EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 35

RESPONSIBILITIES AND REQUIREMENTS MANUAL

701 North Fairfax Street
Alexandria, Virginia 22314

p. 703-706-9660
f. 703-706-9677

efsp@uww.unitedway.org
www.efsp.unitedway.org

Table of Contents

Program Contact Information **6**

Notice **6**

Federal Programs to Help Homeless Individuals 6

Publication Statement 6

National Board Members **7**

Preamble **8**

History **8**

Key Changes and Program Clarifications **9**

Key Dates for Phase 35 ..... **15**

National Board Responsibilities **16**

National Board Administration and Secretariat 16

Grant Payment Process 17

Method of Payment 17

First Payments 17

Second Payments 17

Subsequent Payments 18

State Set-Aside Payments 18

Client Eligibility 18

FEMA Responsibilities **19**

State Set-Aside Committee Responsibilities **20**

Basis of State Award 20

Deadline 20

Selection of SSA Jurisdictions 20

Composition 21

Participation of Special Emphasis Groups 21

SSA Committee Function 21

Administrative Allowance 21

Local Board Responsibilities **22**

Composition/Roster 22

National Board Affiliates 23

Local Board Membership & Voting 23

Participation by Homeless, Formerly Homeless or Homeless Advocate 24

Native American Participation 24
Local Board Expansion 24
Participation of Special Emphasis Groups 24
Election of Chair 24
Notifications of Changes in Contacts/Addresses 24
Local Board Participation 25
Convening the Local Board 25
Reconvening the Local Board 25
Local Board Meetings 25
Quorum Requirements 25
Meeting Minutes 26
Local Board Plan Deadline 26
Advertising 26
Disaster Recovery Plan 27
Setting Priorities and Selection of LROs 27
Funding of LROs Serving Special Emphasis Groups 28
Coordination of Service 28
Client Eligibility 29
Notification of Changes in LRO Contact/Address 29
Combining Local Boards 30
Communication 30
Technical Assistance 30
Appeals Process 31
Local Resource Coordination 31
Monitoring LROs 31
Interim Report 32
Final Report 33
Reallocation of Funds 33
Reallocation to New Agencies 34
Returning Funds for Reallocation 34
Reporting Fraud, Theft and Criminal Activity 34
End-of-Program 35
Record Retention 35
Spending Period Extension 35
Variances and Changes 35
Administrative Allowance 36
Local Recipient Organization (LRO) Responsibilities 37
Criteria for LROs 37
LRO Documentation and Disaster Recovery Plan 38

LRO/Vendor Relationships 38
LRO Requirements 38
Knowledge of Requirements 38
Use of Funds 39
Bank Accounts/Interest Income 39
Payment to Vendors 40
LRO Reporting 40
Final Report 41
Program Compliance Resolution 41
Documentation Retention 42
Lobbying Prohibition and Reporting Requirements 42
Annual Audit Requirement 42
Uniform Guidance of the Office of Management & Budget 43
Audit Confirmation Request 43
Technical Assistance 43
Reallocation of Funds 43
Fiscal Agent/Fiscal Conduit 43
Fiscal Agent/Fiscal Conduit Payments 44
Benefitting Agency/Sub Grantee 44
Grant Agreement Articles 45
Financial Terms and Conditions 57
Other Terms and Conditions 61
Duplication of Benefits 61
Non-Supplanting Requirement 61
Hatch Act 61
False Claims Act and Program Fraud Civil Remedies 62
Debarment and Suspension 62
Hotel and Motel Fire Safety Act of 1990 62
Best Practices for Collection and Use of Personally Identifiable Information (PII) 62
Program Costs 63
Intent of Program 63
Questions 63
Client Eligibility 63
No Fee Requirement for Services 63
Payment to Vendors 64
Selection of Vendor 64
Client Confidentiality 64

Eligible Program Costs **65**
Food Purchases for Food Banks/Pantries and Other Food Providers 65
Transportation for Food Banks/Pantries and Other Food Providers 65
Equipment and Consumable Supplies for Food Banks/Food Pantries 66
Food Purchases for Mass Feeding 66
Transportation for Mass Shelter/Mass Feeding 66
Consumable Supplies for Mass Shelter/Mass Feeding as Direct Cost 66
Equipment Purchases for Mass Shelters/Mass Feeding as Direct Cost 67
Minor Emergency Equipment Repairs for Mass Shelters/Mass Feeding as Direct Cost 67
Limited First Aid Supplies for Mass Shelter/Mass Feeding 67
Building Code Repairs to Mass Shelter or Mass Feeding Facilities 68
Facility Improvements for the Disabled for Mass Shelter/Mass Feeding 68
Mass Shelter Expenses 68
Option 1: Mass Shelter/Direct Cost 69
Option 2: Per Diem Allowance 69
Mass Feeding Expenses 69
Option 1: Mass Feeding/Direct Cost 69
Option 2: Per Meal Allowance 70
Other Shelter Assistance (Off-Site Lodging Hotel/Motel) 70
Rent/Mortgage Assistance/Eviction Prevention 70
First Month's Rent Payment 71
Utility Assistance 72
Metered Utility Verification Form 73
Diapers 73
Feminine Hygiene Items 74
Charging Back Expenditures 74
Ineligible Program Costs **75**
Administrative Allowance **77**
Required Documentation **79**
Who Must Submit Documentation **81**
Required Forms **83**
Annex 1: Spreadsheets 83
Served Meals 85
Other Food 86
Mass Shelter 86
Other Shelter 87
Supplies and Equipment 88

Rehabilitation (Emergency Repairs/Building Code) 88
Rent/Mortgage 89
Utilities 89
Administration 90
Mileage 91
Annex 2: Local Board Plan Certification 92
Annex 3: Local Recipient Organization (LRO) Certification 93
Annex 4: Fiscal Agent/Fiscal Conduit Agency Relationship Certification 94
Annex 5: Lobbying Certification 95
Sample Forms, Letters and Guidance 96
Annex 6: Metered Utility Verification Form 97
Annex 7: Sample Rent/Mortgage Documentation 98
Annex 8: Sample Food Voucher 99
Annex 9: Sample Daily Per Diem Schedule 100
Annex 10: Sample Daily Per Meal Schedule 101
Annex 11: Sample Mileage Log 102
Annex 12: Audit/Review and Audit/Documentation Retention Responsibilities 103
Annex 13: Documentation Retention Responsibilities and Other Review/Audit Responsibilities 105
Annex 14: Utility Documentation Guidelines 107
Annex 15: Sample Advertisement 109
Publicizing/Advertising Elements 109
Sample Advertisement 109
Annex 16: Sample Application Elements 111
Application Elements 111
Glossary of EFSP Terms 112
Index 114

Program Contact Information

Emergency Food and Shelter National Board Program
701 North Fairfax Street
Alexandria, Virginia 22314

Phone: 703-706-9660
Fax: 703-706-9677

Email (Inquiries): efsp@uww.unitedway.org
Email (Document Submission): documentstoefsp@uww.unitedway.org
For all emails, please include your EFSP ID Number.

Website: www.efsp.unitedway.org

Catalogue of Federal Domestic Assistance (CFDA) No. 97.024

Notice

This manual contains changes from previous manuals issued to guide implementation of the Emergency Food and Shelter Program. This manual must be carefully studied prior to administering the program, giving any information to the public, or making any grant award. Matters of interpretation must be referred to the National Board staff.

This manual is intended for use by Local Boards and Local Recipient Organizations administering and providing services under the Emergency Food and Shelter National Board Program. This manual is not intended for individuals seeking services.

Federal Programs to Help Homeless Individuals

For information on other Federal programs to help homeless individuals, including programs funded under the McKinney-Vento Homeless Assistance Act, contact the U.S. Interagency Council on Homelessness, Federal Center SW Building, 409 Third Street, SW, Suite 310, Washington, DC 20024, (202) 708-4663.

Publication Statement

This publication was produced with administrative funds provided under the Emergency Food and Shelter National Board Program grant which was awarded to the National Board by the U.S. Department of Homeland Security's Federal Emergency Management Agency. While DHS/FEMA supports the Emergency Food and Shelter National Board Program, the statements in this publication do not necessarily reflect DHS/FEMA's views.

National Board Members

MICHAEL LEE, CHAIR
Federal Emergency Management Agency
U.S. Department of Homeland Security
Supervisory Emergency Management Specialist
500 C Street, SW
Washington, DC 20024

LINDSEY COPELAND
National Council of the Churches of Christ in the USA
Lutheran Services in America
Director, Public Policy and Advocacy
100 Maryland Avenue, NE, Suite 500
Washington, DC 20002

BRIAN CORBIN
Catholic Charities USA
Senior Vice President
for Social Policy
2050 Ballenger Avenue, Suite 400
Alexandria, VA 22314

WILIAM DAROFF
The Jewish Federations
of North America
Vice President for Public Policy & Director of the Washington Office
1720 I Street, NW, Suite 800
Washington, DC 20006

LT. COLONEL ARDIS FUGE
The Salvation Army
National Social Services Secretary
615 Slaters Lane
Post Office Box 269
Alexandria, VA 22313

DAWN LATHAM
American Red Cross
Director, Government Relations
431 18th Street, NW
Washington, DC 20006

DARLENE SLAUGHTER
United Way Worldwide
Vice President
Chief Diversity Officer
701 North Fairfax Street
Alexandria, VA 22314

Preamble

The Emergency Food and Shelter Program (EFSP) was created in 1983 to supplement and expand the work of local social service agencies, both nonprofit and governmental, to help people with **economic** emergencies (not disaster-related [i.e., fires of any kind, floods, tornadoes, etc.] emergencies). Therefore, EFSP funds are not to be used to provide emergency assistance for circumstances that are the **immediate** result of a disaster situation. EFSP funds may be used to provide economic assistance in the long term, even if the current circumstances may have been impacted by an earlier disaster occurrence. The EFSP funding is open to all organizations helping hungry and homeless people. EFSP funds must be used to supplement feeding, sheltering (including transitional sheltering) and rent/mortgage and utility assistance efforts only.

