach Centers (VBOCs); Regional Innovation Clusters; 7(j) Technical Assistance providers; Small Business Investment Companies (SBICs); U.S. Export Assistance Centers (USEACs); Certified Development Companies (CDCs); SBA lenders; Community Development Financial Institutions (CDFIs), universities, colleges, and other institutions of higher education; as well as private organizations, such as chambers of commerce and trade and industry groups and associations.

1.6 SBA Involvement and Oversight

OED provides SBA’s oversight of this grant. A designated national Program Manager (PM) located within OED at SBA Headquarters will be responsible for the overall monitoring and oversight of the Community Navigator Pilot Program grantees, including compliance with the terms and conditions of the Grant Agreement. A District Program Officer (DPO), located within the Office of Field Operations (OFO), will be assigned to each award to assist the PM in ensuring overall compliance with the Grant Agreement. A designated Grants Management Officer (GMO) within OED will be responsible for issuing the Notice of Award (NoA), making amendments to the award, and approving payments.

1.7 Changes or Cancellation

SBA reserves the right to amend or cancel this NOFO, in whole or in part, at the Agency's discretion. Should SBA make material changes to this NOFO, the Agency will extend the Closing Date as necessary to afford the Applicant sufficient opportunity to address such changes.

2.0 Section II - Award Information

2.1 Funding

SBA has been appropriated \$100 million for grants authorized by Section 5004 of the American Rescue Plan Act, 2021. The funding periods and funding amounts referenced in this notice are subject to the availability of funds at the time of award as well as to SBA priorities at the time of award. SBA will not be held responsible for application preparation costs. Publication of this announcement does not obligate SBA to make any specific grant award or to obligate all or any part of available funds.

Subject to the availability of funding and based on applications received, SBA expects to make awards under this NOFO as follows:

- o **Tier 1 - \$5.0M**
- o **Tier 2 - \$2.5M**
- o **Tier 3 - \$1.0M**

2.2 Expected Number of Awards

The SBA will provide funding for multiple awards (maximum of 100 awards) under this NOFO. Applicants (Hubs) and the partner organizations (Spokes) identified in the proposal will not be approved for more than one award, at any Tier, under this NOFO.

2.3 Period of Performance/Budget Periods

The Community Navigator Pilot Program award will be made for a two-year project period not to exceed 24 months. Ability to and process for requesting any extensions are addressed in the Terms and Conditions and NOA.

- o **Funding Period of Performance:** September 1, 2021 to August 31, 2023

SBA expects all projects to proceed efficiently and expeditiously and expects applicants to document clearly in their applications a reasonable and appropriate timeline that includes the start and completion dates of the proposed scope of work. As a condition of their respective awards, grantees

will be required to provide timely periodic progress reports and performance data as set forth in section 5.5.2 and NOA.

2.4 Funding Information

SBA proposes to award grants in the amounts depicted below, depending on strength of application, communities served, and service delivery models. Each award is for a Performance Period of 24 months.

A tiered approach has been established to ensure the greatest amount of equity and diversity of geographical and service delivery reach possible.

Award Amounts
National - Tier 1 - \$5.0M Eligible applicants must identify a minimum of five service areas (markets) not within the same state serving a total service population of greater than 500,000.
State/Local - Tier 2 - \$2.5M Eligible applicants must focus on supporting an individual state, region, municipality, or city with total service population of greater than or equal to 500,000.
Local - Tier 3 - \$1.0M Eligible applicants must focus on supporting a region, municipality, city, tribal or rural community with total service population of less than 500,000.

Funds provided under the Community Navigator Pilot Program must be used solely for the purposes stipulated in this NOFO and the NOA and may not be commingled with any other monies. All costs proposed in an Applicant's budget must meet the tests of allowability, allocability, and reasonableness set forth in the Office of Management and Budget (OMB) Uniform Guidance at 2 CFR 200, Subpart E.

The SBA will not reimburse applicants for their proposal preparation costs. Applicants may request pre-award costs, which require prior approval from SBA. Pre-award costs are necessary for efficient and timely performance of the scope of work of the project and meet the tests of allowability, allocability, and reasonableness.

2.5 Funding Instrument

The funding instrument used will be a Grant Agreement.

3.0 Section III - Eligibility Information

3.1 General

Applicants will submit only one proposal in response to this NOFO. To the extent that they satisfy all eligibility criteria the same as all other applicant organizations, Religious Organizations are entitled to compete for Federal financial assistance (grants and/or cooperative agreements) used to support government programs. Generally, such organizations are not required to alter their religious character to participate in a government program, nor to cease engaging in explicitly religious activities outside the program, nor effectively to relinquish their Federal statutory protections for religious hiring decisions.

3.2 Eligible Applicants

- A Nonprofit having a 501(c) status with the IRS
- An economic development organization or similar organization.
- Native American tribal organization (other than Federally recognized tribal governments).
- Native American tribal government (Federally recognized).
- County governments.
- State governments.
- City or township governments.
- SBA Resource Partners:
 - Small Business Development Centers (SBDCs);
 - Women's Business Centers;
 - SCORE; and
 - Veterans Business Outreach Centers (VBOCs).
- Community Development Financial Institutions.
- Nonprofit Colleges and Universities

Applicants must have been in operation for two years or more. All existing SBA Resource Partners must be in good standing.

3.3 Ineligible Applicants

The following organizations will automatically be considered ineligible, and their applications will be rejected without being evaluated.

- Applications from individuals (including sole proprietorships) and foreign entities are not eligible.
- Any organization that owes an outstanding and unresolved financial obligation to the federal government.
- Any organization with an outstanding and unresolved material deficiency reported under the requirements of the Single Audit Act within the past three years.
- Any organization that is currently suspended, debarred or otherwise prohibited from receiving awards of contracts or grants from the Federal government.
- Any organization that has filed for bankruptcy within the past five (5) years.
- Any organization that had an officer or agent acting on its behalf convicted, of a felony criminal violation under any Federal law within the preceding twenty-four (24) months.

4.0 Section IV - Application and Submission Information

4.1 Application Instructions

Application must consist of the following elements: (i) a cover letter; (ii) a technical proposal; (iii) budget information; (iv) certifications, forms and assurances; and (v) attachments and exhibits.

