NEU and Non–UGLG Distribution Templates User Guide

State and Local Fiscal Recovery Funds

October 7, 2021

Version: 2

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Section I. Reporting Basics

a) Overview

This document provides information on using Treasury's Portal to submit required Coronavirus State and Local Fiscal Recovery Fund (SLFRF) reports. 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 Treasury's SLFRF home page for the latest guidance and updates on programmatic and reporting topics, as well as information on Treasury's Interim Final Rule (IFR).

Each SLFRF recipient 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.

b) What is Covered in this User Guide?

This User Guide provides detailed instructions to help States and U.S. Territories to gather and complete the following templates:

- ➢ 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

c) Designated Staff for Key Roles in Managing SLFRF Reports User Designations

SLFRF recipient organizations 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. 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.

- **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 award 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.

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. In addition, the recipient may designate one individual for all three roles. Multiple individuals can be designated for each role.

The guidance on the process for designating individuals for the three roles was provided via email to SLFRF recipients and is also posted in Treasury's site.

The designated individuals' names and contact information will be pre-populated in the "Recipient Profile" portion of the recipient's SLFRF reports, and recipients will be able to update the information, if necessary.

Each designated individual must register with ID.me to gain access to Treasury's portal. Please contact SLFRP@treasury.gov for additional information on procedures for registering with ID.me.

d) Questions?

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

Section II. Navigation and Logistics

a) Login to Landing Page and Portal Navigation

After logging into Treasury's Portal, the landing page (see Figure 1) will appear listing the Office of Recovery Programs (ORP)-administered program for which your organization may be eligible for.
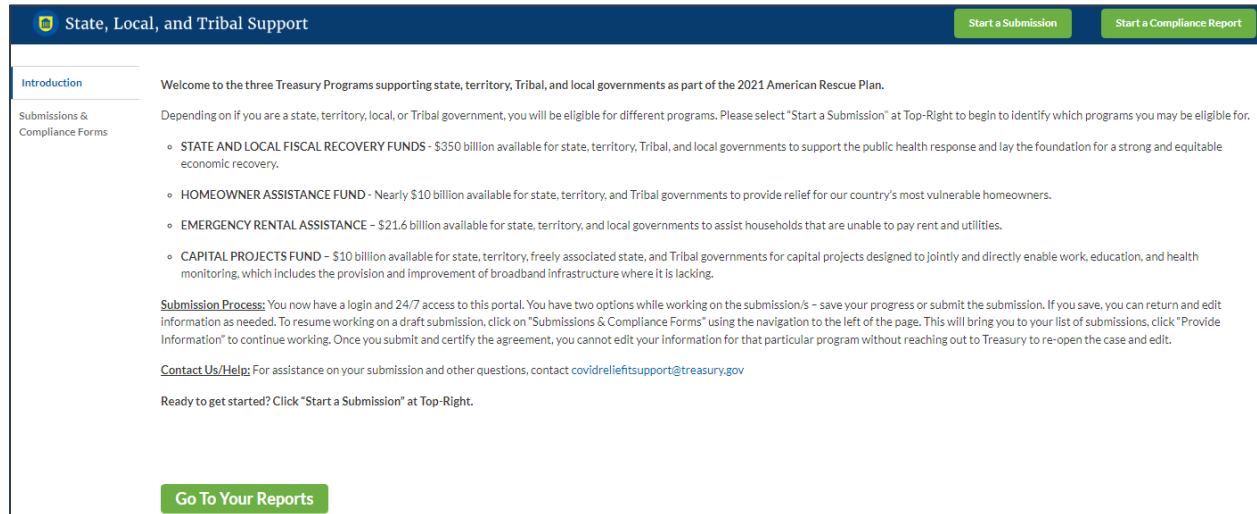

Figure 1 – Landing Page

From the landing page, select *Go to Your Reports* on the left side panel to be taken to a list of options for the programs you have access to under the Report Selection section.

Each listed report constitutes a link to that specific report's online forms. Selecting a report from the landing page will open the first in a series of screens.

To begin completing a specific report, click on *Provide Information* for the given report. Refer to the Reporting Guidance for details about each type of required report for submittal.

The Navigation Bar (see Figure 2) on the top of Treasury's Portal will allow you to freely move between screens.
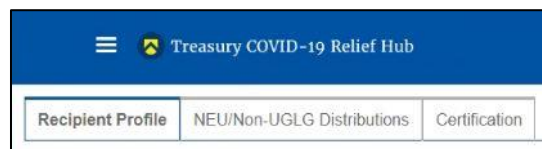
Figure 2 – Navigation Bar

b) Helpful Tips/Shortcuts for Submitting Data to Treasury's Portal

Treasury's Portal leads you through a series of online forms that, when completed, will fulfill your reporting obligations. While navigating through Treasury's Portal and submitting required information, users will have the option of manually entering data directly into the portal or providing information via a bulk upload file that includes all relevant information in a Treasury approved process and format.

1. **Bulk File Upload File**

   Recipients can use the bulk upload function for providing required information for the five modules listed here:

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

   When using the bulk upload, recipients must provide the required information in specified formats and use the Treasury approved templates for each respective bulk upload. Recipients must download each of the templates separately from within the relevant Treasury Portal module.

   Please see Appendix A – Bulk File Upload Overview for complete guidance on using this important function.

