

# NEU and Non-UGLG Distribution Templates User Guide

State and Local Fiscal Recovery Funds



August 9, 2021  
September 2, 2021

Version 1.0  
Version 1.0



**Table of Contents**

**Section I. Reporting Basics.....1**

**Section II. Reporting Requirements- Non-Entitlement Units of Local Government.....3**

**Section III. Reporting Requirements- Units of General Local Government within Counties that are Not Units of General Local Government.....9**

**Appendix A – Template Overview.....13**

OMB Control Number: 1505-0271

OMB Expiration Date: 04/30/2025

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## Section I. Reporting Basics

### a) Overview

This document provides guidance for States and U.S. Territories submitting required Coronavirus State and Local Fiscal Recovery Fund (SLFRF) reports and information. It is a supplement to the Compliance and Reporting Guidance ([Reporting Guidance](#)), which contains relevant information and guidance on reporting requirements.

Additionally, you should visit the Department of Treasury's (Treasury) [SLFRF home page](#) for the latest guidance and updates on programmatic and reporting topics.

### b) What is Covered in this User Guide?

This User Guide provides detailed instructions to help States and U.S. Territories gather and complete the following templates and submit them to Treasury via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov):

- Non-Entitlement Units of Local Government (NEU) Distribution Templates
- Units of general local government within counties that are not units of general local government (Non-UGLG) Distribution Templates

Recipients will submit the information using one of the templates noted below:

- [NEU Distribution- Eligible NEUs](#)
- [NEU Distribution- Ineligible \(for listing ineligible Local Governments\)](#)
- [NEU Distribution- Transactions](#)
- [Non-UGLG- Distribution](#)
- [Non-UGLG- Transactions](#)

When using the templates, recipients must provide the required information in specified formats and use the Treasury approved templates. Recipients may download each of the templates separately from [Treasury's website](#). Please see Appendix A – Template Overview for complete guidance on using the templates.

### c) DUNS Transition to UEI

Beginning on April 4, 2022, as part of the federal government's transition for all federal awards, all entities doing business with the federal government will use the Universal Entity Identifier (UEI) number assigned by the U.S. General Services Administration (GSA) in the System for Award Management (SAM.gov). Therefore, Treasury will no longer be able to accept a Data Universal Numbering System (DUNS) number as a valid identification number, and Treasury will no longer require that applicants, recipients, subrecipients, or contractors provide a DUNS number when applying for Treasury awards; however, the UEI needs to be provided.

States and U.S. Territories should remind NEUs that to receive SLFRF funds they need to obtain an updated SAM.gov registration that includes the UEI. States and U.S. Territories will be required to provide the UEI for all eligible NEUs in their jurisdiction that received funds.

If the NEU has an existing and active registration in [SAM.gov](#), the UEI has already been assigned and is viewable in their SAM.gov account. The UEI number is located below the DUNS number on the entity registration record. Treasury will automatically populate the existing account records with the GSA-issued UEI number in the Treasury.gov application and



compliance portal, as applicable.

Questions about the conversion from DUNS number to UEI number should be directed to GSA. Information about the **UEI** transition can be found on GSA's webpage, [here](#).

You can also find additional resources below:

[External UEI Transition FactSheet](#)

[FAQs on SAM.gov and UEI Transition](#)

**d) Questions?**

If you have any questions about the SLFRF program's reporting requirements, please contact us by email via [SLFRF@treasury.gov](mailto:SLFRF@treasury.gov).



## Section II. Reporting Requirements- Non-Entitlement Units of Local Government

Non-entitlement Units of Local Government (NEUs), defined in section 603(g)(5) of the Social Security Act, as added by section 9901 of the American Rescue Plan Act of 2021, are local governments typically serving populations of less than 50,000. NEUs include cities, villages, towns, townships, or other types of local governments.

NEUs receive SLFRF payments through their State and U.S. Territory governments. State and U.S. Territory governments receive a specific allocation of these funds from Treasury for this purpose and are responsible for distributing these funds to the NEUs within their State or U.S. Territory. Award amounts are based on population. Payments are being made in two tranches.

Additional information on distributions to NEUs, allocations, and payments can be found [here](#).

States and U.S. Territories were required to provide an update on distributions to eligible NEUs as part of the Interim Report, covering NEU distributions provided as part of the First Tranche from the date of award to July 31, 2021.

Recipients were also asked to provide updates on distributions to individual NEUs to Treasury every month thereafter until all distributions were made. This reporting will continue for distributions made during the Second Tranche process. States and U.S. Territories should, unless otherwise instructed by Treasury, provide updates to Treasury where information or status has changed.

Templates will be available for download from [Treasury's website](#). Each NEU template will need to be completed separately to allow for the proper uploading of information that Treasury will perform on behalf of the State or U.S. Territory.

Specific step-by-step instructions for filling out the NEU templates are noted below. Appendix A includes an overview of templates and the information associated with formats and content to include in the templates.

The following NEU Distribution templates are included in this section:

- NEU Distribution- Eligible NEUs
- NEU Distribution- Ineligible (for listing ineligible Local Governments)
- NEU Distribution- Transactions

For NEU specific guidance, visit [Treasury's SLFRF website for NEUs](#).