4.1.1 Cover Letter

The first page of the application must be a cover letter that includes the following information:

- Statement that the application is in response to NOFO No. OED-2021-01;
- Applicant's name and address;
- Applicant's website address (if applicable);
- Applicant's DUNS number;
- Name, telephone number, and email address for the Applicant's designated point of contact; and
- Dollar amount of assistance being requested.
- Proposed service area

4.1.2 Technical Proposal

Project Narratives must address the following areas:

A. Project Narrative

All applicants must provide a Project Narrative of no more than twenty (20) total pages, double spaced, with margins no less than one-half inch (0.5") using Arial, Calibri, Times New Roman, or a similar font of size no less than eleven (11) points in order to be considered for funding. Project Narrative beyond the twentieth page will not be read or considered.

Applicants are strongly encouraged to provide a clear and concise narrative that includes a compelling justification for the project and articulates a clearly defined regional economic gap, how the proposed project will uniquely meet this need, and the expected outcome(s) that will result from the proposed project. Lengthy applications will not receive greater consideration.

Section 1: Project Description and Overview

Section 1(a): Executive Summary

Provide an executive summary including a project title, and a summary of no more than 250 words (note: this may be published on SBA's website if your application is selected for funding).

Section 1(b): Mission and Experience

Provide the organization's mission, length of existence and relevant experience. Describe how these factors contribute to the organization's ability to implement the program requirements and expectations including how the organization is best positioned to support a Community Navigator Pilot Program. Please also describe the role(s) the organization currently plays in an existing community navigator or similar model/structure.

Section 1(c): Approach

Describe the approach to implementing the Community Navigator Pilot Program including all outreach, training and engagement strategies and information on proposed service area and reach into underserved communities.

Section 1(d): Staffing and Organizational Structure

Provide information on the organization's current structure, staffing, and length of existence. This section should include a detailed staffing plan for existing and proposed programming that describes how staff will contribute to the accomplishment of the Project's goals.

Detail qualifications and experience of all project staff. Such qualifications and experience must demonstrate the staff's ability to manage a strategic

partnership, including fiscal and administrative management, outreach, and promotion. In addition, qualifications and experience must demonstrate the staff's ability and expertise in serving the proposed service area and underserved communities. Include copies resumes and position descriptions of all Key Personnel, including the Project Director or equivalent as attachments.

Provide organizational charts that display proposed Project's staffing plan and partnership plan must also be included which outlines services delivery for existing organization and proposed Community Navigator model.

Section 2: Ecosystem Resources and Assets

Section 2(a): Service Market

Provide a description of the project's location and region, including its primary service area, a description of the communities or regions served (e.g., regional assets, financial and business resources, workforce, and infrastructure), a description of the underserved communities being targeted and stakeholders leveraged.

The location and region should directly correspond to Questions 14 and 16 of the SF-424. If the applicant expects impacts beyond the noted region, the applicant should note the region of expected impact. Additionally, applicants must identify their proposed primary service area(s) by states, county or counties, cities or township. Counties should be identified by both name and 5-digit FIPS codes. See <https://www.census.gov/geographies/reference-files.2019.html>.

Section 2(b): Regional Factors

Describe factors that make this investment opportune for the region. Identify the factors that justify the regions' need for additional focused relief (e.g., ecosystem resources, emerging sectors, other regional assets). Discuss how you will leverage available resources to support the Community Navigator Pilot Program efforts.

Section 3: Partnerships

Section 3(a): Describe any former, current, or future partnerships/working relationships with public and/or private entities at the applicable national, state, regional, and/or local level that will be working on this project. Provide a description of each organization and specific detail on the roles and responsibilities of these collaborators including effectiveness of past collaboration efforts. Provide a description of previous partnership or work with SBA District Offices or resource partners, if applicable. Each applicant

must have no less than five “Spokes” per market (market size will vary by Tier).

- Preference will be given to organizations with demonstrated experience and partnerships in underserved communities for which the proposal endeavors to serve. For national “Hub” submissions (Tier 1), “Spokes” may vary or remain the same by market but a minimum of five spoke partners are required per market (as geographically defined by the proposal) with a minimum of five service areas (markets) not within the same state.

Section 4: Measurable Goals & Feasibility

Outline the program’s evidence- and data-based anticipated goals, including outputs and outcomes. Applicants should explain what the identified service area(s) and communities need and how it will meet and measure those needs. Anticipated goals should be discussed in terms of the SMART framework—specific, measurable, attainable, relevant and timebound—and the application should speak to why and how the organization selected these goals. Include benchmarks to communicate both base-level goals that adhere to the SMART framework, as well as stretch goals.

Of note: applicants selected for funding must employ a data and client management system with the partner organizations (spokes) to track their metrics in an XML or other SBA approved electronic format; applicants should include a description of their respective systems and, if no such system exists, should include their acquisition and implementation in the project narrative and budget.

B. Budget Narrative

Applicants must provide a clear budget narrative that identifies and justifies how funds in each line item of the budget will be used to support the proposed project and that links each line item to its Partner Organization Commitment Letter. The budget narrative should specifically address each budget line item and the narrative total should match the total project costs listed in both the SF-424, Question 18, Line g (“TOTAL”) and the appropriate totals fields of the SF-424A.

Each line item in the budget narrative should clearly indicate:

- A description of the intended use of funds for each line item;
- The budget category (from the SF-424A) to which the line item corresponds; and
- The federal share allocated to the line item.

As part of the budget narrative, applicants also must submit a staffing plan that lists all positions paid with grant funds each year of the period of performance. The staffing plan must include position titles, maximum annual salaries, and percentage of time.

Purpose of the “Hub” to “Spoke” Funding Distribution Agreement

Duties:

All applications must submit a Funding Distribution Agreement between a “Hub” to “Spoke” that establishes the terms, conditions, and requirements governing the administration and use of the financial assistance received by or used by “Spoke” pursuant to the Funding Distribution Agreement.

Responsibilities of “Hub”

“Hub” agrees to:

- Provide funding to “Spoke” in accordance with the Funding Distribution Agreement and Federal, state and local laws, in a timely manner.
- Monitor “Spoke” to ensure the funding is used in accordance with all applicable conditions, requirements, and restrictions.
- Provide information on current and any subsequent changes to the terms and conditions of the grant awards addressed by the funding in the Funding Distribution Agreement.
- Coordinate with SBA to obtain prior approvals outlined in the terms and conditions such as use of SBA logo, changes to grant personnel and budget modifications.
- Provide technical assistance and training as requested to assist “Spoke” in fulfilling its obligations under the Funding Distribution Agreement.
- Take action to recover funds that are not used in accordance with conditions, requirements, or restrictions applicable to funds awarded.
- Meet the SBA’s performance requirements that are outlined in the Reporting section (and subsequent Notice of Award) and maintain adequate records.

