



# SBA Procedural Notice

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**TO:** All Employees

**CONTROL NO.:** 5000-1119

**SUBJECT:** Recovery Act – Microloan Recipient Reporting

**EFFECTIVE:** 7/31/2009

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On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009 (the “Recovery Act”) (Pub. L. No. 111-5). The Recovery Act is expected to save or create millions of jobs, in part through increased lending to businesses. As part of the Recovery Act, SBA’s Microloan Program received additional funding to support up to \$50 million in new lending volume and \$24 million in new technical assistance grants.

**This notice is to inform microloan intermediaries (“Intermediaries”) that, effective immediately and until further notice, all new loans and grant awards made to Intermediaries will be funded with Recovery Act dollars.** One of the goals of the Administration is to ensure greater transparency as to the use of Recovery Act dollars. As a result, recipients of Recovery Act funds are subject to a new set of reporting requirements (Section 1512 of the Recovery Act), which are subject to guidance issued by the Office of Management and Budget (“OMB”).

**This notice also provides information on how the Recovery Act reporting requirements apply to Intermediaries.** This may impact the information that Intermediaries require from their microloan borrowers. The new reporting requirements are subject to change by OMB, but SBA is committed to assisting Intermediaries with the requirements. In addition, SBA is modifying microloan agreements to contain new terms and conditions that will require Intermediaries to submit reports for any Recovery Act funded loans and grants and that will address other requirements set forth in the Recovery Act and OMB’s guidance. See [http://www.whitehouse.gov/omb/recovery\\_default/](http://www.whitehouse.gov/omb/recovery_default/).

## Reporting Requirements for Intermediaries

Section 1512 of the Recovery Act establishes new reporting requirements for the funds provided in the Act. For Intermediaries, two of the most important changes to existing reporting requirements are:

- A. Required registration with three databases to receive identifying numbers for Intermediaries. (DUNS, CCR and Federal Reporting.gov)
- B. Quarterly submission of reporting data directly to [FederalReporting.gov](http://www.whitehouse.gov/omb/recovery_default/).

The new quarterly reporting requirement is in addition to the current Microloan Program reporting requirements. Data reported through FederalReporting.gov will need to be consistent

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**EXPIRES:** xxx

**PAGE 1 of 11**

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with information reported to SBA.

More details on each of these requirements are listed in the sections below and SBA will hold training sessions with its Intermediaries to answer additional questions. Compliance with the reporting requirements will be considered a part of the Intermediary's performance record. **Note that noncompliance with the reporting requirements is a violation of the loan agreement and/or grant award.**

## A. Database Registration

There are three places where Intermediaries must register if they have not previously registered with these databases. SBA recommends completing these registrations in the following order.

### 1. Dun & Bradstreet Data Universal Numbering System (DUNS) Number

([www.dnb.com](http://www.dnb.com))

**How to register:** DUNS numbers may be requested via the Web ([www.dnb.com](http://www.dnb.com)). DUNS number assignment is free for all organizations required to register with the Federal government for contracts or grants. More instructions on requesting a DUNS number are available on [grants.gov](http://grants.gov).

([http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp))

### 2. Central Contractor Registration (CCR) ([www.ccr.gov](http://www.ccr.gov))

**How to register:** Registration may be completed via the Web ([www.ccr.gov](http://www.ccr.gov)) and, depending upon the size and complexity of your organization, it may take several days to complete and process your registration request. Because CCR is a federally mandated program, there is no cost for registrants. Intermediaries using Recovery Act funds must maintain current registrations in the CCR at all times during which they are required to report through [FederalReporting.gov](http://FederalReporting.gov). Note that a DUNS Number is required for registration in the CCR.

### 3. FederalReporting.Gov ([www.FederalReporting.gov](http://www.FederalReporting.gov))

**How to register:** This website is OMB's online web portal that will collect all Recovery Act recipient reports. Reporting recipients must be registered as authorized parties prior to submitting recipient reports on [FederalReporting.gov](http://FederalReporting.gov).

In order to register with [FederalReporting.gov](http://FederalReporting.gov), Intermediaries must already be registered in CCR and must have a DUNS number. According to the Recovery Accountability and Transparency Board ("the Board"), the registration process will be available by August 17, 2009.