   Modules accepting bulk upload files are clearly marked in Treasury's Portal and identified in later sections of this User Guide. The template for each upload file is available in the relevant module for download (see Figure 3).
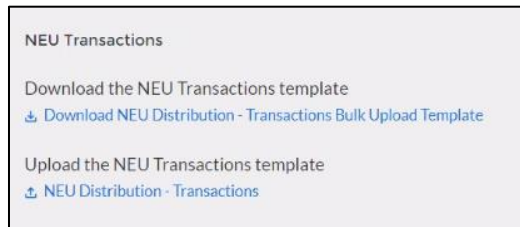
   Figure 3 – Sample Bulk Upload Icon with Template Download Link

   When you click the upload button you will be directed to an upload screen (see Figure 4). You can either choose to add files or drag and drop files to initiate the bulk upload.

   Figure 4 – Successful Bulk Upload Example

   Treasury's Portal will reject the file if an incorrect template, data format, or file format other than .csv is used for upload (see Figure 5). Treasury's Portal will display an error message on screen (see Figure 5) if the bulk data upload file contains errors. If you receive an error

message, you will need to correct the errors in the bulk upload file and re-submit the corrected version. Recipients should review the upload file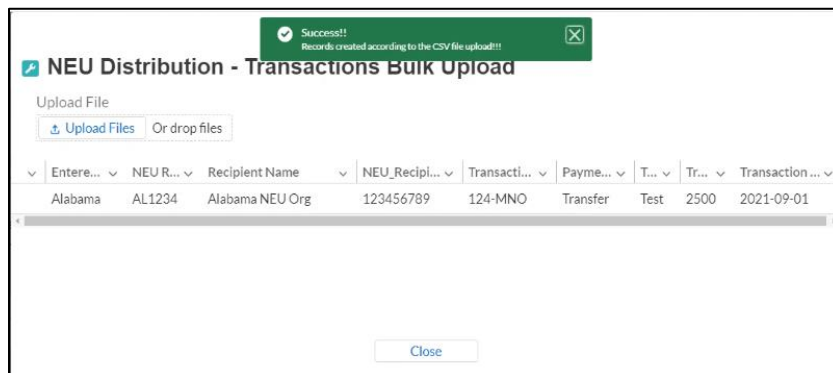 carefully, as current system functionality will only show the first error found in a bulk file. Multiple field errors will necessitate multiple fix and upload attempts.

When a bulk upload error occurs, the system stops scanning the file and immediately reports the first error found in the document. Once you correct the error, you should ensure you have not made the same error in each consecutive row below where the first error was identified prior to re-submitting the corrected bulk upload file.

There are three common Bulk File Upload errors as described below:

- **Blank Data (see Figure 5):** When a required field is left blank within your Bulk Upload File, the specific bulk upload file row and cell number will be provided on the screen. In the example below, the user made an error pertaining to the "Recipient Number" and the error is located in Column C, Row 11.
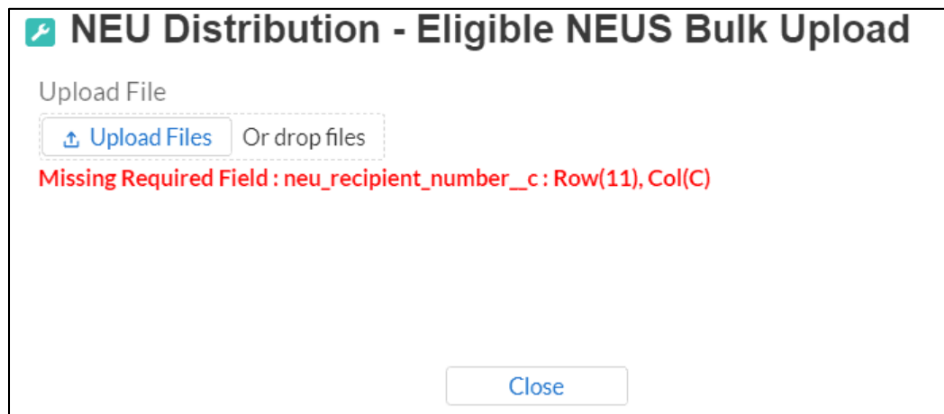
Figure 5 – Unsuccessful Bulk Upload

- **Invalid Data (see Figure 6):** Invalid data includes any type of data (numeric or text) that does not meet the requirements set forth in the Help Text within each Bulk Upload Template. When invalid data is found in a cell, the error message uses Row Zero logic. When the system scans for and finds invalid data, the error message treats the first row containing your entered data (typically Row 8) as Row "0."

