



Governor's Emergency Relief Fund Oversight Committee

Policies and Procedures

I. Background

A. Purpose

The Alabama Governor's Emergency Relief Fund ("The Fund") was established by proclamation to provide assistance to individuals and organizations with recovery costs that are a direct result of a disaster or emergency. The Fund operates on a year-round basis to help residents of Alabama (current residents and evacuees), local businesses and organizations who have exhausted all other avenues of relief, such as FEMA, American Red Cross, The Salvation Army, other federal, state, and local government relief programs and any other disaster relief programs. The focus of funding is to assist with recovery costs that exceed the coverage provided by insurance, government funding and relief organizations. These hardship expenses are termed "Unmet Needs." Expenses that are considered eligible for funding are defined in Section IV. D. of these Policies and Procedures.

B. Non-Discrimination

There will be no discrimination against any applicant for, or recipient of, aid, benefits, or services, or any employee or any other persons on the basis of race, color, religion, gender, age (as specified by the Age Discrimination Act of 1975), or national origin, including but not limited to discrimination prohibited by Title VI of the Civil Rights Act of 1964, as amended, and any other applicable federal regulations. In addition, there will be no discrimination against any applicant for, or recipient of, aid, benefits, or services, or any employee or any other persons on the basis of physical or mental disability in accordance with the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act.

C. The Governor's Emergency Relief Fund Oversight Committee

Members of the Governor's Emergency Relief Fund Oversight Committee ("The Committee") are appointed by the Governor and are responsible for establishing policies, procedures, and funding formulas for the disbursement of monies for The Fund based on Unmet Needs specific to each disaster or emergency.

Representation of 50% or greater of the members of The Committee at a meeting shall comprise a quorum. Members may participate in a meeting via conference call or be represented by a proxy in the event they are unable to attend. Proxies must provide a signed and dated letter from the Committee member designating the proxy as the Committee member's representative. The membership of The Committee is reflected in the chart below:

Name	Position	Duration of Appointment
Coordinator, Governor’s Office of Volunteer Service	Co-Lead State Agency (GOVS)	Ongoing
Director, Alabama Emergency Management Agency (AEMA)	Co-Lead State Agency (AEMA)	Ongoing
Director, United Ways of Alabama	Fiscal Agent (UWAL)	Ongoing
Commissioner, Department of Insurance	Member	Ongoing
Commissioner, Department of Human Resources	Member (DHR)	Ongoing
State Health Officer, Department of Public Health	Member (ADPH)	Ongoing
Commissioner, Department of Revenue	Member	Ongoing
Director, Department of Finance	Member	Ongoing
Director, Governor’s Office of Minority Affairs	Member	Ongoing
Director, Alabama Department of Economic and Community Affairs	Member (ADECA)	Ongoing
At-Large Appointee	Member	Ongoing

D. Administration of The Fund

1. GOVS and AEMA are the designated state agencies partners to lead The Fund based on the Governor’s proclamation and other directives provided by The Committee. GOVS and AEMA will provide support for The Fund including, but not limited to: (i) development and maintenance of policies as approved by The Committee, and (ii) staff support to The Committee and other state and local organizations. If The Committee determines it is necessary to hire additional labor on a contract basis to assist in the administration of The Fund, it shall be permitted to do so. GOVS and AEMA will be responsible for activating The Committee in response to a disaster or emergency situations. GOVS, AEMA and UWAL will provide technical assistance to local organizations requesting and/or receiving funds. Upon receipt of an inquiry, GOVS, AEMA and UWAL will provide technical assistance in preparing the Request for Funding (in the form attached hereto as Attachment A), including the Long-Term Recovery Committee Member List (in the form attached hereto as Attachment A1), and the Proposed Budget (in the form attached hereto as Attachment A2). Once funding has been approved, training and technical assistance will be provided to assure an understanding of the policy governing the use of funds and reports required.
2. A portion of The Fund, not to exceed 5%, may be used for administrative purposes. Any fees to be paid by The Fund to The Fiscal Agent will be negotiated between The Fund and its fiscal agent. All expenditures of The Fund are subject to an audit as requested by The Committee.
3. United Ways of Alabama (UWAL) will serve as The Fund’s fiscal agent (“The Fiscal Agent”). In such capacity, The Fiscal Agent will receive, process and distribute donated funds on

behalf of The Fund. If, in its own discretion, The Fiscal Agent determines it is necessary to hire additional labor, on a contract basis to assist in its role for The Fund, it shall be permitted to do so as approved by The Committee. Funds belonging to The Fund shall be maintained by The Fiscal Agent in separate, interest-bearing accounts. The Fiscal Agent will be eligible for a percentage of the interest accrued by such accounts, with such percentage approved by The Committee. Other interest accrued by such accounts may be retained in The Fund for future disasters, emergencies, or administrative costs not covered above.