Responsibilities of “Spoke”

“Spoke” agrees to:

- Ensure the funds subject to the Funding Distribution Agreement are used in accordance with conditions, requirements and restrictions of federal, state and local laws, as well as the federal terms and conditions of the grant award.

- Adhere to all financial reporting requirements as are necessary for the “Spoke” to meet its operational needs and obligations to “Hub” and the federal government.
- Promptly reimburse “Hub” for any funds “Hub” pays to any organization because of an adverse audit finding, adverse quality control finding, final disallowance of federal financial participation, or other sanction or penalty for which “Hub” is responsible.
- Coordinate with “Hub” for approvals outlined in the terms and conditions such as use of SBA logo, changes to grant personnel and budget modifications prior to moving forward with any changes.
- Take prompt corrective action, including paying amounts resulting from an adverse finding, sanction, or penalty, if “Hub”, SBA, any federal agency, or other organization authorized by federal, state or local law to determine compliance with the conditions, requirements, and restrictions applicable to the federal program from which these funds are awarded determines compliance has not been achieved.
- Make records available to “Hub”, SBA, federal agencies, and other authorized governmental agencies for review, audit and investigation.
- Meet the “Hub’s” performance requirements and maintain adequate records.

All applicants must include a “Hub” to “Spoke” funding distribution budget. “Spoke” organizations should be reflected in the budget narrative and resources should be sufficient for them to execute efforts outlined by their respective partnership roles and responsibilities.

- o Two-year total funding per Spoke partner may range in size based on the following Tiers:
 - National - Tier 1: Between \$50,000 and \$500,000
 - State/Local - Tier 2: Between \$100,000 and \$250,000
 - Local - Tier 3: Between \$50,000 to \$100,000

Example of Funding Distribution Model:

The following is a hypothetical example of multi-entity partnership that this grant could fund. The Hub is responsible for applying for the grant and reporting collected data but is not responsible for the performance of each entity.

Applicant Name: *Acme Coalition – Coordinator: Small Business Inc.*

Brief Description:

A coalition develops an economic recovery team comprised of a XYZ, ABC, a local Accelerator, a local city-focused Economic Development non-profit, and

a State Economic Development Agency. In an initial planning meeting, the group selects the Hub.

In the planning meeting, the team identifies the client needs of small business concerns in underserved areas as a result of the negative impact COVID-19. The Hub, identifies key outcomes, such as X, Y, Z. Additionally, focus is placed on specific areas, industries, and client categories known to have higher rates on Payroll Protection Program declines, etc. The team executes a Memorandum of Understanding among all partners to include documentation of the Hub and creates a proposal to support the execution of the listed economic outcomes. The proposal also includes how the execution of the recovery outcomes will strengthen the viability of serviced business clients in select communities. Each entity in the team works on specific areas of economic development, with entities collaborating together on a singular project:

*The **State Economic Development Agency** works to identify impacted small businesses and industries in the area and reports information to the team. The agency also coordinates outreach events with some or all entities to raise awareness of new services and collect local information. The State Economic Agency is the overall projects Coordinator or the Hub. The State Development Agency submits the completed grant package on behalf of the consortia and manages functions in accordance with the roles and responsibilities of the Hub including financial distribution.*

*The **XYZ** provides immediate assistance to women-owned and disadvantaged small businesses through coaching and one day workshops. The XYZ also helps early-stage women-owned and disadvantaged small businesses create a business plan and financial statements. The State Economic Development Agency receives a two-year funding allotment of \$250,000*

*The **ABC** provides immediate assistance to established small businesses through increased counseling and focused workshops. The ABC also helps businesses prepare their financial statements and guide them to receive capital. ABC receives a two-year funding allotment of \$125,000.*

*The **123** provides mentorship and training to nascent entrepreneurs. 123 also partners with the local **Accelerator** providing additional counseling and support. 123 receives a two-year funding allotment of \$150,000.*

*The local **Accelerator** provides intense counseling/mentorship, incubator space, and direct access to computers for on-line access and loan application completion. The accelerator partners with the city **Economic Development non-profit** for access to incubator/workspace. The Accelerator receives a two-year funding allotment of \$115,000.*

*The city **Economic Development non-profit** provides incubator/workspace and retail and storefront relief support to local businesses. The Economic Development nonprofit receives a two-year funding allotment of \$200,000.*

C. Partner Organization Commitment Letters:

Applicants must submit a copy of a written agreement(s) or equivalent document(s) signed by the authorized representative of each Partner Organization (otherwise known as “Spokes”) that reflects a binding commitment to undertake the proposed project, the respective scopes of work, and perform the duties, roles, responsibilities, and budget allocation identified in the Technical Proposal. The Agreement must include the project title and list each partner. It should also identify the designated person(s) responsible for the project. Each applicant must have no less than five “Spokes” per market. For national “Hub” submissions, “Spokes” may vary or, in the event of working with other national partners with local operations, may remain the same by market.

D. State/Local Government Support:

Applicants must submit one or more resolutions or letters that demonstrate that the application is supported by one or more States or political subdivisions of States (e.g., counties, municipalities) that encompass all or a substantial portion of the communities served by this project. Support from Federal officials, including but not limited to members of the United States Congress, does not meet this requirement. Examples of authorities who may indicate such support include State and local executive branch officials (e.g., State governors, State cabinet members, mayors or other municipal executives) and State and local legislators (e.g., State legislators, city councilpersons). If, however, the applicant is a State, an Indian tribe, or a city or other political subdivision of a State, this requirement does not apply.

In addition, the Community Navigator “Hub” must disclose in its application if it currently holds any other financial assistance awards from SBA or has any other applications for SBA financial assistance awards still pending. If it does, the Community Navigator “Hub” must identify how it will avoid duplication of efforts, commingling of funds, and overlapping or double claiming of costs among those projects. The Community Navigator “Hub” must treat each SBA project as separate and discrete with individual outcomes and deliverables and provide each application and award with its own reporting, accounting, and audit trails.