  o For example, if your Bulk Upload file contains an error in Row 10, and the first line of your data entry is in Row 8, then the error message will report the mistake in Row 2 (10 minus the starting point of 8) as shown in the image below.
  o The error message will also show the required field that was incorrect, such as "Status" shown below.
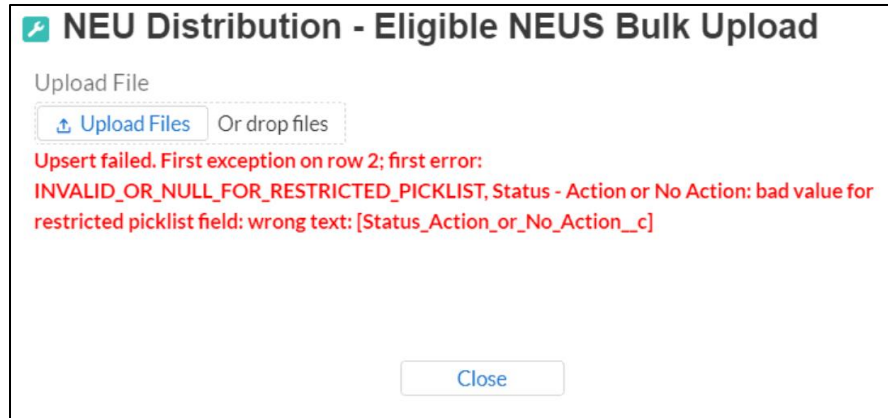
Figure 6- Invalid Bulk Upload Error

- **Duplicate Data (see Figure 7):** Duplicate data includes any type of data (numeric or text) that is repeated in the same column when the Help Text within a Bulk Upload Template requires a unique entry. When duplicate data is found in a cell, the error message uses Row Zero logic. When the system scans for and finds invalid data, the error message treats the first row containing your entered data (typically Row 8) as Row "0."

  o For example, if your Bulk Upload file contains an error in Row 9, and the first line of your data entry is in Row 8, then the error message will report the mistake in Row 1 (9 minus the starting point of 8) as shown in the image below.
  o The error message will also show the required field that was incorrect, such as "Unique Identifier" shown below.
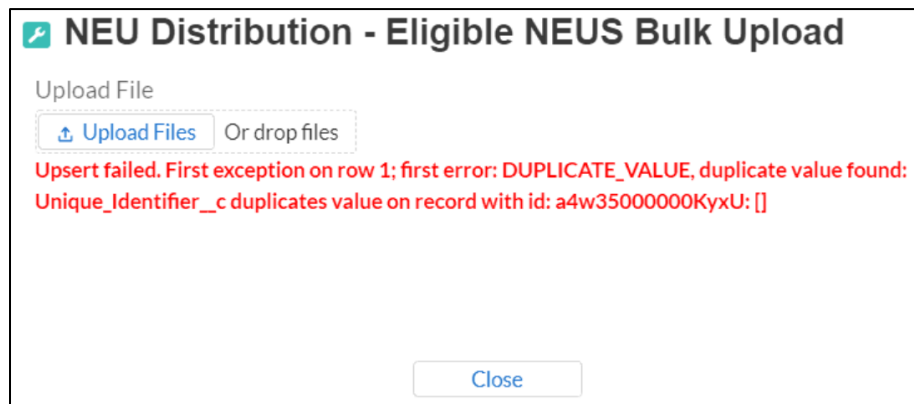

Figure 7 Duplicative Value Upload Error

2. **Manual Data Entry**

Manual data entry requires you to provide inputs as instructed on the screen. Manual inputs are described in detail below for each section of this user guide.

> **Note:** An asterisk (*) indicates a required field. Entry into the field is required before you can save or proceed to the next screen.

Your inputs will be subject to validation by Treasury's Portal to ensure that the data provided is consistent with expected format or description (e.g., entering "one hundred" instead of 100). If a given data entry fails a validation rule, Treasury's Portal will display an error for you to address.

You will not be able to submit manually entered data that does not satisfy the data validation rules.

3. **Narrative Boxes**

When filling out detailed narratives, you are encouraged to type out responses in a word processing application (such as Microsoft Word) to minimize grammatical errors, track word count, and concisely answer all required narrative details. You can then copy and paste the final written narratives directly into the text boxes.

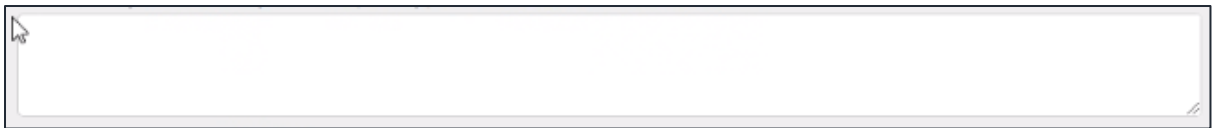The text boxes (see Figure 8) can be expanded by clicking and dragging the icon in the bottom-right corner.

Figure 8 – Manual Entry Text Box

Section III. Recipient Information

Upon login, you will be directed to the recipient information page, which is intended to verify relevant information in the Treasury system.

1. Review and confirm your Recipient Profile pre-populated from your SLFRF Application file (see Figure 9). If you have previously entered a DUNS (+4) number, it will appear here.

2. If you have a Recipient DUNS (+4) number and the field is not populated, update as necessary.

Recipient Information	
Recipient DUNS	153485658
Recipient DUNS (+4)	1234
Recipient TIN	153485659
Recipient Legal Entity Name	NEU User Guide
Recipient Type	State or Territory
FAIN	2346
CFDA No./Assistance Listing	4543
Recipient Address	123 Test Lane
Recipient Address 2	
Recipient Address 3	
Recipient City	Fairfax
Recipient State/Territory	VA
Recipient Zip5	32523
Recipient Zip+4	1211
Recipient Reporting Tier	Cities/Counties with Population under 250,000 and Total Allocation of at least $5M

Figure 9 – Recipient Information

3. Verify the information displayed, as well as names and contact information for individuals the recipient has designated for key roles for the SLFRF program. If changes are needed to the information displayed on the screen, use textbox (see figure 9), refer to the instructions included in Appendix B to update the applicable roles, or contact SLFRP@treasury.gov.