4. The local Long Term Recovery Committees (“LTRC”) or other approved organizations (including, but not limited to, a statewide LTRC) will be responsible for the administration of The Fund amounts allocated by The Fund to a local community. Refer to Section II of these Policies and Procedures for additional information. Each local LTRC is authorized to use up to 5% of their specific allocation from The Fund for administrative or operational costs. Any fees to be paid to the LTRC’s individual fiscal agent will be negotiated between the local LTRC and its individual fiscal agent. Allowable administrative and operational expenses include postage, printing materials, office supplies, and case management personnel costs such as salary and travel. Refer to Section V of these Policies and Procedures for additional information about record keeping and reporting of these expenses. All expenditures of LTRCs are subject to an audit on a schedule to be determined by The Committee.

E. Donations Mechanism

Information regarding charitable donations to The Fund will be posted on the web sites of GOVS at www.ServeAlabama.gov, AEMA at <https://ema.alabama.gov> and United Ways of Alabama at www.UnitedWaysofAlabama.org. All corporate and individual donations will be processed by The Fiscal Agent. Donations may be accepted at any time. During times of disaster or emergency, GOVS, AEMA, and UWAL will publicize the need for donations to The Fund via press releases, social media and press conferences. In addition, GOVS and AEMA may authorize The Fiscal Agent to publicize information regarding donations.

II. Local Long-Term Recovery Committee (LTRC)

A. Establishment of Local LTRCs

1. The local Voluntary Organizations Active in Disaster (VOAD) will establish a local LTRC for recovery efforts in a local community related to a specific disaster. The local LTRC is a sub-committee of the local VOAD. The local LTRC is a time-limited response to a specific disaster or emergency situation. The local LTRC consists of members of the communities they serve and represents business and financial leadership, local media, community and faith-based groups, non-profit/civic organizations as well as public entities. Local LTRCs are collaborative organizations, not meant to replace those organizations already at work in their communities (some states and local areas use the term Unmet Needs Committee or Long-Term Recovery Groups in place of a Long-Term Recovery Committee).

Newly established local LTRCs shall elect a Chair or Coordinator, and Secretary at the minimum; local LTRCs may also elect a Vice Chair or other officers. Additional committee

members may be identified at the first meeting. Existing LTRCs will add the required members prior to the submission of any request to The Fund. No application will be considered by The Committee unless required LTRC members are in place.

NOTE: The guidance for required and recommended members does not replace or supplant traditional Long-Term Recovery Committee guidance from organizations such as the National Voluntary Organizations Active in Disaster (NVOAD) and/or the Federal Emergency Management Agency (FEMA). To obtain a manual on establishing an LTRC, visit <http://www.nvoad.org> or call GOVS, AEMA or UWAL.

In the absence of a local VOAD, the County Emergency Management Director and/or the County Director of the Department of Human Resources are responsible for recruiting and convening a local LTRC for recovery efforts in a local community related to a specific disaster. The local LTRC should be as small as possible while being inclusive. In order to submit a Request for Funding to The Fund, the requesting local LTRC membership must include the required members (applicable to the specific county) listed in the table below. Other members may be included at the county’s discretion.

