NEU and Non–UGLGs Agreements and Supporting Documents User Guide

State and Local Fiscal Recovery Funds

December 14, 2021

Version 1

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I. Reporting Basics

a) Overview

This document provides information for Non-entitlement units of local government (NEUs) and units of general local government within counties that are not units of general local government (Non-UGLG) on using Treasury's Portal to submit the information required under the Coronavirus State and Local Fiscal Recovery Fund (SLFRF) Compliance and Reporting Guidance (Reporting Guidance). The Reporting Guidance contains relevant information and guidance on reporting requirements.

Each NEU and Non-UGLG is required to provide the following information once their accounts are established in Treasury's Portal and prior to the due date of their first annual Project and Expenditure Report, which is April 30, 2022:

- Copy of the signed award terms and conditions agreement (which was signed and submitted to the State or U.S. territory as part of the request for funding);
- Copy of the signed assurances of compliance with Title VI of the Civil Rights Act of 1964 (which was signed and submitted to the State or U.S. territory as part of the request for funding); and
- Copy of actual budget documents validating the top-line budget total provided to the State or U.S. territory as part of the request for funding.

You should visit the Treasury's SLFRF home page for the latest guidance and updates on programmatic and reporting topics.

Each SLFRF recipient, including NEUs and Non-UGLGs, is required to submit periodic reports with current performance and financial information including background information about the SLFRF projects that are the subjects of the reports; and financial information with details about obligations, expenditures, direct payments, and subawards. Additional details for submitting this information will be included in a separate Project and Expenditure Report user guide.

b) What is Covered in this User Guide?

This User Guide contains information for NEUs and Non-UGLGs on using Treasury's Portal to confirm their accounts, designate the SLFRF reporting roles and submit the required information.

c) Questions?

If you have any questions about the SLFRF program's reporting requirements, please contact us by email via SLFRP@treasury.gov.

II. NEU Account Setup- Designating SLFRF Points of Contact

This section provides a brief instruction for SLFRF Account Administrators on accessing Treasury's Portal and providing the names and contact information of individuals to be designated as your organization's points of contact for SLFRF reporting.

SLFRF recipients are required to designate staff or officials for the following three roles in managing reports for their SLFRF award. Recipients must make the required designations prior to accessing Treasury's Portal to submit report. The required roles are as follows:

- **Account Administrator** for the SLFRF award has the administrative role of maintaining the names and contact information of the designated individuals for SLFRF reporting. The Account Administrator is also responsible for working within your organization to determine its designees for the roles of Point of Contact for Reporting and Authorized Representative for Reporting and providing their names and contact information via Treasury's Portal. Finally, the Account Administrator is responsible for making any changes or updates to the user roles as needed over the award period. We recommend that the Account Administrator identify an individual to serve in his/her place in the event of staff changes. Please note, for NEUs, the point of contact initially provided to their State for determining eligibility will automatically be designated as an Account Administrator.

- **Point of Contact for Reporting** is the primary contact for receiving official Treasury notifications about reporting on the SLFRF award, including alerts about upcoming reporting, requirements, and deadlines. The Point of Contact for Reporting is responsible for completing the SLFRF reports.

- **Authorized Representative for Reporting** is responsible for certifying and submitting official reports on behalf of the SLFRF recipient. Treasury will accept reports or other official communications only when submitted by the Authorized Representative for Reporting. The Authorized Representative for Reporting is also responsible for communications with Treasury on such matters as extension requests and amendments of previously submitted reports. The official reports may include special reports, quarterly reports, interim reports, and final reports.

Some key items to note:

- To access Treasury's Portal for the first time and be designated for any roles, users must first register with Login.gov.
- Users who have previously registered through ID.me may continue to access Treasury's Portal through that method. Refer to this link for additional instructions.
- If you have not previously registered with ID.me, you should register through Login.gov following this link. The following links provide additional information:
    o https://login.gov/create-an-account/
    o https://login.gov/help/get-started/create-your-account/
- An individual may be designated for multiple roles. For example, the individual designated as the Point of Contact for Reporting may also be designated as the Authorized Representative for Reporting.
- The recipient may designate one individual for all three roles.