4. Use the textbox (see Figure 10) to flag errors, notifying Treasury if any information is incorrect.

Figure 10 – Recipient Profile Discrepancies Entry

5. Once all fields have been reviewed and verified, click the *Next* button to proceed to the following screen. Information will save automatically.

Section IV.   Reporting Requirements- Non-Entitlement Units of Local Government

This section is only applicable for States and U.S. Territories.

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.

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

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

Recipients are asked to provide updates on distributions to individual NEUs to Treasury every month thereafter until all distributions have been made. States and U.S. Territories should, unless otherwise instructed by Treasury, provide updates to Treasury where information or status has changed. Each report should cover all changes since the prior month's report (e.g., submission by September 30, 2021, for the period covering August 1-31, 2021).

Templates will be available for download from Treasury's Portal. Each NEU template will need to be completed separately to allow for the proper uploading of information into Treasury's Portal.

For any NEUs that requested a transfer to the State or U.S. Territory under Section 603(c)(4), the State or U.S. Territory must complete, sign, and attach the Treasury form.

> **Note:** Guidance related to the upload of the PDF Treasury form for NEUs requesting transfer to the State or U.S. Territory under Section 603(c)(4) will be provided separately.

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

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

In addition, a written narrative of the recipient's NEU distribution process is also required, including any instructions or guidelines that were given to the NEUs. For NEU specific guidance, visit Treasury's SLFRF website for NEUs.

a. Monthly NEU Updates

Each month States and U.S. territories will be asked to report if they have any NEU transactions or updates to report for the previous month (see Figure 11).

- If "No" is selected, States and U.S. territories will be taken to the Non-UGLG information entry.
- If "Yes" is selected, States and U.S. territories will continue entering NEU information for the reporting month. Go to IV.b. below.

Figure 11 – NEU Monthly Updates

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 IV.b.) or the Ineligible template (see IV.c.). 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's Portal 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 IV.b.)

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 IV.c.)

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 deem any local governments on Treasury's List of Local Governments as ineligible, barring exceptional circumstances.

b. NEU Distribution: Eligible NEUs

In this section, 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 (see Figure 12). 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. If dollar amounts previously reported need to be updated, the State or U.S. Territory should submit the change to the previously reported balances. For example, if 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 was originally reported at $2 million but needs to be adjusted to $1.5 million, the State and U.S. Territory will submit an update of negative $500,000 in a follow-on submission.

Figure 12 – Screen for Eligible NEUs

For NEUs that are unresponsive, States or U.S. Territories do not have to provide information for all fields; however, a valid DUNS number is always required for uploading Eligible NEUs that have requested funding from the State or U.S. territory. The table below notes the fields that are required if 1) NEU has taken action (e.g., requested funding or declined funding <u>and</u> 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. Provide answer to the question, do you have any distributions or updates to distributions to eligible NEUs to report?
2. If the answer is "No", proceed to NEU Distribution-Ineligible Local Governments in IV.c.
3. If the answer is "Yes", download the NEU Distribution- Eligible NEUs template from the Treasury's Portal screen. See Figure 12.
4. Fill the downloaded template with information specific to the distributions to NEUs, as follows. Refer to Appendix A for additional information related to the bulk file upload process. Optional fields are denoted by (*). "Column" below refers to the applicable area in the bulk upload file.

Template Column	Action	Required for NEU that Has Taken Action (e.g., Requested Funding)	Required for NEU that Has Taken Action (declined funding <u>and</u> 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 DUNS number*	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: • Action Taken (i.e., the NEU requested funding) or declined funding <u>and</u> requested Sec. 603 (c)(4) transfer to the State)	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 <u>and</u> requested transfer)	Required for NEU that Has Not Taken Action (e.g., Unresponsive or Declined Funding)
	• Action Not Taken (i.e., the NEU is nonresponsive or declined funding)			
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 1st and 2nd Tranches before application of the 75 percent budget cap	Yes	Yes	Yes
X	Provide the Total Allocation Across 1st and 2nd Tranches (before application of 75 percent budget cap) (first revision, if applicable)*	Yes- if applicable	No	No
Y	Provide the Total Allocation Across 1st and 2nd Tranches (before application of 75 percent cap) (second revision, if applicable)*	Yes- if applicable	No	No
Z	Provide the Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap *	Yes	Yes	No
AA	Provide the Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap (first revision, if applicable)*	Yes- if applicable	No	No
AB	Provide the Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap (second revision, if applicable)*	Yes- if applicable	No	No
AC	Include any additional notes required to explain the NEU distribution summary line items, as applicable*	No	No	No

5. Upload the NEU Distribution- Eligible NEUs template separately as a .csv file by using the respective *Upload* button on the screen or dropping the files in this view.

- Reminder- in the event a file is uploaded, the information will be accepted by Treasury's Portal as a record. Changes to information that has been bulk uploaded are not permitted. If you need to correct information submitted, contact SLFRP@treasury.gov.

6. After uploading or dropping the applicable template and documentation, provide a written summary of the State or U.S. Territory's NEU distribution process, including any substantive instructions or guidance provided to the NEUs (see Figure 13).