Failure to sufficiently distinguish between an application and one or more current SBA awards, may result in rejection of an application on the ground that it is duplicative of proposed or existing efforts.

E. Past Performance:

SBA relies on the recency and relevancy of past performance information when determining awards to applicants. Recency is defined as the awards recipient has performance as either a “Hub” or “Spoke” within the last 1-3 years. Relevancy is defined as awards the recipient has received for projects with a similar scope and magnitude as this requirement. Include three examples of past performance meeting this criterion. Please share your understanding and experience addressing the challenges of accessing economic relief by the underrepresented and underserved communities for which this program aims to serve.

4.1.3 Cost Proposal

Budget Information must be provided through the completion and submission of the following:

- Standard Form (SF) 424, Application for Federal Assistance.
- SF- 424A Budget Information (Non-Construction Programs).
- Budget Detailed Worksheet (Attachment A-9 through A-12 to the SF 424A).
- Copy of the Applicant’s Cost Policy Statement.

Indirect Cost Rate:

Indirect cost is allowable under the Community Navigator Pilot Program, but it is capped at the 10% de minimis rate as described in 2 CFR 200.414. The recipient may use the 10% de minimis rate based on Modified Total Direct Cost (MTDC) as defined by 2 CFR Part 200.68.

Use the following guidance for preparing the budget narrative:

- **Personnel:** List all staff positions by title (both proposed and current, if applicable). Give the annual salary of each position, the percentage of each position’s time devoted to the Project, the amount of each position’s salary funded by the grant, and the total personnel cost for the period of performance (base and four option periods).
- **Fringe Benefits:** For salaried employees, provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

- **Travel:** Specify the estimated number of in-state and/or out-of-state trips for project staff, along with each trip's purpose, mileage, per diem, purpose, and the associated staff who travel. All travel must be directly related to service delivery.
- **Equipment:** Identify each item of equipment you expect to purchase which has an estimated acquisition cost of \$5,000.00 or more per unit (or if your capitalization level is less than \$5,000.00, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of "Equipment"). List the quantity and unit cost per item. Note that items with a unit cost of less than \$5,000 are classified as "Supplies," not "Equipment." Additionally, we do not generally permit the purchase of equipment during the last funded year of a grant. Equipment may also include software, platform licensing fees, or other technology needs related to delivery of service delivery to small business and program deployment and design.
- **Supplies:** Identify categories of supplies (e.g., program related supplies such as training materials, printed content, etc.) in the detailed budget and list the quantity and unit cost per item. Supplies include all tangible personal property that does not qualify as Equipment (see 2 CFR 200.94 for the definition of Supplies).
- **Contractual:** Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. For each proposed contract and subaward, specify the purpose and estimated cost.
- **Construction:** Construction costs are not allowed, so this line must be left as zero.
- **Other:** List any item not covered elsewhere here (such as stipends or incentives). Provide clear and specific detail, including costs, for each item so that we can determine whether the costs are necessary, reasonable, and allocable.

4.1.4(a) *Certifications, Forms, and Assurances*

Consistent with 2 C.F.R. Part 200.415 financial Certifications must be signed by an authorized individual at a level no lower than vice president or chief financial officer of the organization. SF-LLL, Disclosure of Lobbying Activities:

- SF-LLL, Disclosure of Lobbying Activities or SBA Form 1711 (as applicable);
- SF-424B, Assurances for Non-Construction Programs (if not already submitted electronically as part of SAM.gov registration); and
- Letter from the Applicant's Auditor, CPA, Treasurer, Comptroller, CFO or similarly qualified individual certifying that the non-Federal entity's financial management system currently meets the requirements of 2 C.F.R. Part 200.302.

4.1.4(b) *Certifications, Forms, and Assurances*

- Under the provisions of the Paperwork Reduction Act of 1995, the Regulatory Secretariat Division the Office of Management and Budget (OMB) implemented a new process in the System for Award Management (SAM), for pre-award registration requirements for federal Grant Recipients. These revisions will enable non-Federal entities to submit common federal government-wide certifications and representations for Federal financial assistance at the time of registration in SAM.
- Non-federal entities are required to complete funding system assessment and submit a letter from the applicant's Auditor, Certified Public Accountant, Treasurer, Comptroller, Chief Financial Officer, or similarly qualified individual certifying that your organization's financial management system currently meets the requirements of 2 CFR 200.302.
- Applicants are responsible for ensuring they are compliant with all the certifications and assurances required to submit a federal grant application. Information on the requirements can be found at www.sam.gov.

4.1.5 Attachments and Exhibits

Along with the items discussed in the Technical Proposal, Budget Information, and Evaluation Criteria sections, applicants must submit copies of the following with its proposal:

- Key Personnel resumes
- Position descriptions for key roles
- Organizational charts for Hub and Spokes.
- Applicants Cost Policy Statement.
- Conflict of interest policy addressing, at a minimum, the principles identified in 2 C.F.R. §2701.112.

4.2 Submission Instructions

SBA requires all application packages be submitted electronically via www.grants.gov. (See attached document named (**SUBMISSION INSTRUCTION PACKAGE**))

If your organization hasn't already done so, it must register with www.grants.gov **before** applying for this funding opportunity.

Note: The registration process, which may take up to 1-2 weeks, must be completed in order to submit an application electronically. It is strongly suggested that you start the registration process immediately.

The attached document named **SUBMISSION INSTRUCTION PACKAGE** will provide in depth instructions on how to submit the application into www.grants.gov.

If you experience any problems registering with www.grants.gov, please call the Grants.gov Support Line at 1-800-518-4726 or email at support@grants.gov. Grants.gov Applicant Support is available 24/7, with the exception of federal holidays.

Register Early and Submit Early

To submit an application through <https://www.grants.gov> (Grants.gov), an applicant must register for a Grants.gov user ID and password. Note that this process can take between **three to five business days** or **AS LONG AS FOUR WEEKS** if all steps are not completed correctly. To avoid delays, SBA strongly recommends that applicants start early and not wait until the approaching deadline date before logging in, registering, reviewing the application instructions, and applying. Information about the Grants.gov registration process for organizations can be found at <https://www.grants.gov/web/grants/applicants/organization-registration.html>.