- Multiple individuals can be designated for each role.
- An organization may make changes and updates to the list of designation individuals whenever needed. These changes must be processed by the Account Administrator.

For NEUs and Non-UGLGs, Treasury will assign as the Account Administrator the point of contact (POC) provided by the State or U.S. territory when the NEU and Non-UGLG information was provided to Treasury. The Account Administrator is responsible of designating the three roles to manage the reporting requirements for the program.

In the event a change is needed to the Account Administrator designation, the individual currently assigned to that role should process the change in Treasury's Portal, following the instructions below.

1. Register in the ID.me or Login.gov system to access Treasury's Portal.

2. Click on the link in the email received requesting the POC designations.
   - The link will take you to the Treasury Portal "State, Local, and Tribal Support" landing page as shown in Figure 1.

3. Once on that page, click on the *Go to Your Report* button at the bottom left of the screen, as indicated in by the red box in Figure 1.

State, Local and Tribal Support
Compliance

Introduction
Compliance Reports

Welcome to the Treasury Programs supporting state, territory, Tribal, and local governments as part of the 2021 American Rescue Plan.

Depending on if you are a state, territory, local, or Tribal government, you will be eligible for different programs. Information regarding the various funds follows.

Compliance Process

You now have a login and 24/7 access to this portal. You have two options while working on your compliance report(s) – save your progress or submit the submission. If you save, you can return and edit information as needed. To resume working on a draft submission, click on "Compliance Reports" using the navigation to the left of the page. This will bring you to your list of compliance reports, click "Provide Information" to continue the process.

NOTE: Once a compliance report is certified it cannot be reopened. Contact the Treasury to reopen a case.

State and Local Fiscal Recovery Funds (SLFRF)
$350 billion available for state, territory, Tribal, and local governments to support the public health response and lay the foundation for a strong and equitable economic recovery.

Emergency Rental Assistance (ERA)
$21.6 billion available for state, territory, and local governments to assist households that are unable to pay rent and utilities.

Homeowner Assistance Fund (HAF)
Nearly $10 billion available for state, territory, and Tribal governments to provide relief for our country's most vulnerable homeowners.

Ready to get started? Click "Go to your reports" below.

Go To Your Reports

Figure 1 State, Local and Tribal Support Landing Page

- The *Go to Your Report* button will take you to the Submissions and Compliance Forms page (refer to Figure 2).

4. Once on the Submissions and Compliance Forms page, click on the three-line navigation icon at the top left of the screen. The red box indicates the icon (refer to Figure 2).

Figure 2 Three Line Navigation Icon

- After clicking on the three-line navigation icon, a drop-down menu will appear on the top left of the screen as shown below.

5. Click on "Account" from the drop-down menu, as shown in Figure 3.
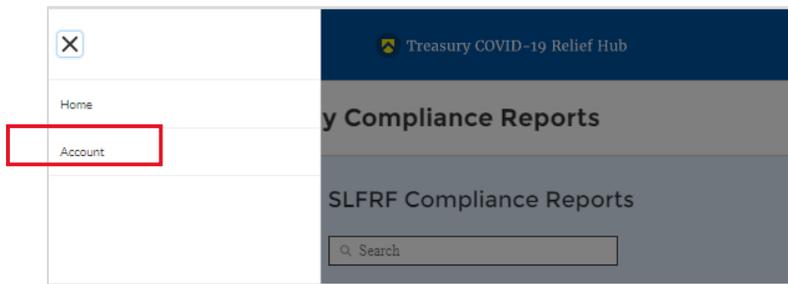
Figure 3 Account Information Icon

6. Under the "Account Name" heading, click on the name of your organization (as indicated in Figure 4).
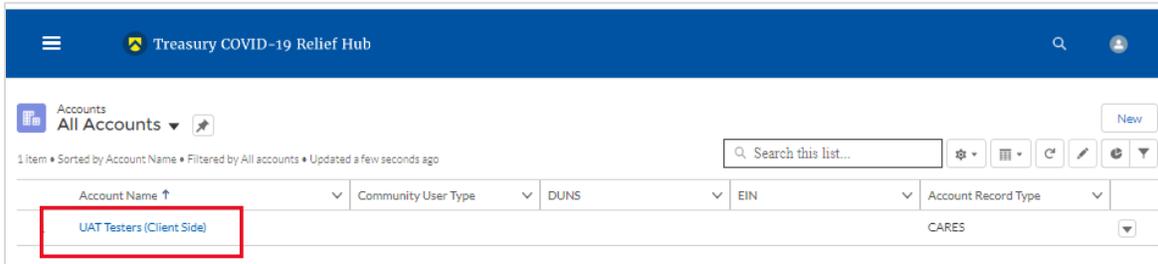
Figure 4 Account Name Information