NEU Distribution Process

*Please provide a summary of the state's NEU distribution process to date. Please include substantive instructions or guidance that the state issued to NEUs (e.g., key deadlines, guidance on interpretation of the 75 percent budget cap).

ok

Figure 13 – *NEU Distribution Process Written Summary*

7. Once all of the above information is entered, click *Save*. Click the *Next* button to proceed to the following screen.

c. NEU Distribution: Ineligible Local Governments

In this section, the State or U.S. Territory will populate the local governments that were deemed ineligible to receive a NEU distribution (see Figure 14). Optional fields are denoted by (*). "Column" below refers to the applicable area in the bulk upload file.

Ineligible NEUs

*Do you have any local government(s) that were deemed ineligible to receive a NEU distribution to report?
Yes

Download the Ineligible NEUs template
⬇ Download NEU Distribution - Ineligible Bulk Upload Template

Upload the Ineligible NEUs template
⬇ NEU Distribution - Ineligible

Total NEU Ineligible Recipients Uploaded: 0

Recipient Name	Entered State or Territory	Ineligible or Other	NEU DUNS Number	Additional Notes

Figure 14 – Screen for Ineligible NEUs

As with the NEU Eligible NEUs template, States or U.S. Territories are asked to provide updates to Treasury every month after the initial submission. For these updates, States or U.S. Territories should only provide entries where information has changed.

1. Provide answer to the question, do you have any local government(s) that were deemed ineligible to receive a NEU distribution to report?
2. If the answer is "No", proceed to NEU Distribution- Transactions.

3. If the answer is "Yes", download the NEU Distribution- Ineligible Local Governments template (for listing ineligible Local Governments).

4. Fill the downloaded template with information specific to Ineligible Local Governments, as follows. Refer to Appendix A for additional information related to the bulk file upload process. Optional fields are denoted by (*). "Column" below refers to the applicable area in the bulk upload file.

   ▪ 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 DUNS number, 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*

5. Upload the NEU Distribution- Ineligible Local Governments template separately as a .csv file by using the respective *Upload* button on the screen or dropping the files in this view.

   • Reminder- in the event a file is uploaded, the information will be accepted by Treasury's Portal as a record. Changes to information that has been bulk uploaded are not permitted. If you need to correct information submitted, contact SLFRP@treasury.gov.

6. Refer to steps IV.b.6 and IV.b.7 above.

d. **NEU Distribution: Transactions**

In this section, the State or U.S. Territory will populate the table for all NEU transactions (see Figure 15).

Figure 15 – Screen for 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. For these updates, States or U.S. Territories should only provide entries where information has changed.

1. Provide answer to the question, do you have any NEU transactions to report?
2. If the answer is "No", proceed to Non-UGLG section.
3. If the answer is "Yes", download the NEU Distribution- Transactions.
4. Fill the downloaded templates with information specific to the transactions to NEUs, as follows. Refer to Appendix A for additional information related to the bulk file upload process. "Column" below refers to the applicable area in the bulk upload file.

   - 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 DUNS number

     - DUNS number should match the DUNS number provided as part of the Eligible NEU template

   - 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)

   - Column I: 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

   - 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

5.   Upload the NEU Distribution- Transactions template separately as a .csv file by using the respective *Upload* button on the screen or dropping the files in this view.

- Reminder- in the event a file is uploaded, the information will be accepted by Treasury's Portal as a record. Changes to information that has been bulk uploaded are not permitted. If you need to correct information submitted, contact SLFRP@treasury.gov.

6.   Refer to step IV.b.6 and IV.b.7 above.

Section V. 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 are required to provide updates on distributions as part of the Interim Report., covering distributions from the date of award, to the extent such distributions have been 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. States and U.S. Territories should, unless otherwise instructed by Treasury, provide updates to Treasury where information or status has changed. Each report should cover all changes since the prior month's report (e.g., submission by September 30, 2021, for the period covering August 1-31, 2021).

Templates will be available for download from Treasury's Portal. Each Non-UGLG template will need to be completed separately to allow for the proper uploading of information into Treasury's portal.

The Non-UGLG Distribution templates cover two areas:

- Non-UGLG Distribution

- Non-UGLG Transactions

On this screen, State and U.S. Territory recipients will provide information pertaining to distributions made to Non-UGLGs.

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

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. Monthly Non-UGLG Updates

Each month States and U.S. territories will be asked to report if they have had transactions for the current month (see Figure 16).

- If "No" is selected, States and U.S. territories may proceed to the certification page.
- If "Yes" is selected, States and U.S. territories will continue entering Non-UGLG information for the month. See V.b. below.

*Are there any updates to the Non-UGLG information for the current monthly reporting cycle?
Yes

Figure 16 – Non-UGLG Monthly Updates

b. Non-UGLG Distribution

In this template, the State or U.S. Territory will populate the spreadsheet for units of general local government (UGLG) 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 (see Figure 17).