**Note:** - The State or U.S. Territory should ascertain that all NEUs identified by Treasury for such State or U.S. Territory are included in the reporting, as part of the Eligible NEUs template (see II.a.) or the Ineligible template (see II.b.). The list of NEUs can be found [here](#) in the **List of Local Governments** excel. As such, if a State or U.S. Territory has 300 potential eligible NEUs on the list, the information reported to Treasury should reflect all 300 NEUs broken out (as applicable) between the Eligible NEU or Ineligible Local Governments templates and status of action. Refer to example below.

**State XX- Total Local Governments (per list)- 300**

**Eligible NEUs- 250** (report as part of Eligible NEUs. Refer to II.a.)

Action Taken (NEU requested funding or declined funding and requested transfer to State) 150

Action Not Taken (NEU is nonresponsive or declined funding but has not requested transfer) 100

**Ineligible Local Governments- 50** (report as part Ineligible template. Refer to II.b.)

In accordance with Treasury’s [guidance](#) on distributions to NEUs, please note that only “weak minor civil divisions (MCD)” governments (Illinois, Indiana, Kansas, Missouri, Nebraska, North Dakota, Ohio, and South Dakota) should have deemed any local governments on Treasury’s List of Local Governments as ineligible, barring exceptional circumstances.

**a. NEU Distribution: Eligible NEUs**

**Note: As of the date of this user guide, States and U.S. Territories are not required to submit the Eligible NEUs data as information was gathered as part of the First Tranche. In the event that any updates to information are required, States or U.S. Territories should email Treasury at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).**

In this template, the State or U.S. Territory will populate the table for all eligible NEUs within the State and U.S. Territory’s jurisdiction, including all eligible NEUs that are unresponsive or declined funding. The “Status” column will enable the recipient to indicate whether the NEU has acted on their funding.

In the event the State or U.S. Territory needs to update information (including changing the “Status” from Action Not Taken to Action Taken), the State or U.S. Territory should submit updates to the previously submitted data.

For NEUs that are unresponsive, States or U.S. Territories do not have to provide information for all fields. The table below notes the fields that are required if 1) NEU has taken action (e.g., requested funding or declined funding and requested a transfer to the State or U.S. Territory) or 2) NEU has not taken action (e.g., is unresponsive or declined funding).



1. Download the [NEU Distribution- Eligible NEUs](#) template from [Treasury's website](#).
2. Fill the downloaded template with information specific to the distributions to NEUs, as follows. Optional fields are denoted by (\*). "Column" below refers to the applicable area in the excel template.

| Template Column | Action   | Required for NEU that Has Taken Action (e.g., Requested Funding) | Required for NEU that Has Taken Action (declined funding and requested transfer) | Required for NEU that Has Not Taken Action (e.g., Unresponsive or Declined Funding) |
|-----------------|--|--|--|---|
| B               | Provide the name of the State or U.S. Territory in which the NEU resides   | Yes  | Yes  | Yes   |
| C               | Include the NEU's unique recipient identification number assigned by the State or U.S. Territory to the NEU (e.g., AZ0013)                                 | Yes  | Yes  | Yes   |
| D               | Include the legal name of the NEU  | Yes  | Yes  | Yes   |
| E               | Include the NEU's Unique Entity Identifier (UEI)*  | Yes  | Yes  | No  |
| F               | Include the NEU's Taxpayer Identification Number (TIN)*  | Yes  | Yes  | No  |
| G-M             | Include the NEU's address (including city, State, zip code, and zip+4)   | Yes  | Yes  | No  |
| N               | Include the NEU's primary email address. If there is no NEU primary email address, provide the point of contact's email address*                           | Yes  | Yes  | No  |
| O               | Include the NEU's primary point of contact's full name (first then last)*  | Yes  | No   | No  |
| P               | Include the NEU's primary point of contact's phone number (###-###-####)*  | Yes  | No   | No  |
| Q               | Include the NEU's primary point of contact's email address*  | Yes  | No   | No  |
| R               | Include the NEU's authorized representative name. If the primary point of contact is also the authorized representative, provide the name again*           | Yes  | Yes  | No  |
| S               | Include the NEU's authorized representative email address. If the primary point of contact is also the authorized representative, provide the email again* | Yes  | Yes  | No  |
| T               | Indicate the NEU's eligibility status:   | Yes  | Yes  | Yes   |