EFSP is governed by a National Board that selects jurisdictions for funding. Local Boards are convened in those qualifying jurisdictions to determine the highest need and best use of funds and to select Local Recipient Organizations (LROs) that will provide emergency food and shelter services. Each year, needs are to be assessed to respond to changes in the community.

History

A webinar providing an overview of the Emergency Food and Shelter Program is available on the EFSP website under ***Training Workshops****.*

The Emergency Food and Shelter Program was established on March 24, 1983, with the signing of the "Jobs Stimulus Bill," Public Law 98-8. That legislation created a National Board, chaired by the Federal Emergency Management Agency (FEMA) that consisted of representatives of the American Red Cross, Catholic Charities USA, National Council of the Churches of Christ in the USA, The Jewish Federations of North America, The Salvation Army, and United Way Worldwide.

The EFSP was authorized under the Stewart B. McKinney Homeless Assistance Act (P.L. 100-77 signed into law on July 24, 1987, since renamed the McKinney-Vento Homeless Assistance Act and subsequently reauthorized under P.L. 100-628, signed into law on November 7, 1988). Since 1983 the EFSP will have distributed $4.4 billion to over 14,000 human service agencies in more than 2,500 communities across the country.

The original authorizing legislation (PL 100-77) specifically calls for "sensitivity to the transition from temporary shelter to permanent homes and attention to the specialized needs of homeless individuals with mental and physical disabilities and illness and to facilitate access for homeless individuals to other sources of services and benefits."

Also in accordance with the legislation, the National Board encourages Local Boards, the decision-making local bodies, to place special emphasis on identification of and assistance to the elderly, families with children, Native Americans and veterans. In addition, the authorization as revised (PL 102-550) in 1992 requires that a homeless or formerly homeless person serve on the Local Boards.

Key Changes and Program Clarifications

This Key Changes and Program Clarifications section is provided to assist in your annual reading and review of the EFSP Responsibilities and Requirements Manual (EFSP Manual); it is not a substitute for the EFSP Manual. All State Set-Aside Committee members, Local Board members and all Local Recipient Organizations (LROs) are advised to read the entire Phase 35 EFSP Manual thoroughly for complete guidelines regarding their responsibilities, program operations, acceptable expenditures and documentation requirements as significant changes have been made.

GRANT AGREEMENT ARTICLES, FINANCIAL TERMS AND CONDITIONS & OTHER TERMS AND CONDITIONS

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to ALL parties participating in the grant. For the EFSP, all parties means the National Board which is considered the Recipient, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the Sub-Recipients. All parties need to ensure their understanding of the EFSP Manual and the statements on the Certification Forms. By signing the Certification Forms, they are agreeing to specific program requirements of the National Board as well as those mandated by the Federal government, including those that do not appear to apply to the types of programs and activities eligible under the EFSP. All parties will be held accountable for the provisions of the grant.

For further detail, please reference pages 45- 56.

ELECTRONIC SIGNATURES

Starting in Phase 35, all Local Board Plans, Local Recipient Organization Certifications, Fiscal Agent/Fiscal Conduit Relationship Certification Forms, Lobbying Certifications, Second Payment Requests, Final Reports and Spending Period End Date Extension Requests must be electronically signed using DocuSign. You do not need a DocuSign account to electronically sign EFSP documents and there is no cost for using DocuSign for EFSP documents. Please review the updated Website User Guide for step-by-step instructions for submitting forms on the EFSP website and electronically signing. The User Guide may be found on the EFSP website, (www.efsp.unitedway.org).

ADVERTISING AND ACKNOWLEDGEMENT OF FUNDS

All parties as referenced in the Grant Agreement Articles must acknowledge EFSP funding as Federal funds awarded through the Department of Homeland Security. The acknowledgment must be included in Local Boards' advertisement of funding to the jurisdiction and any printed material, including request for proposals, bid invitations, etc.

For further detail, please reference pages 26-27, 45-46, and 109-111.

COMMUNICATING WITH THE NATIONAL BOARD VIA EMAIL

There are two email addresses for communicating with the National Board. Effective as of July 1, 2016, ALL documents submitted by State Set-Aside Committees, Local Boards and LROs via email to the Emergency Food and Shelter Program (EFSP) office must be sent to documentstoefsp@uww.unitedway.org.

Also, effective as of July 1, 2016, the new email address to send inquiries to the program is efsp@uww.unitedway.org. Only questions concerning the program should be sent to this email address.

For further details, please reference pages 30 and 63.

AUDIT REQUIREMENTS – CHANGE TO THRESHOLDS

LROs must have their records audited by an independent certified or public accountant if receiving $100,000 or more in EFSP funds. If an LRO receives from $50,000 to $99,999, they must have an annual accountant's review.

Local Boards must ensure that LROs expending $750,000 or more in Federal funds, comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget.

For further details, please reference pages 37, 42, 59, 80, 92-93, and 103-106.

LOCAL BOARD MEMBERSHIP – HOMELESS PARTICIPATION

Legislation requires all Local Boards to include in their membership a homeless or formerly homeless person. Local Boards must seek recommendations from LROs for an appropriate representative.

Local Boards who are unable to secure a homeless or formerly homeless representative must have a past recipient of food or shelter services or a homeless advocate on their Local Board. A homeless advocacy group may be invited to serve this roll only if those noted previously are unavailable to serve.

For further detail, please reference pages 24-26, and 92.

LOBBYING CERTIFICATION

By signing the LRO Certification Form, each LRO is certifying that EFSP funds will not be used for any type of lobbying activities. Additionally, LROs receiving $100,000 or more in EFSP funds must complete and submit the Certification Regarding Lobbying Form. The total of the funds is based on the original allocation to the LRO, plus any combination of subsequent awards to the LRO, including reallocations made by the Local Board.

If the Certification Regarding Lobbying Form is not submitted to the National Board, the funds may be held until it has been provided.

For further detail, please reference pages 42, 49, 60-61, and 95.

SPENDING PERIOD EXTENSIONS

The National Board may determine on an annual basis to exercise the option to extend the spending period when the receipt of funding is delayed in the federal appropriations or award process. The National Board may choose to exercise this option when funds are received after the first quarter of the federal fiscal year. The National Board will determine the dates of the extension option beyond the end of the calendar year. The National Board has exercised this option; the spending period options for Phase 35 are:

October 31, 2017
November 30, 2017
December 31, 2017
January 31, 2018
February 28, 2018
March 31, 2018
April 30, 2018
May 31, 2018
June 30, 2018
July 31, 2018
August 31, 2018
September 30, 2018
October 31, 2018
November 30, 2018
December 31, 2018
January 31, 2019

For further detail, please reference pages 15 and 35.

LOCAL BOARD - LRO CERTIFICATION FORMS

Local Boards are required to have all agencies selected as LROs on the Local Board Plan e-sign and date the LRO Certification Form at the beginning of each funding cycle. A copy of this form must be retained by both the Local Board and the LRO. The certification forms for all funded LROs must be submitted electronically and e-signed by accessing the forms under LRO Plan. Funds will not be issued to any LRO who has not e-signed and dated the LRO Certification Form. Only the LRO Certification Form provided by the National Board for the funding cycle will be accepted. The National Board's LRO Certification Form process has changes from prior phases with the introduction of DocuSign. The National Board's form may not be amended in any way. Local Boards wishing to have appropriate additional requirements regarding the funding of LROs may submit an addendum with the National Board's form. The addendum must also be submitted to EFSP with the Local Board Plan.

For further detail, please reference pages 92 and 93.

LOCAL RECIPIENT ORGANIZATION - LRO CERTIFICATION FORMS

Each Local Recipient Organization (LRO) is required to sign and date the LRO Certification Form at the beginning of each funding cycle. A copy of this form must be retained by the LRO and provided to the Local Board for submission to the National Board. Funds will not be issued to any LRO who has not provided the signed, dated LRO Certification Form. Only the LRO Certification Form provided by the National Board for the funding cycle will be accepted. The National Board's LRO Certification Form has changes from prior phases. The National Board's form may not be amended in any way. Local Boards making appropriate additional requirements regarding the funding of LROs may add an addendum to the National Board's form. The addendum must also be submitted to EFSP by the Local Board with the Local Board Plan.

For further detail, please reference page 93.

STATE SET-ASIDE COMMITTEE (SSA) - MINIMUM AWARD PER JURISDICTION

The minimum award that may be awarded to a jurisdiction by the SSA Committee for Phase 35 is $2,800.00 and applies to all jurisdictions selected for funding by the SSA. This minimum award applies even if the SSA is giving additional funding to a jurisdiction that was funded by the National Board's formula. SSAs acting as Local Boards must follow the Local Board requirements regarding minimum awards to LROs.

For further detail, please reference pages 20-21.

LOCAL BOARD - MINIMUM AWARD TO A LOCAL RECIPIENT ORGANIZATION (LRO)

The minimum funds that may be awarded to an LRO by a Local Board for Phase 35 is $500.00 and applies to all LROs selected for funding by the Local Board. If an LRO is receiving only administrative funds; the award amount may be less than the $500 minimum.

For further detail, please reference pages 22 and 28.