- Composition of a local LTRC shall include of the following members:

Representative	Duration of Appointment	Membership Status
Department of Human Resources	Ongoing	Required
Emergency Management Agency	Ongoing	Required
Cooperative Extension System	Ongoing	Required
Department of Public Health	Ongoing	Required
Faith Based Community	Ongoing	Required
Non-profit/Civic Organization (With 501(c)(3) Tax Exempt Status)	Ongoing	Required
Chamber of Commerce	Ongoing	Required if available
The Salvation Army	Ongoing	Required if available
American Red Cross	Ongoing	Required if available

The following organizations are recommended:

Representative	Duration of Appointment	Membership Status
Citizen Corps Council	Ongoing	Recommended
Media	Determined by LTRC	Recommended
Banking/Financial Organization	Determined by LTRC	Recommended
Mental Health Expert	Determined by LTRC	Recommended
Other Community Disaster Response Organizations	Determined by LTRC	Recommended
Realtors® Association	Determined by LTRC	Recommended
Manufactured Housing Association	Determined by LTRC	Recommend7. “Serve

B. General Responsibilities

The overall responsibility of the local LTRC relative to The Fund is to manage monies designated to its local community by The Fund and to coordinate and communicate the individual efforts of these groups by leveraging a limited supply of resources to maximize and sustain the recovery process.

A local LTRC is specifically responsible for:

- Identifying gaps in the recovery process, including, but not limited to, Unmet Needs within the communities it serves and coordinating with the agencies providing case management and relief/recovery services in such community;
- Developing a relationship with policy makers on state and local levels;
- Developing policies regarding the scope of its ability to assist the recovery process, such as the types of coordinated assistance it can provide;
- Disseminating information to the local public on available resources including, but not limited to, The Fund;
- Completing and submitting to The Fund a Request for Funding that includes a description of assistance to be provided, a projected budget for the items and identifying a fiscal agent for receiving, distributing and accounting for monies received from The Fund;
- Ensuring monies received from The Fund do not supplant or duplicate monies received from other governmental or relief organizations to be used in the recovery process in the local community (the Coordinated Assistance Network (CAN) is a recommended resource and more information is available at www.can.org);
- Ensuring the monies received from The Fund are leveraged against other funds and material donations to be used in the recovery process in order to achieve maximum benefit for the local community;
- Maintaining records related to expenditures of monies received from The Fund (as explained in Section V of these Policies and Procedures);
- **Providing monthly reports to The Fund on expenditures and activities by the 10th of each month (see Section V. B. for specific details); and**
- Returning to The Fund any unspent monies received from The Fund not required for completion by the LTRC of the approved Request for Funding (funds are to be returned to The Fund at the time the final reports are submitted).

C. Identification of Local LTRC's Fiscal Agent and Responsibilities

1. Local LTRC's Fiscal Agent

The proposed fiscal agent of the local LTRC shall be identified on the Request for Funding. The proposed fiscal agent must have been an established 501(c)(3) for at least two years. Examples include but are not limited to The United Way or a Community Foundation. The fiscal agent will be an ex-officio member of the local LTRC and should attend meetings. If the organization requesting funding is an established 501(c)(3) organization, no fiscal agent is required; however, a copy of the 501(c)(3) certification notice and a copy of the most recent IRS Form 990 are to be provided with the Request for Funding.

If there is no local 501(c)(3) organization that meets the requirements or that will consent to be the fiscal agent, the Request for Funding will indicate a need for assistance in identifying an appropriate organization to carry out this function. It may include an organization within the area or the United Ways of Alabama (UWAL) may carry out this function for the local LTRC.

There must be a separation of duties and responsibilities between the local VOAD/LTRC and the fiscal agent. The fiscal agent may not have a leadership role in the local VOAD or LTRC. In addition, the fiscal agent may not be involved in the authorization of funds. Anyone involved in the authorization of funds may not serve as fiscal agent. Failure to maintain this separation of duties may result in a change of the fiscal agent or local organization responsible for management of the monies designated by The Fund for the local community. NOTE: Exceptions to this policy may be approved by The Committee and should be explained in the Request for Funding document.

2. Local Emergency Relief Fund

Each local LTRC that will be receiving funds from The Fund must establish a restricted account to be named “(name of county) County Governor’s Emergency Relief Fund.” The Fiscal Agent shall write the check for the allocation from The Fund’s account to the local LTRC’s restricted account. Each check to be issued from the local LTRC’s restricted account shall require two signatures. Elected or appointed officials are not permitted to perform this duty. The local LTRC shall provide the name, address, telephone number, FAX number and e-mail address of the contact person for its restricted account. The check for establishing the local LTRC’s restricted account shall be mailed to this person.