| Template Column | Action   | Required for NEU that Has Taken Action (e.g., Requested Funding) | Required for NEU that Has Taken Action (declined funding and requested transfer) | Required for NEU that Has Not Taken Action (e.g., Unresponsive or Declined Funding) |
|-----------------|--|--|--|---|
|                 | <ul style="list-style-type: none"> <li>Action Taken (i.e., the NEU requested funding) or declined funding and requested Sec. 603-(c)(4) transfer to the State)</li> <li>Action Not Taken (i.e., the NEU is nonresponsive or declined funding)</li> </ul> |  |  |   |
| U               | Provide the Total NEU Budget Reference submitted by the NEU as part of its request for funding or Sec. 603-(c)(4) transfer to the State*   | Yes  | Yes  | No  |
| V               | Provide the revised Total NEU Budget Reference (e.g., if revisions were made based on updated Treasury guidance on the NEU's interpretation of the 75 percent budget cap issued on June 30, 2021)*   | Yes- if applicable   | No   | No  |
| W               | Provide the Total Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches before application of the 75 percent budget cap   | Yes  | Yes  | Yes   |
| X               | Provide the Total Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches (before application of 75 percent budget cap) (first revision, if applicable)*  | Yes- if applicable   | No   | No  |
| Y               | Provide the Total Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches (before application of 75 percent cap) (second revision, if applicable)*  | Yes- if applicable   | No   | No  |
| Z               | Provide the Final Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches after application of the 75 percent budget cap *  | Yes  | Yes  | No  |
| AA              | Provide the Final Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches after application of the 75 percent budget cap (first revision, if applicable)*   | Yes- if applicable   | No   | No  |
| AB              | Provide the Final Allocation Across 1 <sup>st</sup> and 2 <sup>nd</sup> Tranches after application of the 75 percent budget cap (second revision, if applicable)*  | Yes- if applicable   | No   | No  |
| AC              | Include any additional notes   | No   | No   | No  |





| Template Column | Action  | Required for NEU that Has Taken Action (e.g., Requested Funding) | Required for NEU that Has Taken Action (declined funding and requested transfer) | Required for NEU that Has Not Taken Action (e.g., Unresponsive or Declined Funding) |
|-----------------|---|--|--|---|
|                 | required to explain the NEU distribution summary line items, as applicable* |  |  |   |

3. Provide the NEU Distribution- Eligible NEUs template to Treasury via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).

**b. NEU Distribution: Ineligible Local Governments**

**Note: As of the date of this user guide, States and U.S. Territories are not required to submit the Ineligible Local Governments data as information was gathered as part of the First Tranche. In the event that any updates to information are required, States or U.S. Territories should email Treasury at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).**

In this template, the State or U.S. Territory will populate the local governments that were deemed ineligible to receive a NEU distribution. Optional fields are denoted by (\*). “Column” below refers to the applicable area in the template file.

1. Download the [NEU Distribution- Ineligible Local Governments](#) template (for listing ineligible Local Governments) from [Treasury’s website](#).
2. Fill the downloaded template with information specific to Ineligible Local Governments, as follows. Refer to Appendix A for additional information related to the template.
  - Column B: Provide the name of the State or U.S. Territory in which the local government resides
  - Column C: Include the legal name of the Local Government
  - Column D: Include the Local Government’s UEI, if known or available\*
  - Column E: Select the rationale for ineligibility:
    - Ineligible MCD (i.e., any Minor Civil Divisions in a “weak-MCD” State that did not meet the facts-and-circumstances test as outlined in Treasury’s guidance)
    - Other. If other, provide additional explanation in Column E
  - Column F: Provide an explanation for “Other” ineligibility rationale\*
3. Provide the NEU Distribution- Eligible NEUs template to Treasury via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).

**c. NEU Distribution: Transactions**



**Note: States and U.S. Territories are required to submit transactions data as part of the second tranche distributions.**

In this section, the State or U.S. Territory will populate the information for all NEU transactions.

As with the Eligible NEUs and Ineligible Local Governments information, States or U.S. Territories are asked to provide updates to Treasury every month after the submission of the Interim Report or when payments are made.

1. Download the [NEU Distribution- Transactions](#) from [Treasury's website](#).
2. Fill the downloaded templates with information specific to the transactions to NEUs, as follows. Refer to Appendix A for additional information. "Column" below refers to the applicable area in the template.
  - Column B: Provide the name of the State or Territory in which the NEU resides
  - Column C: Provide the NEU Recipient Number assigned by the State or Territory to the NEU
    - NEU Recipient Number should match the number provided as part of the Eligible NEU template
  - Column D: Provide the NEU Name
    - NEU Name should match the NEU name provided as part of the Eligible NEU template
  - Column E: Provide the NEU's UEI number
  - Column F: Provide the transaction ID, assigned by the State or Territory
  - Column G: Indicate whether the transaction was a Payment or Transfer to State under Section 603(c)(4)
  - Column H: Provide a description of the transaction (e.g., initial payment under First Tranche, subsequent distribution under First Tranche, initial payment under Second Tranche)
  - Column I: Provide the transaction amount. For transfers to the State under Section 603-(c)(4), include the amount intended for transfer to the State
  - Column J: Provide the date of the transaction. For transfers to the State or U.S. Territory under Section 603(c)(4), provide the date that Treasury's transfer form agreement was signed by both parties, not the expected date of Treasury's approval
3. Provide the NEU Distribution- Transactions template via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).