Please note that organizations already registered with Grants.gov do not need to re-register; however, all registered organizations must keep their SAM registration, which includes the CCR database registration, up to date through sam.gov or their applications will not be accepted by Grants.gov.

AOR Requirement

Applicants must be registered as organizations, not as individuals. As part of the registration process, you will register at least one AOR for your organization. AORs registered at Grants.gov are the only officials with the authority to submit applications at Grants.gov; please **ensure that your organization's application is submitted by an AOR. IF THE APPLICATION IS SUBMITTED BY ANYONE OTHER THAN YOUR ORGANIZATION'S AOR, IT WILL BE REJECTED BY THE GRANTS.GOV SYSTEM AND CANNOT BE CONSIDERED BY SBA.** Note that a given organization may designate multiple individuals as AORs for Grants.gov purposes.

SBA will not accept late submissions caused by Grants.gov registration issues, including SAM and AOR issues.

Field Limitations and Special Characters

Please be advised that Grants.gov provides the following notice with respect to form field limitations and special characters:

<https://www.grants.gov/web/grants/applicants/submitting-utf-8-special-characters.html>.

Verify That Your Submission Was Successful

Applicants should save and print written proof of a successful electronic submission made at Grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. Since email communication can be unreliable, applicants must proactively check on the status of their application if they do not receive email notifications within a day of submission.

SBA requests that applicants kindly refrain from submitting multiple copies of the same application package. Applicants should save and print both the confirmation screen provided on the Grants.gov website after the applicant has applied and the confirmation email sent by Grants.gov when the application has been successfully received and validated in the system.

It is the applicant's responsibility to verify a timely received and validated submission was successfully made at Grants.gov. To see the date and time your application was received, navigate to <https://www.grants.gov> and click on the "Track My Application" link under the "Applicants" tab. For a successful submission, the application must be received and validated by Grants.gov, and an agency tracking number must be assigned. If the date and time the application is **validated and timestamped** by Grants.gov is later than 11:59pm Eastern Time on the application deadline set forth in section 4.3 of this NOFO, the application is late. Once validation is complete, the status will change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," the application has not been received successfully.

For more detailed information about why an application may be rejected, please see "Encountering Error Messages" at <https://www.grants.gov/web/grants/applicants/encountering-error->

[messages.html](#) and “Frequently Asked Questions by Applicants” at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>.

Grants.gov Systems Issues

If a Grants.gov systems issue (i.e., a technical problem or glitch with the Grants.gov website) that is believed to threaten the ability to complete a submission in a timely manner, (i) print any error message received; and (ii) call the Grants.gov Contact Center at (800) 518-4726 for assistance. Ensure to obtain a case number regarding communications with Grants.gov. Please note that problems with an applicant’s computer system or equipment are **not** considered systems issues. Similarly, an applicant’s failure to, e.g., (i) complete the required registration, (ii) ensure that a registered AOR submits the application, or (iii) notice receipt of an email message from Grants.gov are **not** considered systems issues. A Grants.gov systems issue is an issue occurring in connection with the operations of Grants.gov itself, such as the temporary loss of service by Grants.gov due to unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely. In the event of a confirmed systems issue, SBA reserves the right to accept an application in an alternate format.

Applicants should access the following link for assistance in navigating Grants.gov and for a list of useful resources: <https://www.grants.gov/web/grants/support.html>. The following link lists “Frequently Asked Questions by Applicants”: <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>. If you do not find an answer to your question there, contact Grants.gov by email at support@grants.gov or telephone at (800) 518-4726. The Grants.gov Contact Center is open 24 hours a day, seven days a week, except on federal holidays.

Certifications Required by Annual Appropriations Acts for Corporations and for Awards over \$5 Million

All applicants are required to be registered in SAM.gov. Because there may be delays in processing SAM.gov registrations during peak times, the applicant will have to attest that it has submitted its SAM.gov registration in order to apply. SAM requires registering entities to certify compliance with all limitations imposed by annual appropriation acts. For corporations, this certification includes that the corporation:

- (a) Was not convicted of a felony criminal violation under a Federal law within the preceding 24 months, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; and/or
- (b) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless a Federal agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

For financial assistance awards in excess of \$5 million, this certification includes that the entity:

- (a) To the best of its knowledge and belief, has filed all Federal tax returns required during the three years preceding the certification;
- (b) Has not been convicted of a criminal offense under the Internal Revenue Code of 1986; and/or
- (c) Has not been notified, more than 90 days prior to certification, of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

How to Register to Apply through Grants.gov

Instructions: Read the instructions below about registering to apply for Community Navigator Pilot Program NOFO. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to

apply for this funding opportunity, then you may begin with step 3, Create a Grants.gov Account, listed below.

As of February 2, 2019, under the provisions of the Paperwork Reduction Act of 1995, the Regulatory Secretariat Division of the Office of Management and Budget (OMB) implemented a new process in the System for Award Management (SAM), to the currently approved information collection requirement regarding the pre-award registration requirements for federal Prime Grant Recipients. These revisions will enable non-Federal entities to submit common federal government-wide certifications and representations for Federal financial assistance at the time of registration in SAM. You must have an up-to-date SAM profile before your grant application can be reviewed for possible award.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the organization's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:
<https://www.grants.gov/web/grants/applicants/organization-registration.html>

1) Obtain a DUNS Number: All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a DUNS Number, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns> number.html

2) Register with SAM: All organizations applying online through Grants.gov must register and maintain registration with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually and kept current at all times. For more detailed instructions for registering with SAM, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

3) Create a Grants.gov Account: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed

instructions here:

<https://www.grants.gov/web/grants/applicants/registration.html>

4) Add a Profile to a Grants.gov Account: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications.

To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

5) EBiz POC Authorized Profile Roles: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access are sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

6) Track Role Status: To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

Electronic Signature: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC must authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; this step is often missed, and it is crucial for valid and timely submissions

How to Submit an Application to SBA via Grants.gov

The most up-to-date instructions for application submission via Grants.gov can be found at <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>. To begin, complete, and submit your application,

1. Navigate to <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>;
2. Click “Search for Opportunity Package”;
3. In the “Funding Opportunity Number” field, enter “OED-2021-01”;
4. Click “Search”;
5. Click the “Apply” link that corresponds to the competition to which you wish to apply (i.e., the 2021 Community Navigator Pilot Program);
6. Enter your email address (if you would like to receive updates from Grants.gov regarding this grant opportunity) or check the box that indicates you do not wish to provide it, then click “Submit”;
7. Choose to apply using Workspace by clicking “Login to Apply Now” or choose to download the legacy application package by clicking “Download Package”; and
8. Follow the instructions provided on the Grants.gov website and on each webpage to complete and submit your application.