DOCUMENTATION REQUIREMENTS

LOCAL BOARD AND LRO FORMS:

Only EFSP provided forms will be accepted from State Set-Aside Committees, Local Boards and LROs and must be e-signed using DocuSign. EFSP provided forms may not be altered by either Local Boards or LROs. Local Boards making additional appropriate requirements may add an addendum to the National Board's LRO Certification Form for LROs to also sign and date. This addendum must be submitted to the National Board. (Note: LROs may use their own forms for intake and to document expenditures. EFSP provides several sample forms in the Annex section of the Manual. These forms may be copied onto LRO letterhead and the use of these samples should eliminate compliance problems, provided the forms are fully and accurately completed.) For further detail, please reference pages 97-102.

SPREADSHEETS FOR ALL PROGRAM CATEGORIES:

A spreadsheet for each program category (mass feeding, other food, mass shelter, other shelter, supplies/equipment, rent/mortgage, utilities and administration) must be maintained and must be provided when documentation is reviewed for the EFSP. The documentation for EFSP expenditures must support the information on the spreadsheet. Spreadsheets will provide an overview of how EFSP funds were spent and serve as a checklist with which the documentation can be compared. Sample spreadsheets can be found on the EFSP website. Specific information must be provided on the spreadsheets (i.e., check number, date of check, vendor, client name [as needed], amount of check, amount of check attributed to EFSP, etc.). Reference the sample spreadsheets on the website for the required elements for each spending category. Spreadsheets should be in the appropriate order as should the supporting documentation for each individual program category. EFSP will accept spreadsheets/schedules/reports from an LRO's financial system provided the spreadsheets/schedule/report contains the required elements.

IMPORTANT CHANGE: If an LRO pays $100 or less on a past-due utility bill balance for a client, on the utility spreadsheet in the billing period column, please insert N/A. No billing period is required for the expenditure. Do not leave the column blank. If the column is left blank, it will result in a compliance exception.

For further detail, please reference pages 65-74, 79, and 83-91.

PROOF OF PAYMENT:

EFSP funding is intended to be used as necessary to meet emergency need and expenditures incurred under EFSP must be promptly paid to vendors. Generally, payments should be made to vendors within one accounting cycle (normally 30 days). However, the EFSP will allow payments made not more than 90 days from the invoice or intake date as appropriate. LROs must ensure any amount paid and attributed to EFSP is still due in its entirety at the time payment is made. Payments made more than 90 days following the invoice or intake date will be considered ineligible and funds will be subject to return to the National Board. It is the intent of EFSP that funds received by LROs are used for costs incurred during the program period and that vendors be paid during the program period to the extent possible. It is also the intent of EFSP that goods or services be purchased and used during the program period. Large purchases made at the end of the program period do not meet this intent and may be considered ineligible. For further detail, please reference pages 63-64 and 79.

REMINDER – NO FEE REQUIREMENT FOR SERVICE

No individual, family or household may be charged a fee for service or be required to attend religious/counseling services with relation to assistance received under EFSP. Please note, EFSP does not consider the receipt of donations to an agency to be the same as a fee for service. The receipt of donations does not prevent an agency from participating in the EFSP.

For further details reference page 63.

REMINDER – CHARGING BACK OF ELIGIBLE EXPENDITURES

LROs may submit expenditures for items and services procured prior to receiving EFSP funds. The expenditures must be incurred during the spending period and be eligible under EFSP program guidelines. All documentation requirements for the category in which the expenditures are reported will apply.

(***Documentation required:*** Spreadsheets for the categories, documentation including invoices/receipts and proof of payment.)

For further details reference page 74.

REMINDER – PAYMENT TO VENDOR (NOT MORE THAN 90 DAYS)

Payments must be made to vendors for all eligible expenditures, by an approved method, not more than 90 days after the receipt/invoice date or the date of the client intake form. Payments made more than 90 days following the invoice or intake date will be considered ineligible and funds will be subject to return to the National Board.

For further details reference pages 63-64 and 79.

REMINDER – DOCUMENTATION RETENTION

LROs are to keep their documentation records for three years after each end of program year. Documentation includes but is not limited to: LRO Certification form, application for funding, Local Board approval of funding, Second Payment Request/Interim Report, Final Report, spreadsheets, all expenditure documentation (vendor invoices/receipts and proof of payment).

Since documentation must be retained for three years, all of those years are subject to review/audits at any time, even if the LRO has filed Final Reports and received clearing letters.

For further details, reference pages 35, 42, 58, and 105-106.

REMINDER - MEETING FREQUENCY

The National Board requires Local Boards to select one of the following options for meetings during the Phase and specify such in the required materials (Local Board Plan Certification and Final Report submission). Meetings may be conducted via conference calls.

QUARTERLY MEETINGS: The National Board encourages Local Boards to meet quarterly to monitor the program and ensure LROs are implementing the program according to guidelines.

SEMI-ANNUAL MEETINGS: Local Boards electing to meet semi-annually must also monitor the program and ensure LROs are implementing the program according to guidelines. Local Boards electing to hold meetings semi-annually must

submit copies of their meeting minutes with the jurisdiction's Final Report. Failure to return this information may result in the delay of any future funding to the jurisdiction.

For further detail, please reference page 25.

REMINDER - LOCAL BOARD VOTING – ORGANIZATION AFFILIATION

Local Board membership must have no relationship to funding and is not a guarantee of funding. Local Board members must abstain from voting on award applications for their own agency. Local Board members do not have to abstain from voting on award applications based on religious or other affiliations.

For further detail, please reference page 23.

Key Dates for Phase 35

The National Board sets key program dates during the course of each phase in an effort to ensure funds are released in a timely manner to eligible Local Boards and their LROs. ***All dates are subject to change and may be changed unilaterally by the National Board, as needed***, including submission of Local Board Plans, Second Payment Requests, EFT enrollment, and Final Reports. Local Boards will be notified of changes via email, as necessary. ***The failure of Local Boards and LROs to adhere to the key program dates may result in the loss of funds.***

ITEM	KEY DATE
Phase 35 **Local Board Plan** due to **National Board**	**June 8, 2018** for jurisdictions qualifying via the National Board's funding formula. For ***State Set-Aside Committee*** funded jurisdictions, this date will vary and is noted on the individual jurisdiction's Local Board Plan. This date is specified on the Local Board Certification.
Final Report Due **Spending Period End Date** (Jurisdiction's end date selection options are listed on the Phase 35 Local Board Plan. The jurisdiction's end date is also printed on each LRO's payment letter notification.) ***Local Boards failing to select a spending period end date will automatically end on January 31, 2019.***	October 31, 2017 — Due March 18, 2019 November 31, 2017 — Due March 18, 2019 December 31, 2017 — Due March 18, 2019 January 31, 2018 — Due March 18, 2019 February 28, 2018 — Due March 18, 2019 March 31, 2018 — Due March 18, 2019 April 30, 2018 — Due March 18, 2019 May 31, 2018 — Due March 18, 2019 June 30, 2018 — Due March 18, 2019 July 31, 2018 — Due March 18, 2019 August 31, 2018 — Due March 18, 2019 September 30, 2018 — Due March 18, 2019 October 31, 2018 — Due March 18, 2019 November 30, 2018 — Due March 18, 2019 December 31, 2018 — Due March 18, 2019 January 31, 2019 — Due March 18, 2019
LROs' Interim Report/Second Payment Requests due to National Board	Not later than **January 15, 2019**
EFT enrollment form for new LROs	Newly funded LROs must sign up for EFT not later than **December 31, 2018**
Adding a new LRO	If an LRO has NOT previously been funded in the current phase, it may not be added for funding after **December 31, 2018.** (This also applies when reallocating funds.)
Local Board's **Reallocation Requests** of funds due to the National Board	Not later than **January 15, 2019**

National Board Responsibilities

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to all parties participating in the grant. For the EFSP, all parties means the National Board which is considered the *Recipient*, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the *Sub-Recipients*. See Grant Agreement Articles, Financial Terms and Conditions and Other Terms and Conditions, pages 45-62 for additional requirements.

The National Board will:

1. Select jurisdictions of highest need for food and shelter assistance and determine amount to be distributed to each. The National Board's formula is based upon average unemployment statistics from the U.S. Department of Labor, Bureau of Labor Statistics for the most current 12-month period available and poverty statistics from the U. S. Bureau of the Census. The poverty is based on the data collected in the American Community Survey (5-year estimates, 2011 – 2015). Poverty and unemployment were selected as the best indicators of need available nationwide at the city or county level. The National Board adopted these combined criteria (i.e., unemployment and poverty) to more effectively target funds for high-need areas and to allocate these funds rapidly and fairly.
2. Develop the operational manual and establish criteria for expenditure of funds and distributing funds.
3. In jurisdictions that received previous awards, notify the jurisdiction that new funds are available. In areas newly selected for funding, notify the local United Way, or other National Board organization to request that a Local Board be formed. The National Board will notify qualifying jurisdictions of award eligibility within 60 days following allocation by the Federal Emergency Management Agency (FEMA).
4. Provide copies of award notification materials to National Board member affiliates and other interested parties.
5. Secure board plan, certification forms and board roster from Local Boards. Secure Second Payment Request and Interim Reports and Final Reports from Local Boards. Ensure Local Boards and Local Recipient Organizations (LROs) comply with established guidelines.
6. Distribute funds to selected LROs.
7. Review and grant requests for program variances submitted by Local Boards.
8. Establish an equitable system to accomplish the reallocation of unclaimed or unused funds including hearing special requests from State Set–Aside Communities and Local Boards.
9. Ensure that funds are properly accounted for and that funds due are collected.
10. Provide consultation and technical assistance regarding the program.
11. Compile reports from data received from the Local Boards and submit a detailed accounting of use for all program monies in the form of a report to FEMA.
12. Conduct compliance reviews of food and shelter expenditures made under this program for specified LROs. The National Board, DHS/FEMA, the National Board's public accounting firm, or the Office of the Inspector General may also conduct an audit/review of these funds. The National Board is also responsible for monitoring LRO compliance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance) Item 7, page 54. Site reviews are performed for specific LROs participating in the program as part of monitoring.