### Section III. Reporting Requirements- Units of General Local Government within Counties that are Not Units of General Local Government

**Note: This section is applicable only to Alaska, Connecticut, Massachusetts, Rhode Island, Vermont, U.S. Virgin Islands, and American Samoa.**

Section 603(b)(3)(B)(ii) of the Social Security Act (the Act), as amended by the American Rescue Plan Act of 2021, provides that in the case of an amount to be paid to a county that is not a unit of general local government (Non-UGLG), the amount shall instead be paid to the State or U.S. Territory in which such county is located, and such State or U.S. Territory shall distribute such amount to each unit of general local government within such county based on population.

Units of general local government within Non-UGLG counties can include non-entitlement units of local government (NEUs) and metropolitan cities. As noted in the [Guidance on Counties that are Not Units of General Local Government](#), NEUs and metropolitan cities located in Non-UGLG counties that receive funds under Section 603(b)(3)(B)(ii) of the Act must have already accepted the award terms for payments made under Section 603(b)(2) (for NEUs) or section 603(b)(1) (for metropolitan cities).

State and U.S. Territory governments will receive a specific allocation of these funds from Treasury and are responsible for calculating the allocations and distributing funds to units of general local government within Non-UGLG counties in the State or U.S. Territory.

States and U.S. Territories were required to provide updates on distributions as part of the Interim Report, covering distributions provided as part of the First Tranche from the date of award, to the extent such distributions were made prior to that date.

Recipients are asked to provide updates on distributions to units of general local government within Non-UGLG counties to Treasury every month thereafter until all distributions have been made. This reporting will continue for distributions made during the Second Tranche process. States and U.S. Territories should, unless otherwise instructed by Treasury, provide updates to Treasury where information or status has changed.

Templates will be available for download from [Treasury's website](#). Each Non-UGLG template will need to be completed separately to allow for the proper uploading of information that Treasury will perform for the States and U.S. Territories.

The Non-UGLG Distribution templates cover two areas:

- Non-UGLG Distribution
- Non-UGLG Transactions

Specific step-by-step instructions for filling out the Non-UGLG templates are noted below. Appendix A includes an overview of the templates and the information associated with formats and content to include in the templates.

Users will also be asked to provide a summary of the state's Non-UGLG distribution process to date, to include substantive instructions or guidance that the state issued (e.g., key deadlines, guidance, etc.).

#### a. Non-UGLG Distribution



**Note: As of the date of this user guide, States and U.S. Territories are not required to submit the Non-UGLG Distribution data as information was gathered as part of the First Tranche. In the event that any updates to information are required, States or U.S. Territories should email Treasury at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).**

In this template, the State or U.S. Territory will populate the spreadsheet for units of general local government within Non-UGLG counties that are eligible to receive a disbursement under Section 603(b)(3)(B)(ii) of the Social Security Act, as added by the American Rescue Plan Act of 2021.

States and U.S. Territories are asked to provide updates to Treasury every month after submitting the Interim Report. Optional fields denoted by (\*). A valid UEI is always required for units of general local government within the Non-UGLG that request payment from the State or U.S. Territory. The table below notes the fields that are required if 1) units of local governments within the Non-UGLG requested funding or 2) units of government within a Non-UGLG declined funding or were unresponsive.

1. Download the [Non-UGLG: Distribution](#) form from [Treasury's website](#).
2. Fill the downloaded template with information specific to distributions to Non-UGLGs, as follows. Refer to Appendix A for additional information related to the templates. "Column" below refers to the applicable area in the template.

| Template Column | Action   | Required for Units of Local Government within the Non-UGLG that Requested Funding | Required for Units of Local Government within the Non-UGLG that declined funding and requested a transfer | Required for Units of Local Government within the Non-UGLG that Declined Funding or Non-responsive |
|-----------------|--|---|---|--|
| B               | Provide the name of the Non-UGLG County  | Y   | Y   | Y  |
| C               | Provide the name of the UGLG Jurisdiction within the Non-UGLG county                     | Y   | Y   | Y  |
| D               | Provide the population of the Jurisdiction   | Y   | Y   | Y  |
| E               | Provide the amount of funds allocated to the Jurisdiction                                | Y   | Y   | Y  |
| F               | Include the Jurisdiction Number assigned by the State to the Jurisdiction (e.g., AZ0013) | Y   | Y   | Y  |
| G               | Include the Jurisdiction UEI number*   | Y   | Y   | N  |
| H               | Include the Jurisdiction Taxpayer Identification Number (TIN)*                           | Y   | Y   | N  |
| I-O             | Include the Jurisdiction address (including city, State and zip code)                    | Y   | Y   | N  |
| P               | Include the Jurisdiction   | Y   | Y   | N  |



| Template Column | Action  | Required for Units of Local Government within the Non-UGLG that Requested Funding | Required for Units of Local Government within the Non-UGLG that declined funding <u>and</u> requested a transfer | Required for Units of Local Government within the Non-UGLG that Declined Funding or Non-responsive |
|-----------------|---|---|--|--|
|                 | primary email address. If there is no primary email address, provide the point of contact's email address*  |   |  |  |
| Q               | Include the Jurisdiction primary point of contact's full name (first then last)*  | Y   | N  | N  |
| R               | Include the Jurisdiction primary point of contact's phone number (###-###-####)*  | Y   | N  | N  |
| S               | Include the Jurisdiction primary point of contact's email address*  | Y   | N  | N  |
| T               | Include the Jurisdiction authorized representative name. If the primary point of contact is also the authorized representative, provide the name again*           | Y   | Y  | N  |
| U               | Include the Jurisdiction authorized representative email address. If the primary point of contact is also the authorized representative, provide the email again* | Y   | Y  | N  |
| V               | Did the Jurisdiction decline <u>and</u> transfer funding to the State? Indicate Y or N  | Y   | Y  | Y  |
| W               | Include any additional notes required to explain the Jurisdiction distribution summary line items, as applicable*   | Y, if applicable  | Y, If applicable   | Y, if applicable   |