## B. Submission of quarterly reports to FederalReporting.gov

### 1. The data submission process

As direct recipients of Recovery Act funding, Intermediaries are required to report on all projects or activities for which Recovery Act funds were expended or obligated and to

provide quarterly updates outlining project status and outcomes. Intermediaries must submit the required information via FederalReporting.gov no later than the tenth day after the end of each calendar quarter. Therefore, Intermediaries that receive Recovery Act funds before September 30, 2009, must submit their initial reports by October 10, 2009.

Intermediaries must continue to submit quarterly reports for each loan for a three-year reporting period after the Loan Closing Agreement. For each grant, intermediaries must continue to submit quarterly reports until either the Project Status is complete (i.e., the grant funds have been fully expended) or the Project/Grant Period has ended. Please see the Table at the end of this notice for the definitions of “Project Status” and “Project/Grant Period.”

Each quarterly report will cover cumulative activity, including modifications to existing awards, made with Recovery Act funding.

## **2. The data quality review process**

Following the submission of reporting information by Intermediaries by the tenth day after the close of the quarter, Intermediaries will have ten additional days to review their submission in FederalReporting.gov to ensure it is both complete and accurate. During this time, SBA will also have “view-only” access to the reporting information. At the conclusion of these ten days, Intermediaries will no longer be able to make changes to their submission. SBA will have ten more days to perform a data quality review of the Intermediaries’ reports. SBA will notify microlenders of any data anomalies or questions that need resolution. If notified of quality issues, the report will be unlocked and the Intermediary will have until the 29<sup>th</sup> day following the end of the quarter to complete any SBA-requested data corrections. Detailed recipient reports will be made available to the public not later than thirty days after the end of each calendar quarter on <http://www.Recovery.gov>.

## **3. Data that Intermediaries must report**

Guidance on Intermediary reporting requirements is subject to change by OMB and is posted at [http://www.whitehouse.gov/omb/recovery\\_default/](http://www.whitehouse.gov/omb/recovery_default/). Information on the specific data elements Intermediaries must report is included in the “data dictionary” for the *Recipient Reporting Data Model*. (See [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf)). SBA will assist Intermediaries in understanding which fields and data elements apply to them. Many of the requested data elements are already collected by Intermediaries and reported to SBA for regular microlending programs.

Intermediaries will need to report data relating to the following:

- a. Direct loans from Recovery Act funds (beginning with loans made after today)
- b. Technical assistance grants from Recovery Act funds (beginning with FY 2010 grant awards)

c. Third party vendors who received more than \$25,000 in aggregate compensation (beginning with FY 2010)

(Because the annual cycle of technical assistance grant awards was completed in June using non-Recovery Act funds, the reporting requirement related to technical assistance grants will not apply until the next set of grant awards in FY 2010.)

The first column in the Table below summarizes the current set of required data elements, which are subject to change by the Recovery Accountability and Transparency Board. The second column in the Table provides guidance to assist Intermediaries in completing data entries. However, the guidance is not intended to serve as a definitive set of user instructions and Intermediaries are directed to refer to OMB's website at [www.FederalReporting.gov](http://www.FederalReporting.gov). SBA will make every effort to notify Intermediaries of revisions to this guidance. The last three columns in the Table are to assist Intermediaries in comparing current data collected by SBA with new recipient reporting requirements. Note that the data element on jobs created and retained ("Number of Jobs") now comes with specific guidance on how this calculation should be done.

Federal Reporting.gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
<b>Loan or Grant Information</b> (complete this section once for each loan or grant award received with Recovery Act funds)				
Funding Agency Name	"Small Business Administration"	N/A		
Funding TAS	For loans: "028-00-73-4279/X" ; For Grants: "028-00-73-0101 2009/2010"	N/A		
Award ID	For Loans, <insert Loan Number> from Loan Agreement; For Grants, <insert Grant/Cooperative Agreement Number> from Grant Notice of Award	Yes	Loan Agreement and Grant Notice of Award	Loan Agreement No. and Grant/Cooperative Agreement No.
Recipient DUNS Number	DUNS Number of Intermediary	No		
Recipient MPIN Number	MPIN Number, which will be created during your CCR registration	No		
Parent DUNS Number	N/A - this entry will auto-populate	N/A		
Recipient EIN	N/A - this entry will auto-populate	N/A		
CFDA Number	N/A - this entry will auto-populate	N/A		
Recipient Name	N/A - this entry will auto-populate	Yes	MPERS -- Lender Detail Page	Lender Name
Recipient Address	N/A - this entry will auto-populate	Yes	MPERS -- Lender Detail Page	Address
Recipient City	N/A - this entry will auto-populate	Yes	MPERS -- Lender Detail Page	City
Recipient State	N/A - this entry will auto-populate	Yes	MPERS -- Lender Detail Page	State
Recipient Zip Code	N/A - this entry will auto-populate	Yes	MPERS -- Lender Detail Page	Zip Code
Recipient's Account Number	Leave blank, unless you would like to use this field for internal recordkeeping	N/A		