In the event The Fiscal Agent also carries out the functions of a fiscal agent for a local LTRC for a local community, a separate, restricted account for the funds allocated to the local community shall be maintained so as to prevent comingling of funds belonging to The Fund itself.

D. Method for Addressing Unmet Needs

Using a case management model, each local LTRC or other approved organization will be responsible for identifying the needs of its local community and developing a distribution plan for utilizing monies received from The Fund. The plan must be documented in the Request for Funding form and in accordance with the requirements set out in these Policies and Procedures.

E. Publicity and Minority Outreach

It is important that all victims of the disaster are aware of the possibility of assistance from The Fund. The Request for Funding requires a description of outreach efforts planned by the local LTRC or other approved organization. These efforts may include:

- Contacting members of the County Commission, City Council, Chamber of Commerce and major boards/councils within the local community to inform them of the funds and soliciting their help in getting the information out to residents in the local community;

- Contacting non-profit organizations that provide assistance to people requesting that they help spread the information;
- Contacting faith-based leaders in the local community asking them to announce the program in their churches;
- Contacting civic organizations for assistance in spreading the information about the program; or
- Sending information to businesses, including minority owned businesses.

III. Grant Awareness Process

A. Eligible Recipients

As described in the Governor’s proclamation, The Fund is intended to provide support to individuals and organizations located in Alabama. To this extent, The Committee shall accept requests for funding through three separate systems: (i) The Committee shall consider Requests for Funding received from local LTRCs in communities affected by disasters, (ii) The Committee shall consider Private Business Proposals received from private businesses directly affected by disasters, and (iii) in rare situations, The Committee may consider funding requests from certain national, statewide, or regional organizations.

Individuals, families, churches, businesses, and organizations with Unmet Needs are eligible for funding, either through distributions from a local LTRC or through other approved entities receiving funding directly from The Fund (“Recipients”). However, certain phases of funding may focus on a specific segment of applicants.

Eligibility criteria include:

1. Recipients must be current residents of Alabama, evacuees currently in Alabama, or businesses or organizations located and authorized to do business in Alabama.
2. There must be an Unmet Need as a result of a disaster or emergency.
 - a. Disaster or emergency is defined as a disaster or emergency under a Presidential Disaster Declaration, Gubernatorial Proclaimed State of Emergency and such other disasters as The Committee deems appropriate.
 - b. “Unmet need” is defined as hardship expenses incurred as a direct result of above stated disaster or emergency definition.
3. All other potential sources of funding must have been exhausted. These sources include but are not limited to FEMA, American Red Cross, The Salvation Army, other disaster/emergency relief programs, insurance, and any other federal, state, or local relief programs.
4. Damage or loss must relate to the primary residence, local business location, or local organizations.
5. To qualify as a Recipient, each private business that submits a Private Business Proposal must show that it does not have adequate resources from its own assets, conventional financing, or insurance to fulfill its Unmet Needs.

Monies from The Fund shall only be distributed, either through distributions of local LTRCs or through other approved entities, to Recipients that meet the above criteria (“Eligible Recipients”).

B. Funding Requests

1. Local LTRCs

Using a Request for Funding, a local LTRC may request funding from The Fund based on the assessment of Unmet Needs of Eligible Recipients in its local community. This form will include a description of assistance to be provided including the case management process to be used, proposed budget, LTRC minutes, time frame for disbursement of funds, and a recommended local fiscal agent. In addition, using a Proposed Budget, the local LTRC shall present a budget that will list Unmet Needs of Eligible Recipients in the local community and an estimate of the amount requested from The Fund.

The Request for Funding must be signed by the Chair or Coordinator of the local LTRC and there must be a witness signature. The form will then be mailed to the Governor's Emergency Relief Fund, c/o UWAL, 8 Commerce Street, Suite 1140, Montgomery, AL 36104. A copy of the Request for Funding is to be maintained in the files of the local LTRC for seven (7) years.

The initial Request for Funding is an estimate that may be revised as Unmet Needs of Eligible Recipients in the local community are refined. If it appears that additional funds will be needed, the local LTRC is to submit a revised Proposed Budget with an explanation of the change detailed in the "Explanation" column.