3. Provide the Non-UGLG Distribution template via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).

**b. Non-UGLG Transactions**

**Note: States and U.S. Territories (if applicable) are required to submit transactions data as part of the second tranche distributions.**



In this template, the State or U.S. Territory will populate the spreadsheet for transactions to units of general local government within Non-UGLG counties.

States and U.S. Territory are asked to provide updates to Treasury every month after submitting the Interim Report.

1. Download the [Non-UGLG Transactions](#) template from [Treasury's website](#).
  - Column B: Provide the name of the Non-UGLG County
    - Non-UGLG name should match the Non-UGLG name provided as part of the Non-UGLG Distribution template
  - Column C: Provide the name of the UGLG Jurisdiction within the Non-UGLG county
    - Non-UGLG jurisdiction name should match the Non-UGLG jurisdiction name provided as part of the Non-UGLG Distribution template
  - Column D: Provide the Jurisdiction Number assigned by the State
    - Jurisdiction name should match the jurisdiction name provided as part of the Non-UGLG Distribution template
  - Column E: Include the Jurisdiction UEI
  - Column F: Provide the transaction ID, assigned by the State
  - Column G: Indicate whether the transaction was a Payment or Transfer to State under Section 603(c)(4)
  - Column H: Provide a description of the transaction (Enter "First Tranche" or "Second Tranche")
  - Column I: Provide the transaction amount. For transfers to the State under Section 603(c)(4), include the amount intended for transfer to the State.
  - Column J: Provide the date of the transaction. For transfers to the State under Section 603(c)(4), provide the date that Treasury's transfer form agreement was signed by both parties (not the expected date on which Treasury would grant the transfer).
2. Provide the Non-UGLG Transaction template via email at [SLFRFNEUForms@treasury.gov](mailto:SLFRFNEUForms@treasury.gov).





## Appendix A – Template Overview

### a) Purpose

The following segment provides overview on the template process. There are five (5) unique templates as outlined below:

1. NEU Distribution – Eligible NEUs
2. NEU Distribution – Ineligible
3. NEU Distribution – Transactions
4. Non-UGLG Distribution
5. Non-UGLG Transactions

### b) Template Description

Each of the five templates contain instructions on how to populate the respective fields within each file. When adding content to each template, please follow the “Help” text, which will provide what is and isn’t permitted for each cell. All templates have the same structure as described below:

Row 1: Template Version

Row 2: Template Name

Row 3: Instructions: Brief description of the template constraints.

Row 4: Field IDs: Column identifiers

Row 5: Field Label: Brief description of each Field or Column

Row 6: Required or Optional: This field specifies if the field is optional or required. When the column is required, and a recipient does not provide the required data, the system will not accept any record or allow the file to be uploaded.

Row 7: Field Help Text: Provides a description of the column. There are 2 types of fields, 1). an open value either text or numbers and 2). a predefined list of pick list values:

- Open Value: Any text or number. Text for NEU State name or a Number that represents amounts. Most text types are free formats, the only expectation is for Dates, each column that represents a date describes the accepted format. For any number field, it is not required to add “,” to represent thousands or it is not required to add “\$” to represent currency. Only add decimal “.” when needed.
- Pick List: A Predefine list of values that is accepted by the system. When the column is a pick list, row 7 provides the list of options that the system accepts. End users should “copy and paste” the valid value for each record. If the respondent provides a value that is not in the predefined pick list, the system will not accept the file. Responses should not contain double quotes

Row 8: Data that Recipient submits. Row 8 is where recipients insert specific data to submit. The system accepts 1 or many rows.



The following is special guidance for each row or set of rows:

1. Do not change the content of rows 1 to 7.
2. Rows 4 to 7 provide metadata of each data element or column of the information that respondents will provide.
3. Add your data in row 8 column B.

**c) CSV Guidance**

Refer to the following link for descriptions of the CSV format.

[https://en.wikipedia.org/wiki/Comma-separated\\_values](https://en.wikipedia.org/wiki/Comma-separated_values)

**d) Specific CSV characteristics**

- The date format is: MM/DD/YYYY. Example:
  - a. 06/22/2021
- All currency values are numeric. It is not required to add “,” for thousand or millions.
- All currency values should not contain a “\$” sign. The file will be rejected if a “\$” is included in the data entry.