National Board Administration and Secretariat

The National Board has selected United Way Worldwide as the Secretariat and Fiscal Agent to perform the necessary administrative duties for the Board. An administrative allowance of one percent of the total award may be used for National Board administration.

Grant Payment Process

United Way Worldwide has been designated as the Fiscal Agent for the National Board and as such will process all Local Board plans and make payments directly to eligible LROs recommended by Local Boards for funding.

The National Board will not issue any payments to a jurisdiction until the previous phase's final report has been received in its entirety. No payments will be issued to any LRO with any known or unresolved compliance problems in any jurisdiction in which they have previously received funds including the previous phase's final report, if reviewed.

Payments will also not be issued to LROs with identified exceptions/findings in any compliance review, audit or assessment conducted which includes EFSP funding.

Method of Payment

All awards will be paid in two equal installments. Except for the first check to newly funded LROs, **the National Board will make all payments by electronic funds transfer (EFT) only**. If an LRO has received funds subsequent to October 1998 (Phase 17), they are not considered new for payment purposes; therefore, they must have **EFT** in place to receive payments. This authorization form is made available to each new LRO with their first payment notice and may be printed from the EFSP website or it may be obtained by **contacting the National Board staff for the preprinted authorization form.**

To add/update EFT information, the LRO must log into the EFSP website. On the left-hand menu, there is an option for EFT, where you will find the appropriate form and instructions. This form is specific to each LRO and cannot be generated by the Local Board. There is a webinar with detailed instructions on how to set up an EFT on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

First Payments

The National Board will issue first payments upon the acceptance of the Local Board Plan. First payments will be made by EFT to eligible LROs funded in the previous phase. **LROs with any known compliance problems from any phase in any jurisdiction in which they received funds are not eligible to be paid until all compliance problems are resolved.** The National Board will issue checks to newly funded eligible LROs (those not funded prior to the EFT requirement established in October 1998) for the first payment only.

EFSP releases funds in two installments. The first payment is distributed after the Local Board Plan has been processed, accepted and the Final Report from the previous Phase has been received. The second payment is released after the Final Report from the previous Phase has been accepted and an Interim Report/Second Payment Request is submitted and approved.

Awards totaling $100,000 or more will only be paid upon submission of the Certification Regarding Lobbying. See Annex 5, page 95.

Second Payments

Second payments will be made to eligible LROs once the jurisdiction's compliance review of the previous phase is completed and any compliance problems resolved in any jurisdiction in which an LRO has received funds. Compliance resolution after the end of the funded phase does not guarantee that any remaining award will be forthcoming. Notice of second payments will be made to Local Boards and LROs, via email, only upon the submission of each LRO's Interim Report/Second Payment Request Form. See pages 32-32 for further details. **This form is available on the EFSP website only after an LRO has received their first payment.**

The Interim Report/Second Payment Request submission is a two-step process. The LRO must report on the first payment by indicating how the funds were spent to date in the categories through the online form. If funds were unspent, they must be entered in the unspent category on the form. The Interim Report/Second Payment Request must only reflect the total of the first payment issued to the agency. The LRO will then electronically sign the Interim Report/Second Payment Request Form generated by DocuSign. Then the Local Board will approve and electronically sign the Interim Report/Second Payment Request Form through DocuSign once the Local Board assures the LRO is implementing the program as intended and according to EFSP guidelines or other requirements established by the Local Board.

A webinar detailing the process for submitting an Interim Report and Second Payment Request is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Second payment requests must be submitted via the website by each funded LRO and both the LRO and Local Board must electronically sign the Interim Report/Second Payment Request through the DocuSign process provided by EFSP to complete the submission to the National Board.

The National Board will advise Local Boards and LROs of the deadline to request all second payments under Phase 35. Second payments will be held until **all** compliance exceptions (if any) are satisfied by the LRO. LROs with unresolved compliance exceptions or compliance exceptions resolved after the end of the funded phase **may not be paid**.

Subsequent Payments

If an LRO receives additional EFSP funds after the second payment has been made (e.g., through a national reallocation), the National Board will issue a subsequent payment to the LRO once the reallocation is made; notification will be sent via email.

State Set-Aside Payments

State Set-Aside funding will be included either in part with the first and second payment or in whole with the second payment, if the first payment has already been made.

Client Eligibility

The EFSP is a need based program, for which clients must qualify.

EFSP is a need based program. Client qualifications are set locally based on the needs of the community.

The National Board does not set client eligibility criteria. Local Boards may choose to set such criteria. If the Local Board does not set eligibility criteria, the LRO may use its existing criteria or set criteria for assistance under this award. Any criteria used must provide for assistance to needy individuals without discrimination (age, race, sex, religion, national origin, disability, economic status or sexual orientation), sensitivity to the transition from temporary shelter to permanent homes and attention to the specialized needs of homeless individuals with mental and physical disabilities and illness and to facilitate access for homeless individuals to other sources of services and benefits. In providing assistance under the EFSP, verification of proof of citizenship or qualified alien status of any applicant for assistance is not required. **Note: Funds allocated to a jurisdiction can only be used for permanent residents and transients within that jurisdiction.**

FEMA Responsibilities

The Federal Emergency Management Agency (FEMA) will:

1. Constitute a National Board consisting of individuals affiliated with American Red Cross; Catholic Charities USA; National Council of Churches of Christ in the USA; The Jewish Federations of North America; The Salvation Army; United Way Worldwide; and the Federal Emergency Management Agency (FEMA).
2. Chair the National Board, using parliamentary procedures and consensus by the National Board as the mode of operation.
3. Provide policy guidance, monitoring and oversight, Federal coordination and staff assistance to the National Board.
4. Award the grant to the National Board.
5. Assist the Secretariat and Fiscal Agent in implementing the National Board Program.
6. Report to Congress on the year's program activities independently and through the U.S. Interagency Council on Homelessness Annual Report.
7. Through the DHS Office of the Inspector General (OIG), and FEMA Office of the Chief Financial Officer (OCFO), monitor the National Board's annual audit of the program.
8. Monitor the overall administration and management of the grant expenditures.
9. Obtain reports from the Secretariat and Fiscal Agent, which provide detailed accounting of all program monies.

State Set-Aside Committee Responsibilities

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to all parties participating in the grant. For the EFSP, all parties means the National Board which is considered the *Recipient*, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the *Sub-Recipients*. See Grant Agreement Articles, Financial Terms and Conditions and Other Terms and Conditions, pages 45-62 for additional requirements.

The **State Set-Aside (SSA)** Committee process under the Emergency Food and Shelter Program allows greater flexibility in selection of jurisdictions to target pockets of homelessness or poverty. The SSA Committee should consider jurisdictions which have documented measures of need that are not adequately reflected in unemployment or poverty data, areas experiencing drastic economic changes such as plant closings, and areas with high levels of unemployment or poverty which do not meet the minimum level of unemployment to qualify under the National Board's formula.

Basis of State Award

Funds allocated to SSA Committees will be based on a ratio calculated as follows: each state's average number of unemployed in non-funded jurisdictions divided by the average number of unemployed in non-funded jurisdictions nationwide equals each state's percentage of the total amount available for SSA awards. **There will be no SSA award should all jurisdictions in a state qualify for funding except to satisfy a minimum award per state.**

Deadline

The National Board will provide SSA Committees with a specific deadline for the submission of award materials. The deadline is approximately 25 working days after award notification. **State Set-Aside Committees not meeting this specific deadline risks the loss of these funds.**

For technical assistance in administering this program, please contact EFSP staff at 703-706-9660 or efsp@uww.unitedway.org. Please have your 6-digit Local Board ID number ready when you call.

Selection of SSA Jurisdictions

SSA Committees in each state will submit high need jurisdictions and award amounts to the National Board. **SSA Committees must give priority to and consider the special circumstances of jurisdictions that did not meet criteria for direct funding, including those that qualified in the most recent funding phase or other prior phases.** SSA Committees may wish to provide these jurisdictions with an allocation so that the abrupt change in funding status is not too disruptive to local services.

SSA Committees may consider qualifying jurisdictions with extreme need for additional funding. SSA Committees wishing to provide additional funding to qualifying jurisdictions **must** submit a request to the National Board.

SSA Committees must submit a variance request form to the National Board to fund directly qualifying jurisdictions. The required variance form is included in the SSA award packet.

The National Board recommends that SSA Committees consider current state and/or local data in their decision making; however, the National Board does not mandate any particular formula.

These committees are free to act independently in developing their funding formula and in selecting jurisdictions for funding; however, each SSA Committee funding formula is subject to review by the National Board. SSA Committees

must provide the National Board with selection criteria and the formula used to determine jurisdictions to receive funds according to the required process.

The minimum SSA award that may be made to a jurisdiction is $2,800.

Composition

The National Board will notify the chair or contact of the previous SSA Committee of the award amount available. In a state where there are state-level affiliates of the voluntary organizations represented on the National Board, they **must** be invited to serve on the SSA Committee. If no single state affiliate exists, appropriate representatives should be invited. The National Board member agencies are the Federal Emergency Management Agency (FEMA), American Red Cross, Catholic Charities USA, The Jewish Federations of North America, National Council of the Churches of Christ in the USA, The Salvation Army and United Way Worldwide. **The Governor or his/her representative will replace the FEMA member.**

SSA Committees are encouraged to expand participation by inviting or notifying other nonprofit organizations on the state level. The National Board encourages SSA Committees to include Native Americans, minorities, and other appropriate representatives on the committee. Members of the SSA Committee shall elect a chair each phase.