2. Private Businesses

Using a Private Business Proposal, private businesses in communities impacted by the disaster may submit an application to request monies from The Fund based on their Unmet Needs, so long as they qualify as Eligible Recipients. This form will include a description of the damages incurred as a result of the disaster, a certification that such private business has received all available funds from other governmental or relief organizations to be used in the recovery process, a certification of the Unmet Needs of such private business, a certification that the Unmet Needs cannot be fulfilled by the private business from its own assets or conventional financing, a proposed budget for use of funds received from The Fund, and a time frame for use of such funds. The Committee shall also have the right to require any additional documentation from a private business that The Committee feels is reasonably necessary to establish the eligibility of such private business to receive monies from The Fund.

The Private Business Proposal must be signed by an appropriate and authorized officer of such private business. The form will then be mailed to the Governor's Emergency Relief Fund, c/o UWAL, 8 Commerce Street, Suite 1140, Montgomery, AL 36104. A copy of the Request for Funding is to be maintained in the files of such private business.

The initial Private Business Proposal is an estimate that may be revised as Unmet Needs of such private business. If it appears that additional funds will be needed, such private business shall submit a revised Private Business Proposal with an explanation of the change detailed in the "Explanation" column. A copy of the request must be provided to the LTRC (if applicable) in the proposed project area.

3. Other Organizations

In rare situations, national, statewide, or regional organizations may make requests for funding directly to The Committee. These organizations are generally requesting assistance for expenses that are not being handled by the local LTRC. These requests must be in writing and must include a description of the assistance to be provided and the amount requested. Requests that duplicate the assistance to be provided by a local LTRC will not be approved. A copy of the request must be provided to the LTRC (if applicable) in the proposed project area.

C. Allocation of Funds

All requests for funding in any form must be reviewed and approved by The Committee prior to the disbursement of funds. Funds shall be allocated to ensure individuals and organizations each receive distributions from The Fund. The Committee reserves the authority to make direct grants to organizations participating in disaster response and recovery. The Committee shall take into account all reasonable requests and restrictions which may accompany a donation but is not required to meet any such desires or restrictions.

1. Allocations to Local LTRCs

The Committee will determine allocations for each local area based on an approved Request for Funding application and the availability of funds. The factors listed below may be used when the local LTRC needs assistance in estimating recovery costs for Unmet Needs.

- Number of FEMA registrations;
- FEMA claims (if applicable);
- Local Unmet Needs;
- Long term recovery time line;
- Damage assessments;
- Per capita income;
- Disaster/Emergency related unemployment claims; and
- Red Cross estimates.

Other factors that may be considered include (but are not limited to):

- Number of counties affected;
- Counties covered in disaster declaration (if applicable);
- Balance in The Fund account; and
- Potential income into The Fund for emergency or disaster.

2. To Private Businesses

The Committee will determine allocations for each private business based on an approved Private Business Proposal application and the availability of funds. Distributions to any private business must not exceed the verifiable Unmet Needs of such private business. In

addition, the Committee must determine that: (1) the allocation would be a reasonable means of accomplishing a charitable purpose, (2) any private benefit to the private business arising from the allocation is not excessive and is incidental to the accomplishment of a charitable purpose and (3) without the allocation from The Fund, the private business would not remain in the local community. No allocations should be made to a private business that has been restored to viability or is self-supporting.

D. Timelines

The timelines listed below are general and may be adjusted based on the emergency or disaster situation.