**EXPIRES: xxx**

**PAGE 5 of 11**

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FederalReporting.gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
Project/Grant Period	for Loans, "<Loan Note Date> to <Three Years after Loan Note Date>" from Loan Closing Agreement; for Grants, insert <Project Period> from Grant Notice of Award	Yes	for Loans: Loan Closing Agreement For Grants: Grant Notice of Award	For loans: Note Date AND Three Years after Note Date For Grants: Project Period (no. 4)
Report Period End Date	"9/30", "12/31", "3/31", OR "6/30"	N/A		
Final Report	For Loans: Check Yes if this is the last quarterly report prior to the end of your Project/Grant Period; otherwise No For Grants: Check Yes if this is the final quarterly report before either you finish spending your grant or the Project Grant Period ends; All other times check No	No		
Report Type Freq	"Quarterly"	N/A		
Award Type	"Grant" OR "Loan"	N/A		
Award Date	Date Signed "YYYYMMDD"	Yes	for Loans: Loan Closing Agreement For Grants: Grant Notice of Award	for Loans: Note Date For Grants: Date Issued (No. 22)
Award Description	For loans, "Microloans"; For grants, "Technical Assistance to Microborrowers"	N/A		
Award Amount	Dollar value of loan or grant award	Yes	For Loans: Loan Authorization & Closing Agreement For Grants: Grant Notice of Award	For Loans: Total Amount of Loan Approved For Grants: Award Amount (No. 9)
Project Name	For loans, "Microloans"; For grants, "Technical Assistance to Microborrowers"	N/A		
Activity_Code	"S02" (this NCCS-NPS Code means Community Economic Development)	N/A		
Activity_Description	N/A – this entry will auto-populate	N/A		

FederalReporting.gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
Project Status	"Not Started" or "Less than 50% Completed" or "Completed 50% or more" or "Fully Completed". This refers to the percentage of project funds that the Intermediary has spent (for loans, in microloans to microborrowers; for grants, in spending related to technical assistance. Note, for grants this includes matching funds).	No		
Job Creation	For loans: "Microborrowers created or retained" <insert Number of Jobs - see next row> "jobs." For grants: "The number of jobs created or retained by this grant is" <insert Number of Jobs -- see next row> ". These positions support training and technical assistance services funded by the Recovery Act."	N/A		

FederalReporting.gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
Number of Jobs	<p>For loans and grants, the estimate of the number of jobs should be expressed as “full-time equivalents” (FTE), which is calculated as total hours worked in jobs created or retained divided by the number of hours in a full-time schedule, as defined by the recipient. This calculation converts part-time or temporary jobs into FTE jobs. (Thus, if full-time is defined as 40 hours a week and two full-time employees and a part-time employee who works 20 hrs/wk are hired as a direct result of Recovery Act funding, this would count as <math>100\text{hrs}/40\text{hrs} = 2.5</math> FTEs.) This number should exactly match the job estimate reported to SBA, and should be adapted over time to reflect the actual jobs created or retained.</p> <p>For loans, please report the jobs created or retained by microborrowers.</p> <p>For grants, please report the number of jobs created or retained that support training and technical assistance services funded by the Recovery Act. (For example, if a technical assistance grant supports a half-time trainer at your Intermediary, please report .5 .)</p>	Yes – but note new guidance on calculation	MPERS	Jobs Created + Job Retained
FedExpenditure	For loans, amount of funds disbursed to microborrowers; For grants, amount of grant funds spent	No - loan; Yes - grant	Technical Assistance Reimbursement Report	Total expenses
Total Infrastructure Expenditure	"0"	N/A		
Total Fed ARRA Expenditure	for loans, amount of funds disbursed to microborrowers; for grants, amount of grant funds spent	No		
Total Fed NonARRA Expenditure	"0"	N/A		