**e) Upload Template Description**

Each data element and/or column in the templates is described below:

- Index No: Reference number for the data element. For internal use only.
- Defined term: Column Short description.
- Definition: Column long description or definition.
- Column Name: The column header name that must be used in the file.
- Required: Indicates if the column is required or not required.
- List Value: The content of the column is from a list of predefined values. This is valid for some of the columns. The list is provided for all cases. Most of the cases are N/A which means that the type is ether String or Numeric.
- Data type: Specify the data type of the column. The options are: Numeric, Text, Date and Pick List.
- Max Length: Indicates the maximum length in characters that is allowed for each column.

**f) NEU Distribution – Eligible NEUs**

The downloadable template contains all information required to create the upload files to include required/optional fields, help text, and permissible data types. The following table highlights the data elements required for the NEU Distribution – Eligible NEUs.



| Defined Term       | Definition   | Required | List Values | Data Type | Max Length |
|--------------------|--|----------|-------------|-----------|------------|
| State or Territory | Name of the state or Territory performing the transfer to the NEU (e.g, California, Maine, Maryland) | Required | n/a         | String    | 20         |



| Defined Term                             | Definition   | Required | List Values            | Data Type | Max Length |
|--|--|----------|------------------------|-----------|------------|
| NEU Recipient Number                     | A unique identification code for each NEU assigned by the State to the NEU as part of the request for funding (e.g., AZ1003)                             | Required | n/a                    | Number    | 10         |
| NEU/Local Government Name                | Legal name of the NEU organization/local government.   | Required | n/a                    | String    | 120        |
| NEU/Local Government UEI                 | NEU/local government UEI   | Optional | n/a                    | Number    | 9          |
| NEU Taxpayer Identification Number (TIN) | NEU Taxpayer Identification Number (TIN)   | Optional | n/a                    | Number    | 9          |
| NEU Address 1                            | First line of the NEU organization's address.  | Optional | n/a                    | String    | 120        |
| NEU Address 2                            | Second line of the NEU organization's address.   | Optional | n/a                    | String    | 120        |
| NEU Address 3                            | Third line of the NEU organization's address.  | Optional | n/a                    | String    | 120        |
| NEU City                                 | Name of city in which the NEU organization is located.   | Optional | n/a                    | String    | 120        |
| NEU State                                | United States Postal Service (USPS) two-letter abbreviation for the state or Territory in which the NEU organization is located.                         | Optional | n/a                    | String    | 2          |
| NEU Zip Code                             | United States ZIP code (five digits)   | Optional | n/a                    | Number    | 5          |
| NEU Zip +4                               | United States ZIP code (five digits) concatenated with the additional +4 digits associated with the NEU organization's address.                          | Optional | n/a                    | Number    | 4          |
| NEU Email Address                        | Email address of the NEU organization.   | Optional | n/a                    | String    | 120        |
| NEU Point of Contact (POC) Name          | Name of a Point of Contact at the NEU.   | Optional | n/a                    | String    | 120        |
| NEU POC Phone Number                     | Phone number of the primary Point of Contact for the NEU organization.   | Optional | n/a                    | String    | 10         |
| NEU POC Email                            | Email address of the primary Point of Contact for the NEU organization.  | Optional | n/a                    | String    | 120        |
| Authorized Representative Name           | Name of an Authorized Representative of the NEU. If the primary point of contact is also the authorized representative, please provide the name again.   | Optional | n/a                    | String    | 120        |
| Authorized Representative Email          | Email of an Authorized Representative of the NEU. If the primary point of contact is also the authorized representative, please provide the email again. | Optional | n/a                    | String    | 120        |
| Status                                   | Eligibility status of a given NEU. Indicate the NEU's status: 1)   | Required | 1) Action Taken (i.e., | Pick List | n/a        |



| Defined Term  | Definition  | Required | List Values   | Data Type      | Max Length |
|---|---|----------|---|----------------|------------|
|   | Action Taken (i.e., the NEU requested funding or declined funding & requested Sec. 603(c) (4) transfer to the state); or 2) Action Not Taken (i.e., the NEU is nonresponsive / declined funding)              |          | the NEU requested funding or declined funding & requested Sec. 603(c) (4) transfer to the state); 2) Action Not Taken (i.e., the NEU is nonresponsive / declined funding) |                |            |
| Total NEU Budget Reference (original)   | Provide the Total NEU Budget Reference submitted by the NEU as part of its request for funding or Sec. 603(c)(4) transfer to the state  | Optional | n/a   | Dollar Numeric | 12, 2      |
| Total NEU Budget Reference (revised, if applicable)   | Provide the revised Total NEU Budget Reference, if revisions were made based on updated NEU Guidance (i.e., updated Treasury guidance on interpretation of the 75 percent budget cap issued on June 30, 2021) | Optional | n/a   | Dollar Numeric | 12, 2      |
| Total Allocation Across 1st and 2nd Tranches (before application of 75 percent cap)   | Provide the Total Allocation Across 1st and 2nd Tranches before application of the 75 percent budget cap  | Required | n/a   | Dollar Numeric | 12, 2      |
| Total Allocation Across 1st and 2nd Tranches (before application of 75 percent cap) (first revision, if applicable)         | Provide the Total Allocation Across 1st and 2nd Tranches (before application of 75 percent budget cap) (first revision, if applicable)  | Optional | n/a   | Dollar Numeric | 12, 2      |
| Total Allocation Across 1st and 2nd Tranches (before application of 75 percent cap) (second revision, if applicable)        | Provide the Total Allocation Across 1st and 2nd Tranches (before application of 75 percent budget cap) (first revision, if applicable)  | Optional | n/a   | Dollar Numeric | 12, 2      |
| Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap                                 | Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap   | Optional | n/a   | Dollar Numeric | 12, 2      |
| Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap (first revision, if applicable) | Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap (first revision, if applicable)   | Optional | n/a   | Dollar Numeric | 12, 2      |
| Final Allocation Across 1st and 2nd Tranches after application of   | Final Allocation Across 1st and 2nd Tranches after application of   | Optional | n/a   | Dollar Numeric | 12, 2      |