7. By clicking the name of your organization, Treasury's Portal will open to allow you to provide names and contact information on your organization's designees for the SLFRF reports, as shown in Figure 5. The landing page provides basic information about the designations.

Figure 5 Reporting Designations

8. Click on the "Certification" button on the left navigation bar, as shown in Figure 6 when you are ready to key in the names of the designated individuals.

Figure 6 Designation of Individuals

9. On the "Official Certification of Authorization" screen (refer to Figure 7), type in your name to indicate you are authorized to submit the names of the designated individuals. Once you enter your name, click on the *Submit b*utton.

Figure 7 Official Certification of Authorization

10. Click on the "Designation Form" button on the left navigation bar, as indicated in Figure 8.

Figure 8 Designation Form

11. Clicking on the "Designation Form" button will open the "Designation of Account Administrator, Point of Contact for Reporting, and Authorized Representative for Reporting" screen shown in Figure 9.

Designation of Account Administrator, Point of Contact for Reporting, and Authorized Representative for Reporting

Please provide contact information for up to three individual(s) who will serve in the following roles for your program award

   1) Account Administrator
   2) Point of Contact for Reporting
   3) Authorized Representative for Reporting

An individual may serve in one or more roles.

Please provide the designees for the program award only, as listed in the introductory email note.

Please select "complete" after you have provided the contact information for all designees.

Please note: you can save the fillable form and return to it later using the link in the email note.

Please direct any questions to the email included in the email box related to your program. Please include "POCs for Reporting" in the subject of your email note.

Salutation	Title	Program-Roles
--None--		SLFRF - Account Administrator
First Name	Phone	
		SLFRF - Point of Contact for Reporting
Middle Name	Email	
		SLFRF - Authorized Representative for Reporting
Last Name	Name of Entity/Organization	
Suffix		

Figure 9 Designation Screen of SLFRF Reporting Roles

12. Use the "Designation Form" to enter the names and contact information for each of the three designations for each of you SLFRF reporting roles, as follows:

- SLFRF – Account Administrator

- SLFRF – Point of Contact for Reporting

- SLFRF – Authorized Representative for Reporting

13. Enter the following information about each individual being designated for each of the roles in the "Designation Form" screen (see Figure 9):

- Salutation (optional)

- First Name

- Middle Name (optional)

- Last Name

- Suffix (optional)

- Title

- Phone

- Email

- Name of Entity/Organization (Recipient entity)

14. After entering the name and required contact information, select the Program Role(s) for which the individual is being designated.
15. Once the role is selected, click on the small arrow to the right of the role, which will move the role to the box on the right.
16. Click on the *Complete* button at the bottom of the screen.
17. Follow the same process for each of the remaining designees.
18. When you have entered all three designations, please press the *Complete* button.
19. As a final step, go to the icon on the upper right of the screen to exit the system.
20. The screen will display a list at the bottom of the screen with the names and contact information of individuals (if any) who have previously been designated for any of the three roles.   This list will be important in maintaining and updating your organization's designees in the future.
21. To update or remove the Point of Contact for Reporting and the Authorized Representative for Reporting, highlight the name and click the arrow pointing to the left to remove the individual.
22. To update or designate another Account Administrator, the current Account Administrator performs the following steps:
    a. Find your name at the bottom of the screen.
    b. Hit the blue *Edit* button located to right of your name.
    c. Enter the name and contact information of the new SLFRF Account Administrator.
    d. Hit the blue *Complete* button.