4.3 Required Proposal Submission Date

The application deadline is 11:59 P.M. Eastern Time on July 12, 2021. Applications received after this deadline will not be reviewed or considered. Applications will only be accepted electronically through <http://www.grants.gov> (Grants.gov).

5.0 Section V - Award Administration Information

The Applicant will first be screened to determine if the Applicant meets stated mandatory eligibility requirements. SBA will not evaluate an Applicant that does not document in their application that they meet the requirements for participation in the program. SBA reserves the right to negotiate the terms and conditions of the project with the Applicant.

5.1 Proposal Evaluation

SBA reserves the right to ensure a diverse geographical, service area and population in final selection of awardees.

The Applicant will first be screened to determine if the Applicant meets stated mandatory eligibility requirements. SBA will not evaluate an Applicant that does not document in their application that they meet the requirements for participation in the program. SBA reserves the right to negotiate the terms and conditions of the project with the Applicant.

In addition, the Community Navigator “Hub” must disclose in its application if it currently holds any other financial assistance awards from SBA or has any other applications for SBA financial assistance awards still pending. If it does, the Community Navigator “Hub” must identify how it will avoid duplication of efforts, commingling of funds, and overlapping or double claiming of costs among those projects. The Community Navigator “Hub” must treat each SBA project as separate and discrete with individual outcomes and deliverables and provide each application and award with its own reporting, accounting, and audit trails.

Failure to sufficiently distinguish between an application and one or more current SBA awards, may result in rejection of an application on the ground that it is duplicative of proposed or existing efforts.

Applications will be rejected without being evaluated if they are submitted by ineligible organizations or they are illegible or materially incomplete due to an Applicant’s failure to include all required forms and/or provide the required level of detail. All timely, materially complete applications received from eligible organizations will be evaluated in accordance with the criteria listed below.

5.1.1 Project Objectives (25 Points)

Evaluate the criterion based on the narrative description of the services provided, past performances and experiences of applicants and the approach to implementing the project, and the objectives of the project. The project objectives should demonstrate the extent to which the organization has and has demonstrated the capacity to carry out the proposed project, including the appropriate mission and structure to fulfill the needs and requirements of the proposed project.

5.1.2 Use of Partner Entities (20 Points)

Evaluate this criterion based on whether the submission has defined the role of potential partner entities and has the potential to effectively leverage ecosystem resources. You may consider any former, current, or future partnerships/working relationships with federal, state, regional, and/or local entities that the application highlights, including any details on past collaboration efforts. The submission should convincingly communicate and demonstrate that resources from different partners will be leveraged in a way that will result in ecosystem growth that is greater than the sum of the individual partners’

contributions. A submission that does not clearly identify and demonstrate support from proposed partners may score less than a submission that does.

5.1.3 Measurable Goals & Program Innovation (20 Points)

Evaluate the criterion on whether the solution is aligned with the opportunity and the proposed solution is achievable, and/or substantial progress can be made. Applicants should explain what the identified service area(s) and communities need and how it will meet and measure those needs. Proposed goals should be measurable, reasonable and achievable in the grant period and beyond. The submission should include benchmarks to communicate both base-level goals and stretch goals as well as the level of effort required to realistically achieve each level. A submission that does not describe measurable goals or does not include elements of the plan relating to feasibility may score less than a submission that includes goals and benchmarks for the proposed approach that are clear and realistic. Evaluate the criterion based on a unique or innovative approach to delivering the project.

5.1.4 Ecosystem Resources and Assets (20 Points)

Evaluate criterion based on whether the opportunity is clearly stated and is aligned with the community or region's needs. Please consider whether the region or regions of service are clearly defined and whether the project encourages and solicits participation from an inclusive group of stakeholders that reflect the intended underrepresented or underserved populations and organizations, including those across socioeconomic or geographic categories.

5.1.5 Budget and Staffing Plan (15 Points)

Evaluate the criterion based on the budget narrative and staffing plan proposed in the application. You may consider the operations and management capacities and experiences of the applicant organization(s) and team, and whether they demonstrate the ability to execute the proposed project successfully. You may also consider the proposed project's budget narrative and staffing plan to determine if they reasonably and realistically correspond to the costs and activities necessary for the successful execution of the proposed project.

5.2 Review and Selection Process

Applications that are not rejected by grants.gov or SBA's screening process will be evaluated by teams of reviewers and scored on the basis of how well

they meet the criteria outlined above. These reviewers may be SBA employees or employees of other Federal agencies. The maximum score any application can receive is 100 points. Prior to evaluating applications received in response to this Announcement, SBA will establish a minimum acceptable score. Only those applications that meet or exceed that threshold will be eligible for funding. Applicants are therefore encouraged to design proposals that address each of the scoring criteria listed above as thoroughly as possible.

In the interest of providing Community Navigator Pilot Program services to as broad a segment of the underserved entrepreneurial community as possible, SBA will take the geographical dispersion of Applicant project service areas into account when making award decisions. An application that exceeds the minimum acceptable score and which scores more highly than other acceptable proposals may nevertheless be passed over for funding if that application proposes to serve the same or substantially the same area or market as another more highly rated application that was selected for award.

5.3 Award Notification

All applicants will receive written notification of their application status. There will be no debriefing process for unsuccessful applicants.

5.4 Administrative and National Policy Requirements

The selected applicant will be required to comply with the requirements set forth in the Small Business Act, §§2(h) and 29 (15 U.S.C. §§ 631(h) and 656), as amended; 2 CFR Chapter I, Chapter II, Part 200, et al., 13 C.F.R. Part 131; and the terms and conditions set forth in their NOA. In addition, the SBA, from time to time, may advise non-Federal entities of awards made under this NOFO of new legal requirements and/or policy initiatives with which they must agree to comply.