Participation of Special Emphasis Groups

Additionally, SSA Committees should involve and include the needs of the special emphasis groups identified in the legislation (e.g., elderly, families with children, Native Americans, veterans, and mentally and physically disabled) in convening their committees and selecting areas for funding.

SSA Committee Function

SSA Committees must develop a formula that considers needs and resource gaps in services, to select high-need jurisdictions to determine award amounts (***minimum $2,800***) within the state. When selecting jurisdictions with demonstrated need, the National Board encourages the consideration of jurisdictions incorporating or adjoining Native American reservations. The SSA Committee will notify the National Board, as required of its selections and the appropriate contact person for any selected jurisdiction without a previously established Local Board or contact. The National Board will then notify these jurisdictions directly of their awards.

If the selected jurisdictions do not claim awards, SSA Committees may recommend other jurisdictions to receive the unclaimed funds.

SSA Committees may reclaim funds from jurisdictions that do not claim their award in an appropriate amount of time and reallocate those funds to other jurisdictions.

Administrative Allowance

The SSA Committee may use an administrative allowance of one-half of one percent (½%) of the total SSA award for its administrative costs.

Local Board Responsibilities

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to all parties participating in the grant. For the EFSP, all parties means the National Board which is considered the *Recipient*, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the *Sub-Recipients*. See Grant Agreement Articles, Financial Terms and Conditions and Other Terms and Conditions, pages 45-62 for additional requirements.

The National Board assigns each jurisdiction a unique ID number for the program as well as numbers for each LRO. When contacting the National Board for assistance regarding this program, please reference your 6-digit Local Board ID number (example: 1234-56).

Each award phase is new; therefore, the Local Board is a new entity in every phase. The convener of the Local Board must ask each National Board agency to designate or re-designate a representative every program year. Other invited agencies must also designate or re-designate a representative each year. Each agency represented on the Local Board should have an alternate from their agency to attend meetings when the designated board member is unable to attend. If there is more than one representative from an agency/organization present, only one vote is allowed for the agency/organization. To ensure funding, the Local Board chair or staff must submit via the website, and return all required current, updated forms as follows to the National Board by the specified deadline:

1. Local Board Plan, including LRO information via the website with designation of dollar amounts [whole dollars only of $500 or more] awarded;
2. Signed Local Board Certification Form,
3. Local Board Roster, (the roster information must be updated via the EFSP website prior to submission)
4. **LRO Certification Form for all funded LROs; and,**
5. Certification Regarding Lobbying Forms, as needed.

The National Board assigns each jurisdiction a unique ID number under this program as well as numbers for each LRO either new in this phase or previously funded. **When contacting the National Board for assistance regarding this program, please reference your Local Board's ID and LRO ID numbers, if needed.**

For technical assistance in administering this program, please contact EFSP staff at 703-706-9660 or efsp@uww.unitedway.org. Please have your 6-digit Local Board ID number ready when you call.

Composition/Roster

Each jurisdiction designated by the National Board to receive funds will constitute a Local Board. Local representatives of the National Board member agencies **must** be invited to serve on the Local Board. The National Board member agencies are the Federal Emergency Management Agency (FEMA), American Red Cross, Catholic Charities USA, The Jewish Federations of North America, National Council of the Churches of Christ in the USA, The Salvation Army and United Way Worldwide. **An agency's own governing board cannot replace or act as the Local Board.**

The highest ranking county government official or his/her designee will replace the National Board's FEMA member.

National Board Affiliates

Each Local Board will provide a roster of current members with their plan. The roster must reflect the status of National Board member agencies. If a National Board member agency does not serve the jurisdiction, this must be noted on the Local Board roster. The National Board requires complete business contact information for all Local Board members. Required information for all Local Board members consists of:

- the name of the agency they are representing;
- the Board Member's name;
- the address including zip + 4;
- the telephone number,
- the fax number; and,
- a current, valid email address.

If an agency is invited but chooses not to participate, the same information must be provided noting that they were "invited but did not participate" on the Local Board roster. The name of the individual invited must be included along with all of the agency contact information.

Local Boards cannot delete a board member from a required National Board affiliate without replacing them with a representative from the same agency. We recommend editing and updating the contact information for required National Board affiliates, instead of adding new members and deleting old members to ensure you have appropriate representation. To do this, select ***Manage LB Members*** *from the left-hand menu. Then select the board member you would like to change, and click edit. After you have changed the contact information, click save.*

If the convener of the Local Board is unsure of the appropriate National Board affiliate to invite, they should check the National Board members' agency's website. In jurisdictions where affiliates of National Board agencies do not exist, other appropriate groups and individuals **must** be invited to sit on the Local Board. For example, if there is no Catholic Charities, a comparable Roman Catholic group or a priest could serve. In the case of The Jewish Federations of North America (JFNA), if no local Jewish Federation exists in a given jurisdiction, each Local Board must first check with JFNA to identify local JFNA-affiliated Jewish organizations to serve. Please check their web site, www.jewishfederations.org, or you may call JFNA at (202) 785-5900. If none are available, then a comparable group or synagogue representative may be asked to serve. The National Council of Churches of Christ (NCCC) is a wide spectrum of Protestant, Anglican, Orthodox, Evangelical, historic African American and Living Peace churches. The NCCC could be represented by a local or regional ecumenical or interfaith council of churches in partnership with the NCCC, or a representative of a congregation of one of the member communions of the NCCC. To establish whether a potential board member is an appropriate representative of the NCCC, contact the Office of the General Secretary at 212-870-3398.

It is not a requirement for either a mandated National Board member agency or other agencies to have a physical site in a jurisdiction in order to be on the Local Board. Any agency providing services to a jurisdiction may be invited to participate on the Local Board and National Board member agencies serving a jurisdiction **must** be invited even if their primary physical location is in an adjoining jurisdiction.

Local Board Membership & Voting

Agencies are represented on Local Boards and each agency is entitled to one vote. Each agency must name a representative to the Local Board although other individuals may also attend meetings. When voting, only the official representative (or designated alternate) may vote on behalf of the organization.

Local Board membership must have no relationship to funding and is not a guarantee of funding. Local Board members must abstain from voting on award applications for their own agency. Local Board members do not have to abstain from voting on award applications based on religious or other affiliations.

In jurisdictions where multiple organizations exist, the organization still only gets one vote and the agencies must work together and vote as one. For example, United Way of County – North and United Way of County – South are considered to be one organization – United Way. United Way gets one vote. Additionally, no United Way may vote on any United Way award. The same would be true for multiple units of The Salvation Army, Community Action Agency, local government, etc.

Participation by Homeless, Formerly Homeless or Homeless Advocate

Legislation requires all Local Boards to include in their membership a homeless or formerly homeless person. Local Boards **must** seek recommendations from LROs for an appropriate representative.

Local Boards who are unable to secure a homeless or formerly homeless representative **must** have a past recipient of food or shelter services or a homeless advocate on their Local Board. A homeless advocacy group may be invited to serve this roll only if those noted previously are unavailable to serve.

Native American Participation

Legislation requires that if a jurisdiction is located within or encompasses a Federally recognized Native American reservation, the Local Board **must** invite a Native American representative to serve on the Board. In addition, legislation requires that if there is a Native American population in a jurisdiction, they must be invited to serve.

Local Board Expansion

The designated members of the Local Board are encouraged to expand their membership by inviting participation from minority populations and other private nonprofit organizations and government organizations. In addition, all geographic areas within the jurisdiction should be represented. Local Boards may want to expand to broaden community input from other national nonprofit organizations (e.g., Community Action, Feeding America, Volunteers of America) as well as those providing emergency food and shelter services (e.g., food pantries, soup kitchens, domestic violence shelters). In designing the EFSP, Congress created a unique public-private partnership that brings the voluntary sector and the government together to address critical human needs in the areas of hunger and homelessness. When expanding, Local Boards should carefully cultivate this public-private partnership.

Participation of Special Emphasis Groups

In expanding, Local Boards **must** involve organizations that advocate for or provide services to the special emphasis groups identified in the legislation (e.g., elderly, families with children, Native Americans, veterans, and mentally and physically disabled).

Election of Chair

The members of the Local Board **must** elect a chair each award Phase. The Local Board chair is not an honorary position. Local Boards may also designate staff and/or a contact person for their jurisdiction. **Care must be taken to select individuals who are reliable, accessible and knowledgeable about the program.**

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures.

Notifications of Changes in Contacts/Addresses

Local Boards are responsible for maintaining a current roster of members and LRO information via the EFSP website. Local Boards must notify the National Board of changes in Local Board chair, staff contact, or LRO contacts, including complete business addresses, phone numbers, fax numbers and

current, valid email addresses. This information must be submitted via the EFSP website. Board and LRO changes should be updated as they occur throughout the Phase.

Local Board Participation

The National Board will communicate with Local Board chairs, contacts, members and LROs primarily through email. For EFSP purposes only, email addresses and other contact information may be shared, so business information and email is recommended. Local Board membership is not honorary. If a member cannot regularly attend meetings, that member's designated agency must select a replacement. The designated agency must also designate an alternate. If a member must be absent from a meeting, the agency's alternate should attend.

Convening the Local Board

If a locality has not previously received funding and is now designated as being in high need, the National Board has designated the local United Way to constitute and convene a Local Board. In the event there is no local United Way, or the United Way does not convene the Board, a representative from one of the National Board organizations will convene the initial meeting of the Local Board.