FederalReporting.gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
Total Non Fed Expenditure	For loans: "0" For grants: <insert 25% of FedExpenditure> i.e. matching funds	No		
Infrastructure Rationale	"Not Applicable"	N/A		
Pop State Code	<FIPS State Code>	Yes	Grant Notice of Award	State Code (No. 19c)
Pop Location Code	<FIPS City Code>	Yes	Grant Notice of Award	City Code (No. 19a)
Pop Location Name	<City Name>	Yes	Grant Notice of Award	City Name in Address (No. 3)
Pop Congress Dist	<Congressional District>	Yes	Grant Notice of Award	Congressional District No. (No. 18)
Recipient Area of Benefit	"State" or "County" or "City" or "School District"	No		
Top 5 Recipient Officer Name	"Not applicable"	N/A		
Top 5 Recipient Officer Total Comp	"Not applicable"	N/A		
Total Number of Small Subawards	"Not applicable"	No		
Total Amount of Small Subawards	"Not applicable"	No		

Federal Reporting. gov - data element required	Guidance on how to complete this entry	Mapping to existing data collected by SBA		
		Captured currently by SBA?	Location	Name of field in current location
<b>Vendor Information</b> (complete this section once for each third party vendor who received more than \$25,000 in aggregate compensation)				
Award ID	for Loans, <insert Loan Number> from Loan Agreement; for Grants, <insert Grant/Cooperative Agreement Number> from Grant Notice of Award	Yes	Loan Agreement and Grant Notice of Award	Loan Agreement No. And Grant/Coopera tive Agreement No.
Sub Contract Number	Identifying Number assigned by Intermediary to this contract	No		
Vendor DUNS Number	Vendor's DUNS number (Must complete EITHER DUNS number OR Vendor's Zipcode & Name)	No		
Vendor HQ Zipcode	Zipcode of Vendor's headquarters (Must complete EITHER DUNS number OR Zipcode & Name)	Yes	In contracts sent to SBA	Vendor HQ Zipcode
Vendor Name	Name of vendor (Must complete EITHER DUNS number OR Zipcode & Name)	Yes	In contracts sent to SBA	Vendor Name
Product Service Description	A description of product or service provided by the vendor	Yes	In contracts sent to SBA	Product Service Description
Payment Amount	Amount paid to the vendor	Yes	In contracts sent to SBA	Payment Amount

**Further Information**

As noted earlier, SBA is committed to assisting our Intermediaries and we will provide additional information and training as reporting guidance evolves. Intermediaries are strongly advised to consult OMB’s website at [www.FederalReporting.gov](http://www.FederalReporting.gov) for guidance on registration, reporting and other requirements under the Recovery Act, and for support from OMB’s Helpdesk. For further information about SBA’s Microlending program and Recovery Act reporting requirements, please contact the individual indicated below based on your location:

<b><u>Contact</u></b>	<b><u>Phone Number</u></b>	<b><u>Jurisdictions</u></b>
Jaunice Rufai	202-401-1469	California, North Dakota, Georgia, South Carolina, Illinois, Arkansas, Connecticut, New Mexico, Puerto Rico, Nevada, Nebraska, Oklahoma, Montana
Barbara Jones	202-205-7550	Hawaii, Idaho, Kansas, Kentucky Louisiana, Maryland, Oregon, Rhode Island, South Dakota, Tennessee Wisconsin, Virginia
Andean Lewis	202-205-7698	Colorado, Alabama, District of Columbia, Delaware, Florida, Maine, Mississippi, North Carolina, Ohio, Texas, Vermont, Washington, Wyoming
Earnest Knott	202-401-6786	Massachusetts, Michigan, Minnesota, Missouri, New York
Janet Blackwell-Robinson	202-205-7134	Arizona, Indiana
Anita Jacobs	202-205-6557	New Jersey, Pennsylvania, Iowa, West Virginia

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**EXPIRES: xxx**

**PAGE 11 of 11**

SBA Form 1353.2 (12-93) MS Word Edition; previous editions obsolete  
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