Non-UGLG Summary

*Do you have any distributions to eligible Non-UGLGs to report?
Yes

Download the Non-UGLG Summary template
⤓ Download non-UGLG Distribution Template - Summary

Upload the Non-UGLG Distribution template
⤓ Non-UGLG Distribution

Total Non-UGLG Recipients Uploaded: 0

Recipient Name	Jurisdiction Number	Non-UGLG County Name	Population of Jurisdiction	Funds Received

Figure 17 – Non-UGLG Distribution Screen

States and U.S. Territories are asked to provide updates to Treasury every month after submitting the Interim Report. For these updates, States and U.S. Territories should only

provide entries where information or status has changed. Each report should cover any changes since the prior month's report. Optional fields denoted by (*).   A valid DUNS number 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 that requested funding or 2) units of government within a Non-UGLG that declined funding or are unresponsive

1. Provide answer to the question, do you have any distributions to eligible units of general local government to report?
2. If the answer is "No", proceed to Non-UGLG Transactions.
3. If the answer is "Yes", download the Non-UGLG: Distribution from Treasury's Portal screen (see Figure 15).
4. Fill the downloaded template with information specific to distributions to Non-UGLGs, as follows. Refer to Appendix A for additional information related to the bulk file upload process. "Column" below refers to the applicable area in the bulk upload file.

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 DUNS 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 primary email address. If there is no primary email address, provide the point of contact's email address*	Y	Y	N
Q	Include the Jurisdiction primary point of contact's full name (first then last)*	Y	N	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 and requested a transfer	Required for Units of Local Government within the Non-UGLG that Declined Funding or Non-responsive
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 and 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

5. Upload the Non-UGLG Distribution template separately as a .csv file by using the respective *Upload* button on the screen or dropping the files in this view.

6. After uploading the applicable template and documentation, provide a written summary of the State or U.S. Territory's Non-UGLG distribution process to date. Include any substantive instructions or guidance provided to the Non-UGLG (e.g., key deadlines, guidance) (see Figure 18).

Non-UGLG Distribution Process

*Please provide a summary of the state's Non-UGLG distribution process to date. Include substantive instructions or guidance that the state issued to units of general local government within non-UGLG counties (e.g., key deadlines, guidance, etc).

ok

Figure 18 – Non-UGLG Distribution Process Written Summary

7. Once all of the above information is entered, click *Save*. Click the *Next* button to proceed to the following screen.

c. Non-UGLG Transactions

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 (see Figure 19).

Figure 19 – Non-UGLG Transaction Screen

States and U.S. Territory are asked to provide updates to Treasury every month after submitting the Interim Report. For these updates, States or U.S. Territory should only provide entries where information has changed. Each report should cover any changes since the prior month's report.

1. Provide answer to the question, do you have any Non-UGLG transactions to report?
2. If the answer is "No", proceed to certification page.
3. If the answer is "Yes", download the Non-UGLG Transactions template from Treasury's Portal screen (see Figure 17).

- 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 DUNS number

  - Jurisdiction DUNS should match the jurisdiction DUNS provided as part of the Non-UGLG Distribution template

- 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. 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.

- 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).

4. Upload the Non-UGLG Transaction template separately as a .csv file by using the respective Upload button on the screen or dropping the files in this view.

5. Refer to V.b.6 and V.b.7 for next steps.

Section VI. Official Certification

On this screen, the Authorized Representative for Reporting (ARR) will be asked to certify information pertaining to the NEU and Non-UGLG information. By certifying this submission, the ARR is confirming that all reported information is accurate and approved for submission (see Figures 20 and 21).

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.

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: Telephone:

Title: Email:

Figure 20 Official Certification

Figure 21 – Summary of Reported Information

3. Verify information included in Figure 21 and confirm that the values presented are as expected based on the information included or uploaded in previous screens.

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

Appendix A – Bulk File Upload Overview

a) Purpose

The following segment provides overview on the bulk file upload process. There are five (5) unique bulk file upload 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 bulk file upload 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. Each Module in the web application provides a link to download the template. 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) Bulk Upload Process

The upload process includes the following steps:

1. Download the template from the link provided in the web application section of the module.
2. Open the template in Microsoft Excel.
3. Save the template as a .CSV file and change the name of the file as needed.
4. Add your data starting with row 8th of the applicable template.
5. When you finish adding your data repeat step 4.
6. Upload the new file to the portal. The system will provide a message if the upload was successful or unsuccessful.
7. Reuse the same file if the upload process fails. Reconcile the issues that the system indicated and repeat step 7 until all issues are corrected.

d) Bulk Upload Creation Steps

The collective bulk file upload process is contingent upon end-users following the below steps to ensure successful submission:

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

> **Note:** All data submitted via the bulk upload functionality must be submitted as a .CSV file.

e) CSV Guidance

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

https://en.wikipedia.org/wiki/Comma-separated_values

f) 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.

g) Upload Template Description

Each data element and/or column in the CSV files 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.
- CSV Column Name: The column header name that must be used in the CSV 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 is 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.

h) 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
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 DUNS Number	NEU/local government DUNS Number	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

Defined Term	Definition	Required	List Values	Data Type	Max Length
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) 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)	Required	1) Action Taken (i.e., 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)	Pick List	n/a

Defined Term	Definition	Required	List Values	Data Type	Max Length
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 the 75 percent budget cap (second revision, if applicable)	Final Allocation Across 1st and 2nd Tranches after application of the 75 percent budget cap (second revision, if applicable)	Optional	n/a	Dollar Numeric	12, 2
Additional Notes	Include any additional notes required to explain the NEU distribution summary line items, as applicable	Optional	n/a	String	400

i)   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 NEW 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 DUNS Number	NEU/local government DUNS Number	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

j)   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 DUNS Number	NEU/local government DUNS Number	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; |- 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)	10

k)   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 DUNS number	Include the Jurisdiction unique 9 digit DUNS number	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 email address.	Optional	n/a	String	150