Reconvening the Local Board

If a jurisdiction has previously received funds, the National Board will contact the Local Board chair or designated contact person from the previous phase regarding funding. If the previous Local Board chair/contact fails to convene the Local Board for the new award, the process noted above will be followed. If the previous phase's Local Board has failed to comply with National Board guidelines, the National Board will work to find another Local Board convener.

Local Board Meetings

The National Board requires Local Boards to select one of the following options for meetings during the Phase and specify such in the required materials (Local Board Plan Certification and Final Report submission). **Meetings may be conducted via conference calls.**

1. **Quarterly meetings:**
   The National Board encourages Local Boards to meet quarterly to monitor the program and ensure LROs are implementing the program according to guidelines.
2. **Semiannual meetings:**
   Local Boards meeting twice a year must also monitor the program and ensure that LROs are implementing the program according to guidelines. They must also ensure all program requirements and deadlines are met, including the submission of both online materials and required paperwork.

Local Boards electing to hold meetings semiannually must submit copies of their meeting minutes with the jurisdiction's Final Report. Failure to return this information may result in the delay of any future funding to the jurisdiction.

Quorum Requirements

A quorum of member agencies must be present for meetings to be official and to take any action. (Quorum: According to Webster's New Collegiate Dictionary, the majority of officers or members of a body that when duly assembled is legally competent to transact business.) If there is more than one representative from an agency/organization present, only one vote is allowed for the agency/organization. Meeting minutes must be voted on and approved by the Local Board at the next meeting. Meeting minutes must also be available to the National Board, Federal authorities, and the public upon request.

Meeting Minutes

Meeting minutes must include but are not limited to the following:

- names of members attending;
- members absent;
- notation of participation of homeless or formerly homeless member;
- date, time and location of the meeting;
- approval of previous Local Board meeting minutes;
- agenda action items (decision making items, votes taken [i.e., election of chair, allocation of funds, reallocation]);
- date, time and location of next meeting; and,
- meeting adjournment.

Local Boards that meet semi-annually are required to submit their meeting minutes with their final report.

Minutes must include sufficient detail of the Board's discussion and decisions.

Local Board Plan Deadline

The National Board will provide Local Boards with a specific deadline for the submission of the board plan with award materials. The board plan must be submitted via the EFSP website using the instructions provided. Following the online submission, all required paperwork must be received by the National Board for the submission to be complete. The deadline is approximately 25 working days after award notification. **Local Boards not meeting the specified deadline risk the loss of these funds.**

A webinar detailing the process for submitting a Local Board Plan is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Advertising

Local Boards must publicly advertise in the print media and promote the program to give any agency capable of providing emergency food and shelter services an opportunity to apply for funds. **Advertising must take place prior to the Local Board's allocation of funds**. Local Boards must ensure their advertisement acknowledges the Federal funding source as required by the Grant Agreement Articles on pages 45-46.Failure to advertise properly will delay processing of the jurisdiction's board plan and subsequent payment of funds. Local Boards must allow **at least five business days after publication of the advertisement** for interested agencies to apply for funding. The Local Board should retain a copy of the public advertisement in their records and have it available for review, if requested. **It is important that the Local Board places the advertisement in the most widely available local print media forum for a jurisdiction since any agency providing or capable of providing emergency food and shelter services must have the opportunity to apply for funding. Failure to advertise according to the National Board's requirements will result in a delay in processing the Local Board Plan.**

When a jurisdiction is funded, the Local Board must advertise the availability of funds. Local organizations, whether nonprofit or governmental, may apply. The Local Board is responsible for considering all applications, and for determining which organizations will receive funds. The Local Board also determines which services are funded. To identify your Local Board contact, select ***Your Community*** *from the EFSP homepage, then select* ***Funded Organizations*** *and enter your state and county. There is no national application process.*

- See Annex 15, pages 109-27 for advertising requirements and a sample advertisement.
- See Annex 16, page 111 for application elements.

Local Boards do not have to re-advertise the availability of funds for additional allocations within the same phase unless specifically required by the National Board.

Disaster Recovery Plan

Local Boards should have a disaster recovery plan ensuring continuity of services under EFSP and records retention. Each Local Board is required to retain EFSP records for a period of three years after submission of the Final Report, unless there are compliance issues which require a longer retention period. Records that should be retained include:

- copies of decision-making minutes;
- Local Board Plans;
- Local Board and LRO Final Reports with documentation as appropriate;
- second payment request forms;
- reallocation forms;
- LRO funding applications;
- LRO Certification Forms;
- Lobbying Certification Forms, if necessary; and,
- administrative expense documentation (vendor invoices and canceled checks or other approved method of payment).

Local Boards must also retain documentation regarding all outstanding compliance problems including those from all prior phases which may not be part of the three-year retention period. Additionally, Local Boards should retain other pertinent information for their jurisdiction that provides background and history of their operations.

The U.S. Department of Homeland Security's website contains business continuity information which may be helpful to LROs. www.ready.gov/business.

Reference Item 5, page 53 and Annexes 12-13, pages 103-106.

Setting Priorities and Selection of LROs

Local Boards must set funding priorities annually prior to the selection of agencies for funding. Local Boards must look at the resources available in the community, the emergency food and shelter needs of the community, gaps in services in the community and focus the dollars to address these needs in the areas of emergency food and shelter. The priorities may vary from year to year, so each award phase must be evaluated individually. Once priorities are set, the Local Board must review the priorities of the jurisdiction and select LROs to help meet the identified needs.

Local Boards may not discriminate in the selection of LROs. Local Board members must strive to use consistent criteria, sound judgment, and fairness in their approach. Local Board membership must have no relationship to funding and is not a guarantee of funding. Local Board members must abstain from voting on award applications for their own agency.

Local Boards cannot select agencies for funding where the agency has received an adverse or no opinion audit in their independent audit.

Any agency, regardless of services offered or populations served, must be given equal opportunity to apply for funding. All applicant agencies must comply with all articles, terms and conditions of this funding and must sign and submit the EFSP provided LRO Certification Form to receive funds. Agencies must have a program in the category for which they are seeking funding.

Local Boards must have a written application process and consider all private voluntary and public agency applicants. In selecting an agency to receive funds, the Local Board must consider the demonstrated ability of that agency to provide food and/or shelter assistance.

Suggested application questions include information that is necessary for the Local Board to submit to the National Board on their Local Board Plan or that comes directly from the LRO Certification Form. See Annex 16, page 111 for suggested Standard Application Elements.

The Local Board must select agencies that have the staff and capacity to take on the added responsibility of this program and who can comply with and maintain documentation and accountability standards. Local Boards must select fully operational agencies to receive funds to supplement and expand eligible on-going services and must not fund agencies in anticipation of a needed service (i.e., fire victims, floods, tornadoes, etc.) nor for singular or special celebratory/holiday events. Local Boards should not select agencies for funding due to budget shortfalls or due to reductions in other funding sources.

See Annex 16, page 111 for Standard Application Elements.

Funding of LROs Serving Special Emphasis Groups

Any agency, including those on Native American reservations, is eligible to receive EFSP funding if they meet LRO requirements. Additionally, Local Boards must consider the needs of agencies serving the special emphasis groups (i.e., elderly, families with children, Native Americans, veterans, and mentally and physically disabled) in their selection of LROs.

The minimum grant per LRO is $500, unless only receiving administrative funding. Only whole dollar amounts may be allocated. **Local Boards should be prepared to justify an allocation of one-third or more of their total allocation to a single LRO.**

Any LRO that will receive $100,000 or more in EFSP funds is required to submit:

- a certification that EFSP funds will not be used for lobbying activities; and
- a disclosure of lobbying activities (if applicable). LROs must submit these items prior to award payment. See Annex 5, page 95 for Certification Regarding Lobbying.

At the beginning of each phase, the Local Board must secure and retain signed LRO Certification Forms from each LRO certifying that program guidelines have been read and understood, and that the LROs will comply with all program requirements including the Grant Agreement Articles, Financial Terms and Conditions and Other Terms and Conditions stated on pages 45-62 in addition to the cost eligibility and reporting requirements. **(LRO Certification Forms for all LROs must be submitted with the Local Board Plan to the National Board.)** Refer to Annex 3, page 93. If after reading the LRO Certification Form, the agency determines that it cannot abide by the EFSP guidelines, they must notify the Local Board immediately and not incur any costs or charge any expenses against the grant.

Coordination of Service

The Local Board must establish a system to ensure that no duplication of payment occurs within the expenditure categories of rent/mortgage assistance or utility assistance. Multiple LROs may not provide assistance to the same client for the same service.

Client Eligibility

The EFSP is a needs based program, for which clients must qualify.

EFSP is a need based program. Client qualifications are set locally based on the needs of the community.

Local Boards may determine client eligibility for EFSP or use established LRO eligibility. Any criteria used must provide for assistance to needy individuals without discrimination (age, race, sex, religion, national origin, disability, economic status or sexual orientation), sensitivity to the transition from temporary shelter to permanent homes and attention to the specialized needs of homeless individuals with mental and physical disabilities and illness and to facilitate access for homeless individuals to other sources of services and benefits. In providing assistance under the EFSP, verification of proof of citizenship or qualified alien status of any applicant for assistance is not required.

A separate needs test for assistance under EFSP may be developed and used by LROs, but must first be approved by the Local Board. The Local Board must inform LROs of any eligibility criteria set by the Local Board.

Notification of Changes in LRO Contact/Address

Local Boards must notify the National Board if there is a change in LRO contact for business purposes, including complete:

- **addresses,**
- **phone numbers,**
- **fax numbers, and**
- **valid email addresses.**

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures. Most administrative functions will not be able to be completed without an accurate email address on file.