| Defined Term   | Definition  | Required | List Values | Data Type | Max Length |
|--|---|----------|-------------|-----------|------------|
| 2nd Tranches after application of the 75 percent budget cap (second revision, if applicable) | the 75 percent budget cap (second revision, if applicable)  |          |             |           |            |
| Additional Notes   | Include any additional notes required to explain the NEU distribution summary line items, as applicable | Optional | n/a         | String    | 400        |

**g) NEU Distribution - Ineligible**

The downloadable template contains all information required to create the upload files to include required/optional fields, help text, and permissible data types. The templates provide all information required to create the upload files. The following table highlights the data elements required for the NEU Distribution - Ineligible.

| Defined Term              | Definition  | Required | List Values  | Data Type | Max Length |
|---------------------------|---|----------|--|-----------|------------|
| State or Territory        | Name of the state or Territory performing the transfer to the NEU (e.g, California, Maine, Maryland)  | Required | n/a  | String    | 20         |
| NEU/Local Government Name | Legal name of the NEU organization/local government.  | Required | n/a  | String    | 120        |
| NEU/Local Government UEI  | NEU/local government UEI  | Optional | n/a  | Number    | 9          |
| Reason for Ineligibility  | Select the rationale for ineligibility: 1) Ineligible MCD (i.e., any Minor Civil Divisions in a "weak-MCD" State that did not meet the facts-and-circumstances test as outlined in Treasury's guidance); or 2) Other. If other, please provide additional explanation in Column E | Required | 1) Ineligible MCD (i.e., any Minor Civil Divisions in a "weak-MCD" State that did not meet the facts-and-circumstances test as outlined in Treasury's guidance); 2) Other. If other, please provide additional explanation in Column E | Pick List | n/a        |
| Notes                     | Provide an explanation for "Other" ineligibility rationale  | Optional | n/a  | String    | 400        |





### h) NEU Distribution - Transactions

The downloadable template contains all information required to create the upload files to include required/optional fields, help text, and permissible data types. The following table highlights the data elements required for NEU Distribution - Transactions.

| Defined Term                                    | Definition  | Required | List Values   | Data Type                   | Max Length |
|---|---|----------|---|-----------------------------|------------|
| State or Territory                              | Name of the state or Territory performing the transfer to the NEU (e.g, California, Maine, Maryland)  | Required | n/a   | String                      | 20         |
| NEU Recipient Number                            | A unique identification code for each NEU assigned by the State to the NEU as part of the request for funding (e.g., AZ1003)  | Required | n/a   | Number                      | 10         |
| NEU/Local Government Name                       | Legal name of the NEU organization/local government.  | Required | n/a   | String                      | 120        |
| NEU/Local Government UEI                        | NEU/local government UEI  | Required | n/a   | Number                      | 9          |
| Transaction ID (assigned by State or Territory) | Provide the transaction ID, assigned by the State or Territory  | Required | n/a   | String                      | 25         |
| Transaction Type                                | Transaction type (payment or Transfer to State under Section 603(c)(4))   | Required | - Payment;<br>- Transfer to State under Section 603(c)(4) | Pick List                   | n/a        |
| Transaction Description                         | Transaction description of the transaction (e.g., initial payment under First Tranche, subsequent distribution under First Tranche)   | Required | n/a   | String                      | 25         |
| Transaction Amount                              | Transaction amount. Use negative numbers for downward revisions. For transfers to the state under Section 603(c)(4), include the amount of the intended transfer.   | Required | n/a   | Dollar Numeric              | 12,2       |
| Date  | Provide the date of the transaction. For transfers to the state under Section 603(c)(4), provide the date that Treasury's transfer form agreement was signed by both parties, not the expected date of Treasury approval. | Required | n/a   | Date Numeric (MM/DD/YYYY Y) | 10         |

**i) Non-UGLG Distribution**

The downloadable template contains all information required to create the upload files to include required/optional fields, help text, and permissible data types. The following table highlights the data elements required for Non-UGLG Distribution.