Defined Term	Definition	Required	List Values	Data Type	Max Length
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

I)   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 DUNS number	Include the Jurisdiction unique 9 digit DUNS number	Required	n/a	String	9
Transaction ID (assigned by Non-UGLG)	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; |- 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

Appendix B – Designating SLFRF Points of Contact by SLFRF Account Administrators

This section provides a brief instruction for SLFRF Account Administrators on accessing Treasury's Portal to provide the names and contact information of officials to be designated as your organization's points of contact for the SLFRF award(s). The following pages provide step-by-step guidance. See Section II for commonly asked questions/answers on this topic.

Note- the screens noted below may be subject to change.

Section I: Instructions

Step 1
You must be registered in the ID.me system to access Treasury's Portal. You can refer additional guidance on registering in the ID.me system. If you have questions about registering in ID.me, please email SLFRP@treasury.gov.

Step 2
Once you are registered in ID.me, click on the link in the email you received requesting the POC designations.   If you do not have the email link, please email us via SLFRP@Treasury.gov and we will provide the link.

Step 3
The link will take you to the Treasury Portal "State, Local, and Tribal Support" landing page as shown below.   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 arrow below.
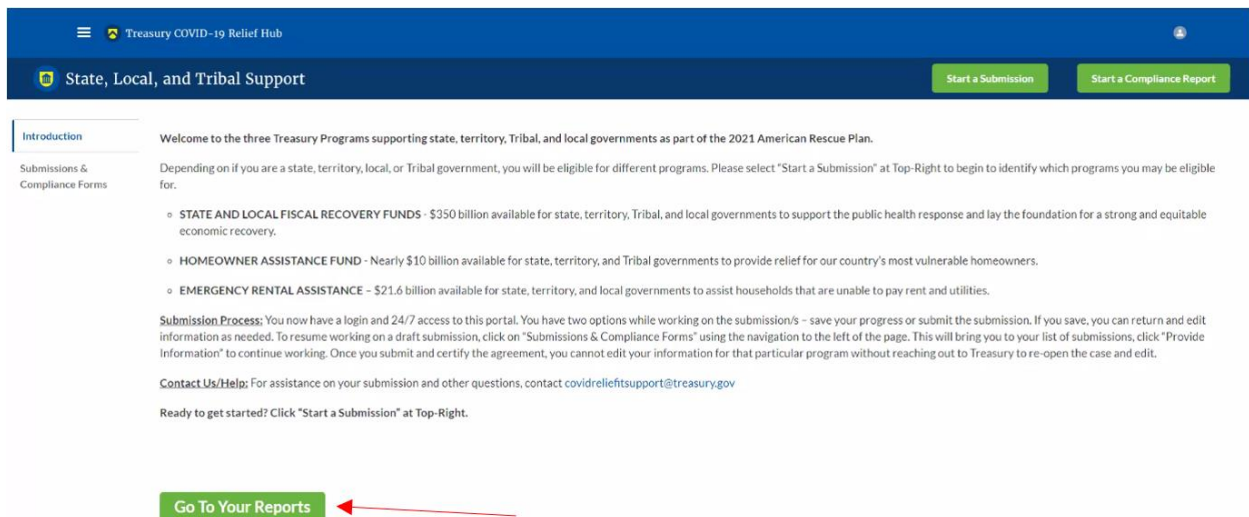
Step 4
The green *Go to Your Report* button will take you to the Submissions and Compliance page as shown below. Once on that page, click on the three-line navigation icon at the top left of the screen. The red arrow below is pointing to the icon.

Step 5

After clicking on the three-line navigation icon, a drop-down menu will appear on the top left of the screen as shown below. Please click on "Account" from the drop-down menu, as shown by the red arrow below.

Step 6

Next you will see the screen below. Under the "Account Name" heading, click on the name of your organization (as shown by the red arrow).

Step 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 below. The landing page provides basic information about the designations. Please see section B for more details about the roles and responsibilities for each or the three roles.

Step 8

When you are ready to key in the names of the designated individuals , click on the "Certification" button on the left navigation bar, as noted in the red arrow as shown below.

Step 9

On the "Official Certification of Authorization" screen, you should 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.

Step 10

Next, click on the "Designation Form" button on the left navigation bar, as noted by the red arrow shown below.