1. Information and technical assistance related to developing a Request for Funding or a Private Business Proposal shall be provided by GOVS, AEMA or UWAL within two (2) weeks of the request for assistance from either a LTRC or private business qualifying as an Eligible Recipient.
2. Requests for Funding submitted to The Fund by local LTRCs shall be reviewed by UWAL and recommendations provided to The Committee within ten (10) working days of receipt of the request.
3. Via a Funding Decision Letter, Recipients shall be notified of The Committee's decision within one (1) week of the approval/denial of the Request for Funding or Private Business Proposal. If approved, the amount of funds approved shall be specified in the Funding Decision Letter. Training and technical assistance shall be provided by UWAL, GOVS or AEMA to each Recipient prior to disbursement of funding.
4. Recipients shall receive their allocation of funds within two (2) weeks of approval of the Request for Funding (or acceptance of the identified fiscal agent) or approval of the Private Business Proposal. Allocations may be disbursed by The Fund on a quarterly basis (or shorter time frame in The Committee's discretion) based on the time frame identified in the Request for Funding or Private Business Proposal.
5. On the tenth (10th) day of each month after initiating fund disbursement, each Recipient shall submit to The Committee a monthly Service and Expenditure Summary Report detailing such Recipient's services provided and expenditures. The monthly report may be submitted electronically.
6. On the tenth (10th) day of the month following the end of the calendar quarter, the Cumulative Distribution Record shall be submitted by each Recipient along with the Service and Expenditure Summary Report.
7. Within two (2) weeks of completing fund disbursement to vendors on behalf of county residents, LTRCs that are Recipients shall submit a final Service and Expenditure Summary Report and final Cumulative Distribution Record. Likewise, within two (2) weeks of completion of use of disbursed funds, private businesses that are Recipients shall submit a final Service and Expenditure Summary Report and final Cumulative Distribution Record. The final signed and witnessed report shall be mailed to UWAL.

E. Reserves

The Committee reserves the right to retain a reserve for future disasters or emergencies.

IV. Eligibility and Benefits

A. Eligible Recipients of The Fund

Individuals, families, faith based organizations, businesses, and organizations with Unmet Needs are eligible for funding from The Fund, through an LTRC or other approved entities.

All Recipients shall meet the criteria of an Eligible Recipient as provided in Section III. A. of these Policies and Procedures.

All Recipients are required to demonstrate need for assistance as well as evidence that all other sources of funding have been exhausted.

B. Documentation of Local LTRC Applicants

Each Recipient that is an applicant, individual or family requesting funds from a local LTRC ("Applicant") shall complete an application form, an Application and Distribution Record. The use of this form as an application may be waived if there is an application for benefits for another program that contains the information required of the Applicant. Faith based organizations, businesses, and organizations are not required to complete the application form but are to make the request to the local LTRC in writing.

Local LTRCs or the assigned Case Managers shall be responsible for documenting eligibility of Applicants. LTRCs/Case Managers shall access and document information from government and relief organizations to ensure all other funding sources have been exhausted and to prevent duplication of services as to each Applicant. This may include reviewing Driver's License information to determine identity and status as a victim or evacuee. Other documentation may include copy of deed and, if applicable, mortgage documents, utility bills or other correspondence that establishes residence of an Applicant in a disaster or emergency area. The Case Manager shall also review documentation related to insurance claims, governmental claim status, and receipt of assistance from any other relief organizations for each Applicant.

In the event of a federal disaster declaration, FEMA shall determine eligibility of costs submitted for reimbursement. Any application to reimburse for mass care (sheltering and feeding) shall first be submitted to the city or county government for FEMA reimbursement under the Public Assistance Program. The eligible costs shall be written on a FEMA project worksheet for the city or county government's reimbursement. Ineligible costs shall not be included on the project worksheet and shall not be reimbursed by FEMA. Documentation that a request has been made to and denied by the local public entity administering the FEMA Public Assistance Program shall be required. Check with your city or county administrator or the local Emergency Management Agency (EMA) for further guidance.

The assigned Case Manager shall document findings on the back of the Application and Distribution Record (or in the case file if another program's application form is used) and shall sign and date the notes. Findings related to applications made by faith based organizations, businesses, or organizations shall be documented on a separate sheet of paper in the case file.

C. Authorization and Distribution of Benefits to Local LTRC Applicants

1. Authorization

Once eligibility of an Applicant has been documented, the Case Manager shall recommend approval or denial of payment on behalf of the Applicant by signing the Application and Distribution Record in the designated space in the "Authorization" section. The recommendation shall then be given by the Case Manager to the LTRC for final approval or denial.

It shall be the responsibility of the designated LTRC members to give the final approval before funds are issued by the local LTRC's fiscal agent. The Chair, Vice-Chair, and/or Secretary of the LTRC may be designated as the Committee members with this authority. If the volume of Applicants creates a need for more LTRC members to be involved, the LTRC may designate additional members for this responsibility.