5.5 Reporting

The non-federal entities are required to submit the reports identified below. The SBA may withhold payment if reports are not received or are deemed inadequate. Failure to report in a timely manner will also be weighed against future applications for grant funding from the same organization and the exercise of any option periods. The reports provided by grant recipients may be made public. In addition, the SBA reserves the right to increase the frequency of reporting as deemed necessary, as well as require grant recipients to post these reports (apart from financial reports) on their websites.

5.5.1 Financial Reports

Grant recipients will be required to submit financial reports quarterly during the project period, within thirty (30) days of the conclusion of each reporting period. Financial reports will be submitted to the SBA using the SF-425, Federal Financial Report (FFR) and supporting documents.

5.5.2 Performance Reports

The Recipient will be required to submit client data and narrative performance reports to SBA within thirty (30) days of the completion of each three (3) month period.

To track progress toward achieving our goals and assess success of the program, SBA will monitor a set of performance metrics that include, but are not limited to:

Outputs:

1. Number of unique clients who **receive assistance** in the development of their
 - a. **Loan application** (PPP, EIDL, 7(a), 504, Microloan, Exporting, Other Loan)
 - b. **Forgiveness applications or SVOG or RRF reports** (post-funding reports)
 - c. **Grant application** (SVOG, RRF or other Federal, State, Local, or Private Sector Grants)
 - d. **Other application** (Contracting certifications or other business assistance program)
2. Dollar (millions) **amount request** of completed
 - a. **Loan application** (PPP, EIDL 7(a), 504, Microloans, Exporting, Other Loan)
 - b. **Grant application** (SVOG, RRF, other Federal, State, Local, or Private Sector Grants)
3. Dollar (millions) **amount of approved**
 - a. **Loans** (PPP, EIDL, 7(a), 504, Microloans, Exporting, Local Loans)
 - b. **Grants** (SVOG, RRF, other Federal, State, Local or Private Sector Grants)
4. Number of **counseling hours** to develop and submit
 - a. **Loan application** (PPP, EIDL, 7(a), 504, Microloan, Exporting, Local Loan)

- b. Grant application** (SVOG, RRF, other Federal, State, Local, or Private Sector Grants)
- c. Other application** (Contracting certifications or other business assistance program)
5. Number of **counseling hours** provided for:
- Disaster preparedness/recovery
 - Credit counseling, financial literacy
 - Business technical assistance (operation, marketing, sales, management, etc.)
 - Contracting and procurement
 - Other business development technical assistance (exporting, industry specific technical assistance)
6. Number of training hours
7. Number of clients trained
8. Number of clients receiving approved loan or grant funding **starting a business**
9. Number of clients receiving approved loan or grant funding with their business **in operation (business survival)**
10. Number of **jobs created or retained**
11. Percent **increase of revenue (gross sale dollars)**

Metric Crosscuts. The SBA seeks to measure the outputs and outcomes through the following crosscuts:

- Gender
- Race
- Ethnicity
- Veteran Status
- Disability Status
- LGBTQ
- Business Status - Years in Business
- Business Industry
- Geography (via Zip Code)
- State
- Information on other American Rescue Plan or other Covid related Federal aid programs provided by spokes

Other Considerations:

- Hubs may also plan for program evaluations to collect qualitative information (e.g., satisfaction with services, experiences) of the clients to further explore program outcomes and efficacy.

5.5.3 Performance Data System Upload

The Community Navigator “Hub” is required to either manually enter performance data or upload data files to the agency’s designated system in a timely manner.

The Community Navigator “Hub” is ultimately responsible for providing client data to SBA utilizing the designated electronic system. Client data will be reported/uploaded no less than quarterly.

5.5.4 Report Submission

Grant recipients will be required to submit reports as instructed in the NOA.

5.6 Recordkeeping Requirements

A. Activity Records

Community Navigator “Hub” is required to maintain complete and accurate records and supporting documentation for itself and spoke organizations. Client counseling, training, and other activities must be fully documented utilizing SBA Form 3516. In addition to the performance and program reports already mentioned in the Reporting Requirements, Community Navigator “Hub” must maintain the following records:

1. Counseling Activity Reports

Community Navigator “Hub” and “Spokes” are required to collect all counseling activities on SBA Form 3516. Data gathered on this form must meet the minimum requirements as stipulated by agency’s identified system. A computerized version of this form may be utilized. Signed copies of these forms must be retained by Community Navigator “Hub” either electronically or in hard copy and be made available for SBA review upon request.

2. Training Activity Reports

Community Navigator “Hub” and “Spokes” will utilize SBA Form 3516 to report small business management training activities (see definitions section for training). A computerized version of this form may be utilized. Hard copies of these forms must be retained by

Community Navigator “Hub” and be made available for SBA review upon request.

3. Community Navigator Client Evaluation Forms

Hub generated evaluations of Community Navigator Pilot Program services or client satisfaction surveys must be collected from clients who receive continuous mentoring or attend a Community Navigator Pilot Program training event. Copies of these evaluations must be retained by the Community Navigator “Hub” and be made available for SBA review upon request.

5.7 Risk Assessment

As required by 2 C.F.R. § 200.205(b), Applicants will be further evaluated by the program office to assess the possible risks they may pose to accomplishing the objectives of the award and to maintaining compliance with the terms and conditions of the award. In assessing the possible risks posed by individual Applicant, the program office will include in its consideration the following:

- a) Financial stability.
- b) Financial Management systems quality and its ability to meet the management standards prescribed in 2 C.F.R. § 200.302.
- c) History of performance in managing other Federal awards, including timeliness of providing required reports; compliance with the terms and conditions of the award; and the extent to which the Applicant has failed to fully expend funds provided under prior awards; Results, reports, and findings from any of its available audits or programmatic reviews and its responses to them; and
- d) Ability to effectively implement statutory, regulatory, or other requirements.

Additionally, all Applicants will be subject to a Business Management Review which includes checking Applicants against FAPIIS, suspension and debarment lists and Treasury’s Do Not Pay registry prior to award. SBA may decline to issue an award under this announcement based on this risk assessment.

6.0 Section VI - Important Priorities

6.1 Community Navigator Pilot Program will explore, offer or expand services targeted toward markets to increase outreach and assistance to the following entrepreneurial audiences:

- COVID-19 affected businesses

- Veterans and Military Entrepreneurs (including spouses)
- Minority Entrepreneurs
- Women Entrepreneurs
- Rural Entrepreneurs
- Socially and Economically Disadvantaged Small Businesses
- Tribal Communities
- LGBTQ Entrepreneurs
- Micro Businesses

7.0 Section VII - Agency Contacts

7.1 Office of Entrepreneurial Development Point of Contact

Questions concerning general information contained in this NOFO should be directed to OED at navigators@sba.gov.