| Defined Term                         | Definition   | Required | List Values | Data Type  | Max Length |
|--------------------------------------|--|----------|-------------|------------|------------|
| Non-UGLG County Name                 | Non-UGLG County Name   | Required | n/a         | String     | 150        |
| Jurisdiction Name                    | Jurisdiction Recipient Name  | Required | n/a         | String     | 150        |
| Population of Jurisdiction           | Population of Jurisdiction   | Required | n/a         | Number     | 12         |
| Allocation amount                    | Provide the amount of funds allocated to the jurisdiction  | Required | n/a         | Number     | 12         |
| Jurisdiction Number                  | Include the Jurisdiction Recipient Number assigned by the State to the Jurisdiction (e.g., AZ0013)                               | Required | n/a         | String     | 50         |
| Jurisdiction UEI                     | Include the Jurisdiction UEI   | Optional | n/a         | String     | 9          |
| Taxpayer Identification Number (TIN) | Taxpayer Identification Number (TIN)   | Optional | n/a         | text       | 82         |
| Jurisdiction Address 1               | Jurisdiction Address 1   | Required | n/a         | String     | 150        |
| Jurisdiction Address 2               | Jurisdiction Address 2   | Optional | n/a         | String     | 150        |
| Jurisdiction Address 3               | Jurisdiction Address 3   | Optional | n/a         | String     | 150        |
| Jurisdiction City                    | Jurisdiction City  | Required | n/a         | String     | 150        |
| Jurisdiction State                   | United States Postal Service (USPS) two-letter abbreviation for the state or Territory in which the NEU organization is located. | Required | n/a         | State Code | 2          |
| Jurisdiction Zip Code                | United States ZIP code (five digits)   | Required | n/a         | Number     | 5          |
| Jurisdiction Zip +4                  | United States ZIP code (five digits) concatenated with the additional +4 digits associated with the NEU organization's address.  | Optional | n/a         | Number     | 5+4        |
| Jurisdiction Email Address           | Include the Jurisdiction primary email address. If there is no primary email address, please provide the point of contact's      | Optional | n/a         | String     | 150        |



| Defined Term  | Definition   | Required | List Values | Data Type | Max Length |
|---|--|----------|-------------|-----------|------------|
|   | email address.   |          |             |           |            |
| Jurisdiction Point of Contact Name  | Jurisdiction Point of Contact Name   | Optional | n/a         | String    | 150        |
| Jurisdiction Point of Contact Phone Number                                | Jurisdiction Point of Contact Phone Number   | Optional | n/a         | Number    | 10         |
| Jurisdiction Point of Contact Email                                       | Jurisdiction Point of Contact Email  | Optional | n/a         | String    | 150        |
| Authorized Representative Name  | Include the Jurisdiction authorized representative name. If the primary point of contact is also the authorized representative, please provide the name again.           | Optional | n/a         | String    | 150        |
| Authorized Representative Email   | Include the Jurisdiction authorized representative email address. If the primary point of contact is also the authorized representative, please provide the email again. | Optional | n/a         | String    | 150        |
| Question: Did the jurisdiction decline and transfer funding to the state? | Response to Question: Did the jurisdiction decline and transfer funding to the state?  | Required | n/a         | Yes or No | 3          |
| Notes   | Include any additional notes required to explain the Jurisdiction distribution summary line items, as applicable   | Optional | n/a         | text      | 500        |

**j) Non-UGLG Transactions**

The downloadable template contains all information required to create the upload files to include required/optional fields, help text, and permissible data types. The following table highlights the data elements required for Non-UGLG Transactions.

| Defined Term                  | Definition   | Required | List Values | Data Type | Max Length |
|-------------------------------|--|----------|-------------|-----------|------------|
| Non-UGLG County Name          | Non-UGLG County Name   | Required | n/a         | String    | 150        |
| Jurisdiction Name             | Jurisdiction Recipient Name  | Required | n/a         | String    | 150        |
| Jurisdiction Recipient Number | Include the Jurisdiction Recipient Number assigned by the State to the Jurisdiction (e.g., AZ0013) | Required | n/a         | String    | 50         |



| Defined Term                           | Definition  | Required | List Values   | Data Type | Max Length |
|--|---|----------|---|-----------|------------|
| Jurisdiction UEI number                | Include the Jurisdiction UEI  | Required | n/a   | String    | 9          |
| Transaction ID (assigned by the State) | Provide the transaction ID, assigned by the State   | Required | n/a   | String    | 50         |
| Transaction Type                       | Indicate whether the transaction was a Payment or Transfer to State under Section 603(c)(4)   | Required | - Payment;<br>- Transfer to State under Section 603(c)(4) | Pick List | n/a        |
| Transaction Description                | Provide a description of the transaction (Enter "First Tranche" or "Second Tranche")  | Required | "First Tranche" or "Second Tranche"                       | Pick List | n/a        |
| Transaction Amount                     | Provide the transaction amount. Use negative numbers for downward revisions. For transfers to the state under Section 603(c)(4), include the amount intended for transfer to the state.   | Required | n/a   | Number    | 12,2       |
| Transaction Date                       | Provide the date of the transaction. For transfers to the state under Section 603(c)(4), provide the date that Treasury's transfer form agreement was signed by both parties (not the expected date that Treasury grants the transfer). | Required | n/a   | date      | 10         |