CONFLICT OF INTEREST: LTRCs are cautioned to avoid any conflict of interest or appearance of conflict of interest when assigning this responsibility. For example, if the designated person is related to the Applicant, another member of the LTRC should review the application. **Elected or appointed officials are prohibited from this responsibility due to the great potential for conflict of interest.**

2. Disbursement by LTRC

Payments by an LTRC shall be made to vendors rather than Applicants. Payment for approved expenses shall be paid based on invoices provided and shall not exceed approved amounts. The disbursement information shall be recorded on the Application and Distribution Record. In the event a payment is made directly to an Applicant, the record must contain documentation of the approval for that payment. The specific case information shall also be entered on the Application and Distribution Record, which lists all cases where funds were expended.

The local LTRC's fiscal agent will follow generally accepted accounting procedures for tracking funds, including disbursements.

Local LTRCs **shall not make payments** to individuals, but rather to third parties, such as vendors, utility companies, and contractors.

D. Authorization and Distribution of Benefits to Private Businesses

Payments by The Fund to private businesses qualifying as Eligible Recipients shall be made in accordance with relevant provisions of these Policies and Procedures.

E. Eligible Unmet Needs

Payments for Unmet Needs may be disbursed to Eligible Recipients for the following types of expenses related to the principle residence or local business or organization. Damages to rental property, investment property and/or vacation homes are not considered Unmet Needs.

1. Repair/Replacement/Other Expenses Related to Primary Residence

Allowable expenses related to the primary residence of Applicants include:

- a. Home repair or rebuilding, including the cost of an estimator, labor, and materials:
 - Once a case is approved for funding, the cost of the estimator may be the only expense paid for an Applicant.
- b. Rental Assistance/Mortgage payment for home or business: Available for one time only. Payment shall be generally limited to actual amount of one month's rent/mortgage unless extenuating circumstances are documented.
- c. Utility Payments: Available to assist Applicants who have outstanding utility bills due. Payment shall be for the actual amount of the bill.
- d. Debris removal.
- e. Major Appliance Replacement.

2. Repair/Replacement/Other Expenses Related to Local Businesses or Organizations

Allowable expenses for Applicants that are businesses qualifying as Eligible Recipients include:

- a. Repair or rebuilding, including the cost of an estimator, labor, and materials.
- b. Rental Assistance/Mortgage payment for business: Available for one time only. Payment shall be generally limited to actual amount of one month's rent/mortgage unless extenuating circumstances are documented.
- c. Utility Payments: Available to assist businesses or organizations with outstanding utility bills due. Payment shall be for the actual amount of the bill.
- d. Debris removal.
- e. Major Appliance Replacement.

Rental/Investment/Vacation home property is not eligible for assistance from The Fund.

3. Other Expenses

The Committee may approve LTRC recommended distributions for other types of Unmet Needs such as:

- a. Child care expenses (Faith-based or licensed child care centers only)
- b. Food/Food Supplies: Amount of payment shall be based on assessment of family's need, based on family size.
 - Applicants should apply for SNAP before utilizing GERP funds.
- c. Medical expenses not covered by insurance: Eligible expenses such as the out-of-pocket expenses associated with the healthcare or treatment of any member of the Applicant's immediate household residing at the time or immediately following the disaster event. This includes mental health expenses.
 - This must be verified with Medicaid and/or ADMH.
- d. Emergency community relief projects which directly benefit disaster victims.
- e. Other expenses determined by The Committee.

F. Maximum Benefit

1. Household Applicants

The maximum cash benefit that may be paid on behalf of an Applicant is \$10,000. This amount is set by The Committee and may not be changed by the local LTRC. Only one Applicant per household is eligible.

2. Private Businesses

There is no maximum cash benefit that may be paid on behalf of a private business applying for monies from The Fund through use of a Private Business Proposal.

G. Administrative Costs

Local LTRCs can utilize up to 5% of actual documented costs of disbursed funds unless otherwise notified. Allowable administrative expenses include case management personnel costs such as salary and travel, postage, printing materials, office supplies, fiscal agent fees, and costs related to program publicity, if free publicity cannot be obtained.

V. Record Keeping and Reporting

A. Records of LTRC

The local LTRC must maintain information related to the receipt and disbursement of funds to Applicants. Specific items to be kept include: (i) copies of correspondence related to The Fund, such as the Request for Funding and attachments, and (ii) minutes of committee meetings.