Step 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 below.
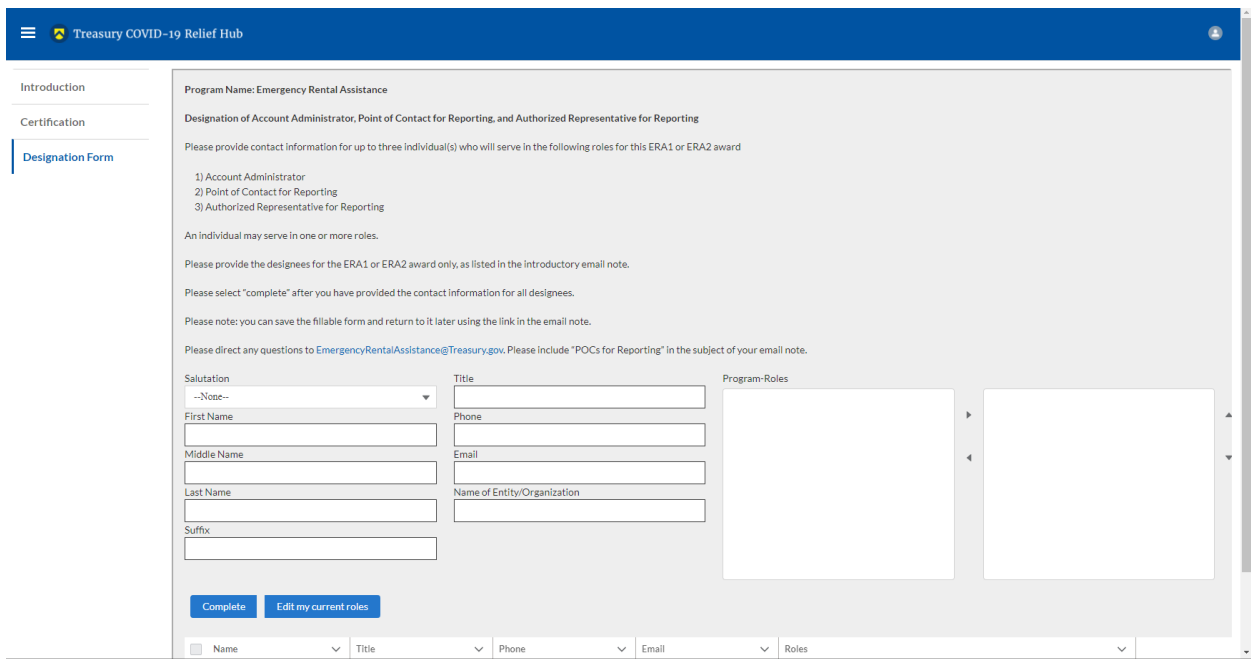
You can use the Designation Form to enter the names and contact information for each of the three designations for each of you SLFRF allocations.

The roles for the SLFRF allocations are displayed as follows:

- SLFRF – Account Administrator
- SLFRF – Point of Contact for Reporting
- SLFRF – Authorized Representative for Reporting

The Designation Form screen shows nine data fields for entering key information about the individual being designated. These include:

- Salutation (optional)
- First Name
- Middle Name (optional)
- Last Name
- Suffix (optional)
- Title
- Phone
- Email
- Name of Entity/Organization (Recipient entity)

Note: 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.

a.   Designation of the Account Administrator

Remember, we have temporarily authorized you as the SLFRF – Account Administrator. There is no need to re-enter your name and contact information if you plan to continue in that role.   If you need to designate someone else as the SLFRF Account Administrator,

- Find your name at the bottom of the screen.
- Hit the blue *Edit* button located to right of your name.
- Enter the name and contact information of the new SLFRF Account Administrator.
- Hit the blue *Complete* button.

b.   Designation of Point of Contact for Reporting and Authorized Representative for Reporting

- Enter the next designee's name and contact information.
- After entering their name and required contact information, select the Program Role(s) for which he/she is being designated.
- 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.
- Click on the *Complete* button at the bottom of the screen.
- Follow the same process for each of the remaining designees.
- When you have entered all three designations, please press the *Complete* button.
- As a final step, go to the icon on the upper right of the screen as shown below to exit the system.

Section II: Questions and Answers

Who is authorized to designate the Account Administrator, the Point of Contact for Reporting, and the Authorized Representative for Reporting for my organization's SLFRF's award?

Treasury requests that each SLFRF should follow its own decision-making procedures in making the three designations for each award.

What is the deadline for making the designation?

Treasury requests that use Treasury's portal to make the three designations as soon as possible to enable your organization to submit its Interim Report and Recovery Plan Performance Report (if applicable).

What are the responsibilities for each of the three designated roles?

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. The Account Administrator can also view and submit reports. Finally, the Account Administrator is responsible for making any changes or updates 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.

- **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, but cannot certify and submit these reports.

- **Authorized Representative for Reporting** is responsible for certifying and submitting official reports on behalf of the SLFRF award 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, monthly reports, quarterly reports, interim reports, and final reports.

May my organization designate one individual for multiple roles?
Yes, an individual may be designated for multiple roles. For example, the individual designated as the Account Administrator can also be designated as the Authorized Representative for Reporting or Point of Contact for Reporting. It is also acceptable for an organization to designate one individual for all three roles however it should also adhere to any applicable rules on personnel checks and balances.

May my organization designate more than one individual per role?
Yes, you may designate more than one person per each role but are encouraged to limit the number of users assigned to each role.

May my organization change the designations from time to time?
Yes, an organization may make changes and updates to the list of designation individuals whenever needed.

Must each of the designated individuals register for using Treasury's Portal?
Yes, everyone designated for any of the roles must register with ID.me before they will be given access to Treasury's portal.   Please contact us at the email address below for more information and guidance on registering with ID.me.

Additional Questions or Additional Assistance?
If you have additional questions about accessing or using Treasury's portal to provide the designees' names and contact information, please send us an email via SLFRP@treasury.gov.