Changes for the jurisdiction's EFSP information should be updated throughout the phase as they occur via the website.

When there is a change in the name of an LRO or a change with an LRO's Federal Employee Identification Number (FEIN) or Data Universal Number System (DUNS), the legal document supporting those changes must be forwarded to the National Board before the changes can be made. There is specific form available on the EFSP website for adding/updating the DUNS number in the database. Ensure the Local Board and LRO ID numbers are included in all correspondence.

To change your Federal Employer Identification Number (FEIN), the LRO must send the document from the IRS or state that reflects their full legal name and FEIN number. Legal name, FEIN and DUNs numbers cannot be edited by the LRO or the Local Board on the website. Please do not send the FEIN in the body of an email or letter, as it cannot be accepted. Please send documentation with a cover note for a FEIN change with the LRO ID Number to documentstoefsp@uww.unitedway.org or fax to 703-706-9677.

The National Board will communicate with LROs primarily through email. For EFSP purposes only, email addresses and other contact information may be shared, so business contact information and email is recommended.

DUNS numbers alone are not sufficient for EFSP purposes and neither Local Boards nor LROs can enter this information on the EFSP website. DUNS numbers and associated information are required for all LROs receiving funds in the EFSP. The DUNS information form and instructions are posted under the Local Board and LRO section of the EFSP website. This form (third page under the DUNS tab) must be completed accurately and emailed to documentstoefsp@unw.unitedway.org or faxed to 703-706-9677. Simply providing the DUNS number alone does not fulfill the EFSP's requirements; the form must be completed in its entirety.

Combining Local Boards

If a Local Board determines that they can better utilize their resources by merging with neighboring Local Boards, they may do so. The head of government or his/her designee for each jurisdiction must sit on the merged board, along with, at a minimum, National Board agency representatives from each jurisdiction. Voting and decision-making must be limited to only those Local Board members either providing services to the jurisdiction under consideration or representing the jurisdiction. The merged Local Board must ensure that the award amount designated for each civil jurisdiction is used to provide assistance to individuals within that jurisdiction.

Communication

Local Boards are responsible for communicating with Local Recipient Organizations (LROs) and should do so throughout the life cycle of each Phase for which funds are received. Strong communication links are valuable in program administration; constant communication may also help avoid delays in funding/payments and compliance exceptions. Local Boards should develop a communications plan that assists with their responsibility to monitor the EFSP in their jurisdiction. Local Board communications should be ongoing and done as part of technical assistance and monitoring.

Key communication periods are:

- Application for funding
- Awarding of funds
- Requesting second payments
- Making reallocations
- Reporting final expenditures
- Requiring and reviewing documentation
- Notification of deadlines
- Notification of compliance problems

Local Boards may communicate with LROs via email, letters, meetings or webpage created for the EFSP program in the community.

Technical Assistance

Local Boards must read, understand and be familiar with the EFSP guidelines as found in this manual and provide technical assistance to LROs. Local Boards are responsible for the training of all LROs and should ensure new LROs have thoroughly read this manual and are trained before incurring expenses. The Local Board should be familiar with any personnel changes within an agency to ensure that new staff are trained. Questions that cannot be answered by Local Boards must be referred to the National Board staff. Any matter of interpretation must be referred to the National Board staff at

An overview webinar for new Local Board and LRO contacts is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

efsp@uww.unitedway.org. Please reference your Local Board ID number and LRO number when contacting the National Board staff.

The EFSP website (www.efsp.unitedway.org) has a training feature for Local Boards and LROs to familiarize new staff and board members with EFSP requirements under **Training Workshops**. FEMA's Emergency Management Institute also provides a training opportunity through the following link: (http://www.training.fema.gov/emiweb/IS/IS420.asp).

Appeals Process

Local Boards **must** establish a written appeals process to address participation or funding and to hear and resolve appeals made by funded LROs or non-funded agencies. **Local Boards must handle appeals promptly**.

Local decision-making is an operating principle of this emergency effort. If the Local Board cannot handle an appeal locally, the case should be referred in writing to the National Board, including details on action that has been taken. Only when there are significant questions on the part of the Local Board concerning misapplication of guidelines, fraud or other abuse on the part of the Local Board will the National Board consider action.

Should anyone have reason to suspect that EFSP funds are being used for purposes contrary to the law and guidelines governing this program, the National Board staff must be notified immediately. A detailed follow-up letter of actions taken should be forwarded as soon as possible to Emergency Food and Shelter Program, 701 North Fairfax Street, Alexandria, VA, 22314. When reports have been made to the DHS OIG, the case number they provide must be included with all correspondence to the National Board. The OIG's preferred method for reporting fraud is to submit their online allegation form from their website www.oig.dhs.gov. The address for mailing information is:

DHS Office of Inspector General/ MAIL STOP 0305
Attention: Office of Integrity & Quality Oversight – Hotline
245 Murray Lane SW
Washington, DC 20528-0305

For more details, see pages 34-35.

Local Resource Coordination

The chair of the Local Board or his/her designated staff will be the central coordination point of contact between the National Board staff and the LROs selected to receive EFSP funds. Additionally, the Local Board, if requested by the National Board, should nominate an appropriate feeding organization to receive surplus food from the U. S. Department of Defense commissaries.

Monitoring LROs

Local Boards are responsible for monitoring LROs throughout the phase in their use of EFSP funds. Each Local Board must establish a process for monitoring LROs, including ensuring that LROs have read and understand the manual. Local Boards must review required reports and documentation for completeness, and compliance with program guidelines, including the agency's annual audit/review, if required.

Local Boards must ensure that LROs expending $750,000 or more in Federal funds, comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance) Item 7, page 54.

Local Boards **cannot** change National Board cost eligibility, approve expenditures outside of the National Board's guidelines, or approve changes in documentation requirements without National Board permission.

As part of LRO monitoring, Local Boards must investigate complaints made by individuals seeking services under this program. At times, the National Board may request Local Board assistance in investigating client complaints. Local Boards must investigate and report to the National Board, if required.

Interim Report

The interim report of expenditures is due to the National Board as part of each LRO's second payment request. The National Board will advise LROs of the deadline for the submission of the Interim Report/Second Payment Request form to their Local Board. Local Boards may determine and advise their LROs of an earlier due date to ensure the jurisdiction meets the National Board's deadline. A second payment request must be submitted via the website by each funded LRO. The LRO will then electronically sign the Interim Report/Second Payment Request Form generated by DocuSign. Then the Local Board will approve and electronically sign the Interim Report/Second Payment Request Form through the DocuSign process. Local Boards must electronically sign the Interim Report/Second Payment Request by the established deadline. **Only electronic signatures created through the DocuSign process provided by the National Board will be accepted**.

A webinar detailing the process for submitting an Interim Report and Second Payment Request is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Second payments will be made to eligible LROs once the jurisdiction's compliance review of the previous phase is completed and any compliance problems resolved in any jurisdiction in which an LRO has received funds. Compliance resolution after the end of the funded phase does not guarantee that any remaining award will be forthcoming. Notice of second payments will be made to Local Boards and LROs, via email, only upon the submission of each LRO's Interim Report/Second Payment Request Form.

The Interim Report/Second Payment Request submission is a two-step process: 1). Web submission and 2). Electronic signature of the Interim Report/Second Payment Request form.

After the LRO(s) complete the form online, they will need to electronically sign the Interim Report/Second Payment Request generated by DocuSign. The Local Board chair will approve the request by electronically signing the Interim Report/Second Payment Request Form once assured the LRO is implementing the program as intended and according to EFSP guidelines or other requirements established by the Local Board. The LRO must report on the first payment by indicating how the funds were spent to date in the categories. If funds were unspent, they must be entered in the unspent category on the form. The Interim Report/Second Payment Request must balance to the total of the first payment issued to the agency.

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures. Interim Reports/Second Payment Requests will not be able to be completed without an accurate email address on file.

Final Report

Local Boards must submit a Final Report (accompanied by financial documentation for specified LROs) approximately 45 days after the end of the jurisdiction's spending period or upon a date determined by the National Board. The National Board will advise Local Boards and LROs of the submission deadline. The National Board will provide forms and instructions for all required reports. Local Boards may request other reports from LROs (e.g., monthly or quarterly updates).

A webinar detailing the process for submitting a Final Report is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

A complete Final Report submission will include the following items collated in numerical order by LRO ID number:

- A signed Local Board Final Report Certification;
- A signed Local Recipient Organization Final Report Certification for each funded LRO;
- Completed spreadsheets for each spending category for each funded LRO;
- All required documentation for each funded LRO, as requested; and
- A copy of the LRO audits, as required.

Reallocation of Funds

Local Boards may decide to reallocate funds **within** their jurisdiction. Funds may be reallocated locally at any time during the program spending period. When funds are reallocated from one Local Recipient Organization (LRO) to another, the Local Board must inform both the National Board and affected LROs in writing. The National Board will be informed via the website. **The Local Board must advise in writing, all concerned LROs of any reallocation of their original award.** LROs must be informed in writing.

A webinar detailing the process for submitting a Reallocation is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

When requesting reallocations, please indicate if the funds are being transferred locally or if they are to be issued by the National Board. If a portion of the funds are being reallocated locally and another portion nationally, separate reallocations must be submitted.

Local Reallocation:

If the funds to be reallocated have already been paid to LROs in the jurisdiction, the funds must be transferred locally. In this case, the LRO whose funds are being reallocated must write a check to the LRO(s) receiving the funds.

National Reallocation:

If the National Board has not paid out the funds, payments will be issued to the appropriate LRO as requested by the Local Board.