1. Applicant Case Files

The LTRC or other groups administering funds in the county must maintain case files for seven (7) years after the completion of the funded activity. The files may be in file folders or the required documents may be fastened together and filed in a way that an individual Applicant record can be located if needed. Alphabetical by last name/first name is suggested as the filing method. Each file shall contain the following:

- a. The Application and Distribution Record.
- b. Documentation of eligibility including copies of letters, notifications, etc.
- c. Case Manager notes related to the application, including the recommendation and the final decision by the local LTRC committee or other decision maker.
- d. Disbursement information, including the purpose for the expenditure(s).

This material may be included with other materials that are related to other funding sources that may have been used in funding needs of the Applicant.

2. Financial Records of LTRC

The agency serving as fiscal agent for the local LTRC must maintain records on site for

seven (7) years. All expenditures are subject to audit by The Committee. Records must include the following:

- a. The name of each Recipient and social security number or appropriate Employer ID Number (EIN).
- b. The amount paid, check number and purpose for which monies were given. Use the "Disbursement" section on the Application and Distribution Record.
- c. Detailed records of expenditures for administrative or operational costs shall be maintained at the local level. These records shall adhere to generally accepted accounting practices for audit purposes.

The Application and Distribution Record may be used to document information related to the Applicant. This will include the Applicant statement regarding the accuracy of the information provided, and any notes of the Case Manager. These shall be maintained in a file folder, in alphabetical order by last name/first name. When another program's application form is used in lieu of The Fund's Application and Distribution Record, the "Authorization" section and the "Disbursement" section will need to be completed to document the decision on the application and to record disbursement information.

B. Records of Private Businesses

Any private business Recipient that applies for monies from The Fund through use of a Private Business Proposal shall maintain for at least seven (7) years detailed records indicating the use of such monies for eligible expenses.

C. Reporting

1. Monthly and Final Service and Expenditure Summary Reports

The monthly Service and Expenditure Summary Report must be submitted by each LTRC or private business electronically no later than the tenth (10th) day of the month following the month when expenditures were made. For example, services provided and funds spent during the month of March must be reported no later than April 10. A copy of this report is to be submitted to The Committee.

A final Service and Expenditure Report must be submitted to The Committee by the LTRC within two weeks of completing disbursement of monies from The Fund. Likewise, a final Service and Expenditure Report must be submitted to The Committee by each Recipient private business within two weeks of completing use of monies from The Fund. **The final report may not be submitted electronically.** The report shall be signed by the Chair of the LTRC or the appropriate officer of the private business and must be witnessed. A copy of the report shall be maintained by the fiscal agent and the LTRC or the private business. Information regarding distributions to or on behalf of each Recipient will not reported on this form but must be available on site for audit purposes. The Service and Expenditure Report shall include a section for reporting administrative expenses. See Section IV.G. of these Policies and Procedures for a description of allowable administrative expenses.

2. Quarterly and Final Cumulative Distribution Record

The quarterly reports shall be due from each LTRC and Recipient private business by the tenth (10th) day of the month following the end of the quarter, i.e., April, July, October or January. It shall be submitted with the monthly Service and Expenditure Summary Report. LTRCs must maintain a Cumulative Distribution Record in Microsoft Excel format with each monthly and final report. This form must be available in both an electronic and printed format. These reports may be reviewed periodically and must be available in the event of an audit. A copy of this report is to be submitted upon request of The Committee and/or UWAL.

The final Cumulative Distribution Report must be submitted to The Committee, along with the final Service and Expenditure Summary Report within two (2) weeks of completing disbursement of monies from The Fund. The final report may not be submitted electronically.

3. Report Schedule Chart

Monthly Reports		Quarterly Reports	
Period Covered	Service and Expenditure Report (Attachment D) Due Dates	Period Covered	Cumulative Distribution Report (Attachment E) Due Dates
January	February 10		
February	March 10		
March	April 10	January - March	April 10
April	May 10		
May	June 10		
June	July 10	April - June	July 10
July	August 10		
August	September 10		
September	October 10	July - September	October 10
October	November 10		
November	December 10		
December	January 10	October - December	January 10