7.2 Financial/Grants Management Point of Contact

Questions regarding financial matters related to this NOFO should be directed to the Office of Entrepreneurial Development at navigators@sba.gov.

8.0 Section VIII - Other Information

8.1 Definitions

The following definitions apply to awards made under this NOFO.

8.1.1 Applicant - An eligible organization that applies for funding under this NOFO.

8.1.2 Budget Period - The 24-month period during which expenditure obligations will be incurred by the Recipient of an award under this Announcement.

8.1.3 Client - The client is the business if it exists. In the case of a prospective business, the client is the individual.

8.1.4 Community Navigator - means a community organization, community financial institution as defined in section 7(a)(36)(A) of the Small Business Act (15 U.S.C. 636(a)(36)(A)), or other private nonprofit organization engaged in the delivery of community navigator services.

8.1.5 Community Navigator Services - means the outreach, education, and technical assistance provided by community navigators that target eligible businesses to increase awareness of, and participation in, programs of the Small Business Administration.

8.1.6 Cost Policy Statement – A document describing all accounting policies of an Applicant organization and narrating in detail its proposed cost allocation plan. This plan must stipulate the procedures used to identify, measure, and allocate all costs to each benefitting activity.

8.1.7 Counseling – Services provided to an individual and/or business which are delivered in person (face-to-face), on the telephone, or electronically and which:

- Are substantive in nature and require assistance from a resource partner in the formation, management, financing, and/or operation of a small business enterprise.
4Are specific to the needs of the business or individual; AND
- Require a signed SBA Form xxx or equivalent form that supports SBA’s management information database.

Advisory Services – A range of consulting services provided by experts on the topic requiring specialized advice.

Mentoring Services – Counseling services provided by a Hub and Spoke “Navigator” Model

Face-to-face counseling – Meets the definition of “counseling” **and** is conducted in person between counselor(s) and client representatives.

Online counseling – is computer or internet-based exchange between counselor(s) and client representatives.

Telephone counseling – is a verbal telephone-based exchange between counselor(s) and client representatives.

8.1.8 Eligible Business – means any small business concern, with priority for small business concerns owned and controlled by women (as defined in section 3(n) of the Small Business Act (15 U.S.C. 632(n))), small business concerns owned and controlled by veterans (as defined in section 3(q) of such Act (15 U.S.C. 632(q))), and socially and economically disadvantaged small business concerns (as defined in section 8(a)(4)(A) of the Small Business Act (15 U.S.C. 637(a)(4)(A))).

8.1.9 Funds – Includes all SBA Federal funds reported on the SF-425. It does not include other funds under the Grant Agreement Recipient’s umbrella. 2 C.F.R. Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

8.1.10 Grant Agreement– A legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 U.S.C. 6302, 6304:

- Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal awarding agency or pass-through entity's direct benefit or use.
- Is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award.
- Does not include an agreement that provides only: (1) Direct United States Government cash assistance to an individual; (2) A subsidy; (3) A loan; (4) A loan guarantee; or (5) Insurance.

8.1.11 Grants Management Officer (GMO) - The SBA official with delegated authority to obligate Federal funds by signing the NOA.key

8.1.12 Hub - means the lead organization that is the effective center of an activity, region, or network which offers a full array of services.

8.1.13 Key Personnel - A person who devotes at least 50% of her/his time to the Community Navigator Pilot Program and who serves in a position/role that is vital to the successful operation of the Community Navigator Pilot Program.

8.1.14 Local Government - means a county, city, town, village, or other general purpose political subdivision of a State.

8.1.15 Metrics - Used to measure the behavior, activities, and performance.

8.1.16 Notice of Award (NoA) - The legal document, signed by both SBA and a Recipient, that memorializes the award of funding under a Grant Agreement and contains the specific terms and conditions that apply to the award.

8.1.17 Organization - An Applicant organization for which funding is approved and that enters into a Grant Agreement with the SBA.

8.1.18 Performance Period - The total period of performance for an award made under this NOFO.

8.1.19 Private nonprofit organization - means an entity that is described in section 501(c) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code.

8.1.20 Religious Organization - An entity that is organized for religious purposes and engages in activity consistent with, and in furtherance of, such purposes.

8.1.21 SBA Resource Partner - (A) a small business development center (as defined in section 3 of the Small Business Act (15 U.S.C. 632)); (B) a women's business center (as described in section 29 of the Small Business Act (15 U.S.C. 656)); (C) a chapter of the Service Corps of Retired Executives (as defined in section 8(b)(1)(B) of the Act (15 U.S.C. 637(b)(1)(B))) and (D) Veterans Business Outreach Centers (as defined in Section 9(b)(17) of the Small Business Act, 15 U.S.C. 637(b)(17))

8.1.22 Small Business Concern - Has the meaning given under section 3 of the Small Business Act (15 U.S.C. 632).

8.1.23 Socially and Economically Disadvantaged - See 13 CFR 124.103

8.1.24 Spoke - means the partner organization that is the secondary center of an activity, region, or network which offer more limited service arrays.

8.1.25 Technical assistance - Counseling or training services provided to an individual and/or business in accordance with the terms of this NOFO and a Recipient's NOA.

8.1.26 Training - a workshop, seminar or similar activity or event which delivers a structured program of knowledge, information, or experience on a business-related subject.

Co-hosted training (collaborative) - Meets the definition of "training" and further defined as an activity where each organization actively participates and contributes substantially to the training.

Online Training - Online training is a structured program of knowledge, information, or experience on an entrepreneurial or business-related subject. It must be of a quality and substantive nature, and must include a registration process as well as an evaluation process (e.g., 1-5-star ranking). Online training may be synchronous or asynchronous:

- **Synchronous** - A group of clients proceed through the training module(s) or program as a group.

- **Asynchronous** - A client individually proceeds through the training module(s) or program individually and is self-paced.

Total hours of training - The total number of hours the trainer spends teaching the training session.

8.1.27 State - means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, the Commonwealth of the Northern Mariana Islands, and Guam, or an agency, instrumentality, or fiscal agent thereof.