III. NEU document requirements

This section provides details for NEUs and Non-UGLGs to provide the requested information in Treasury's Portal.

a) Recipient Profile

Upon login, you will be directed to the recipient information page, which is intended to verify relevant information in Treasury's Portal. On this screen, you will review and confirm key information on your organization and input any additional information Recipient Profile information will be pre-populated based on the information provided by your State or U.S. Territory to Treasury. If you have previously entered a DUNS (+4) number, it will appear here.

1. Review and confirm your Recipient Profile prepopulated from the information provided by your State or U.S. territory (see Figure 10).
2. If you have a Recipient DUNS (+4) number and the field is not populated, update as necessary.
3. Verify the names and contact information for individuals the recipient has designated for key roles for the SLFRF program displayed on the screen (see Figure 11).

Figure 10 Recipient Information

Figure 11 Point of Contact List

4. If changes are needed to the information displayed on the screen, use the textbox (see Figure 12), refer to the instructions in Section II to update the applicable roles, or contact SLFRP@treasury.gov.

Figure 12 Recipient Profile Discrepancies Entry

5. Once all fields have been reviewed and verified, click the *Save* button to save your progress, then click the *Next* button to proceed to the following screen.

b) NEU Agreements and Supporting Documents

On this screen, the NEUs and Non-UGLGs are asked to provide the documents prior to their first Project and Expenditure Report.

1. Click the appropriate "Upload" icon or drop the files as follows (refer to Figure 13):
   a. Copy of the signed award terms and conditions agreement (which was signed and submitted to the State or U.S. territory as part of the request for funding)
   b. Copy of the signed assurances of compliance with Title VI of the Civil Rights Act of 1964 (which was signed and submitted to the State or U.S. territory as part of the request for funding)

    c. Copy of actual budget documents validating the top-line budget total provided to the State or U.S. territory as part of the request for funding

2. Load the necessary documents. The system will accept documents in any format.

Figure 13 NEU Documents Screen

3. Once all fields have been reviewed and verified, click the *Save* button to save your progress, then click the *Next* button to proceed to the following screen.

c) Official Certification

On this screen, the Authorized Representative for Reporting (ARR) will be asked to certify information pertaining to the documents provided. By certifying this submission, the ARR is confirming that all reported information is accurate and approved for submission (see Figure 14).

Users who are not designated as an ARR will not be presented with the screen.

1. The ARR's Name, Title, Telephone Number, and E-Mail Address will be presented on screen for review.
2. Allow the Certifying Official to review all prior screens and entries to verify accuracy of the inputted record. Refer to Figure 14.

Official Certification

Statement

I certify that the information provided is accurate and complete after reasonable inquiry of people, systems, and other information available to the SLFRF recipient. The undersigned acknowledges that any materially false, fictitious, fraudulent statement, or representation (or concealment or omission of a material fact) in this submission may be the subject of criminal prosecution under the False Statements Accountability Act of 1996, as amended, 18 USC 1001, and also may subject me and the SLFRF Recipient to civil penalties, damages, and administrative remedies for false claims or otherwise (including under 31 USC 3729 et seq.) The undersigned is an authorized representative of the SLFRF Recipient with authority to make the above certifications and representations on behalf of the SLFRF Recipient.

By signing this report, the Authorized Representative for Reporting acknowledges in accordance with 31 CFR 35.4(c) that recipients shall provide to the Secretary periodic reports providing detailed accounting of the uses of funds, as applicable, all modifications to a State's or Territory's tax revenue sources, and such other information as the Secretary may require for the administration of this program. In addition to regular reporting requirements, the Secretary may request other additional information as may be necessary or appropriate, including as may be necessary to prevent evasions of the requirements of this program. False statements or claims made to the Secretary may result in criminal, civil, or administrative sanctions, including fines, imprisonment, civil damages and penalties, debarment from participating in Federal awards or contracts, and/or any other remedy available by law.

Name of Current Login User

The information for the currently signed in user will populate as the Authorizer of this submittal. Only those in Role of Authorized Representative for Reporting or Authorized Representative on the Submission record will have access to Certify and Submit.

Name:
Robb (Compliance Portal Testing)

Telephone:
111-222-3333

Title:
UAT Testing

Email:
✉

Figure 14 Certification Screen

3. Once all of the information is validated, click the *Submit* button to complete the entry.