Important Information About Reallocations:

The Local Board must reallocate funds during the spending period whenever it determines that the original allocation plan does not reflect the actual need for services or if an LRO cannot effectively utilize the full award. Local Boards must reallocate funds if an LRO makes ineligible expenditures or uses funds for items that have clearly not been approved by the Local Board. Local Boards must also reallocate funds because of gross negligence, inadequate use of funds, failure to use funds for purposes intended and any other violation of National Board guidelines or the Local Board plan. LROs must comply with their Local Boards' reallocation decisions.

Local Boards must reallocate funds held for LROs with unresolved compliance exceptions by the date specified by the National Board or they will be forfeited and reclaimed by the National Board. **If an LRO has not previously been funded in the current phase, it may not be funded after the deadline established by the National Board.**

Local Boards reallocating funds late in the spending period should ensure the LRO(s) receiving the funds can document the full amount of funds received, including any reallocations within the jurisdiction's spending period.

Local Boards may reallocate funds from one service to another (i.e., from food to shelter) without National Board approval if the transfer is within a single LRO.

Local Boards may not reallocate funds to any LRO with a known compliance problem from any phase of funding in any jurisdiction in which the LRO received funds either currently or previously.

Reallocation to New Agencies

Local Boards may reallocate funds to new LROs, which must be approved by the National Board. Reallocations may not be made to new LROs after the National Board's established deadline. **This is the last date to add new LROs.** Prior to a new LRO receiving funds, the Local Board must provide the Federal Employer Identification Number (FEIN) and the Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) along with the associated information.

Returning Funds for Reallocation

If funds are returned to the National Board for reallocation, the check must be made payable to United Way Worldwide/Emergency Food and Shelter Program, 701 North Fairfax Street, Alexandria, VA 22314. The LRO ID Number (9 digits) of the agency returning the funds must be printed on the face of the check in the upper right-hand corner. The Local Board or LRO must indicate the funds are being returned for reallocation.

Reporting Fraud, Theft and Criminal Activity

Should anyone have reason to suspect that EFSP funds are being used for purposes contrary to the law and guidelines governing this program, the National Board staff must be notified immediately. A detailed follow-up letter of actions taken should be forwarded as soon as possible to Emergency Food and Shelter Program, 701 N. Fairfax Street, Alexandria, VA, 22314. When reports have been made to the DHS OIG, the case number they provide must be included with all correspondence to the National Board.

The National Board requires that the DHS OIG be contacted immediately when fraud, theft, or other criminal activity is suspected regarding the use of EFSP funds, or the operation of a facility receiving EFSP funds. The OIG's preferred method for reporting fraud is to submit their online allegation form from their website **www.oig.dhs.gov.** The address for mailing information is:

DHS Office of Inspector General/ MAIL STOP 0305
Attention: Office of Integrity & Quality Oversight – Hotline
245 Murray Lane SW
Washington, DC 20528-0305

Persons contacting the OIG should include as much information as possible to support the allegation and preferably furnish his/her name and telephone number so that the Special Agents assigned to that office may follow-up. Federal Law protects the confidentiality of any communication made with the DHS OIG.

A person wishing to remain totally anonymous should make a follow-up phone call to the DHS OIG within 30 days from the date of the original contact so that any follow-up questions may be asked. Follow-up calls should be made to (800) 323-8603 during normal business hours, Eastern Standard Time (charges may be reversed). The caller should advise that he/she is making a follow-up call regarding a prior anonymous complaint.

The DHS OIG will appropriately notify both local law enforcement authorities and the National Board concerning the substance of the allegations and the results of the investigation. The person reporting the allegation should also contact local law enforcement authorities.

End-of-Program

After close of program, Local Boards **must** review the accuracy of **all** LRO reports and documentation including the agency's annual audit, if required (see pages 79-80). The Local Board then sends reports for all LROs and documentation for specified LROs to the National Board as requested by the due date indicated on the final reports. In the event expenditures violate the eligible costs under this program or cannot be documented (as required), the Local Board must require reimbursement from the LROs to the National Board.

Record Retention

Local Boards must remain in operation until all program and compliance requirements of the National Board have been satisfied. Local Boards (and LROs) must retain their records related to the program for three years following the submission of the Final Report. Local Boards and LROs must also retain documentation regarding all compliance problems until the problem is resolved even when outside the three-year retention period. See Annex 13, pages 105-106.

Spending Period Extension

Each jurisdiction will be granted the option to extend its spending period by one, two or three months. This extension applies to the entire jurisdiction. Should the jurisdiction receive a grant in the next phase, that phase's spending period will begin the day after the chosen end date. If a Local Board does designate a spending period end date, the spending period will default to the end date January 31, 2019. The other options for the spending period to end are October 31, 2017, November 30, 2017, December 31, 2017, January 31, 2018, February 29, 2018, March 31, 2018, April 30, 2018, May 31, 2018, June 30, 2018, July 31, 2018, August 31, 2018, September 31, 2018, October 31, 2018, November 30, 2018, December 31, 2018, and January 31, 2019. **The spending period must be selected at the beginning of the phase when submitting the Local Board Plan.** The spending period is then noted on each Local Board and LRO payment advisory. Changes in the spending period must be submitted in writing by the Local Board to the National Board. Ensure the Local Board ID number is included in all correspondence.

At its discretion, the National Board may allow for the extension of the spending period should the receipt of funding to the National Board be delayed beyond the first quarter of the Federal fiscal year. The National Board may allow spending period extensions beyond the initially offered dates and will advise Local Boards as necessary.

If the National Board authorizes a spending period extension, the Local Board must request the extension through the designated form available on the EFSP website.

Variances and Changes

Local Boards may receive requests for variances from applicant agencies or for changes in the spending plans they approved for LROs. Local Boards may fund such requests or may allow such changes if the requested items are eligible costs under this program. Requests that do not adhere to the approved cost eligibility section of this manual may not be

approved by the Local Board. If there is any doubt on the part of the Local Board as to cost eligibility, contact the National Board staff for clarification.

The National Board will consider requests submitted via the website for program variances to the approved cost eligibility that meets the intent of the EFSP. The request for any variance from the Local Board must be made **before** any LRO makes the expenditure and must clearly state the need for the variance, approximate costs, timelines, or any other pertinent information necessary for the National Board to make their decision.

Local Boards may also receive requests from LROs for program variances of the agency responsibility or documentation requirements outlined in this manual. Local Boards **may not approve** such requests or alter the program or documentation requirements in any way. LROs are required to comply with all agency responsibility and documentation requirements as stated in this manual. Agencies that cannot comply with the requirements should not be selected for funding by the Local Board, including those agencies funded through a Fiscal Agent or Fiscal Conduit. In special circumstances, the National Board will hear variance requests from Local Boards on behalf of LROs who have not complied with agency responsibility and documentation requirements.

The National Board will only allow variances for consideration from Local Boards in support of an agency's request. Variances will not be allowed from individual agencies.

The National Board does not consider variances for EFT enrollment.

Local Boards may not grant program variances to the National Board's guidelines including cost eligibility.

Local Boards may not change the National Board's documentation requirements. Only the National Board may grant variances.

If a variance is granted by the National Board, it is for a single phase for the LRO. A variance does not carry forward into the next phase and it cannot be applied to a previous phase. Each phase, if a variance is required, it must be requested by the Local Board.

Administrative Allowance

The Local Board determines the use of the administrative allowance. The Local Board may elect to use, for its own administrative costs, all or any portion of the 2% allowance. Local Boards may award all or part of the administrative allowance to LROs applying for administrative funds. LROs may receive no more than 2% of their own award for administration. Like all EFSP expenditures, the administrative expenses must be documented with appropriate costs for the administration of the EFSP. Documentation of administrative costs must be maintained including appropriate vendor invoices and proof of payment. Spreadsheets documenting the administrative allowance must be submitted with the Final Report.

While the National Board does not require administrative documentation, other than the spreadsheet, to be submitted with the Final Report, this documentation may be requested at any time and must be retained according to EFSP documentation retention requirements.

The Local Board may elect to apply the administrative allowance toward advertising expense if necessary. Any of the administrative allowance not spent must be put back into program funds for additional services.

Local Recipient Organization (LRO) Responsibilities

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to all parties participating in the grant. For the EFSP, all parties means the National Board which is considered the *Recipient*, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the *Sub-Recipients*. See Grant Agreement Articles, Financial Terms and Conditions and Other Terms and Conditions, pages 45-62 for additional requirements.

The National Board assigns each jurisdiction a unique ID number for the program as well as numbers for each LRO, whether new or previously funded. When contacting the National Board for assistance regarding this program, please reference your 9-digit LRO ID number, which is your Local Board's ID number plus your LRO number (example: 1234-56-789).

Criteria for LROs

For a local agency to be eligible for funding it must:

- Be nonprofit or an agency of government;
- Not be debarred or suspended from receiving Federal funding;
- Have a checking account and sign up for EFT (cash payments are not allowed);
- Have an accounting system or fiscal agent approved by the Local Board;
- Have a Federal Employer Identification Number (FEIN);
- Have a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and provide along with other required associated information;
- Have a valid email address for program communication and electronic signature processes;
- Conduct an independent annual audit if receiving $100,000 or more in EFSP funds; conduct an annual accountant's review if receiving $50,000 to $99,999 in EFSP funds. See Annex 12, page 103.
- Conduct annual audit, if expending $750,000 or more in Federal funds, in compliance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance);
- Be providing services and using its other resources in the area in which they are seeking funding;
- Practice nondiscrimination (those agencies with a religious affiliation wishing to participate in the program must not refuse services to an applicant based on religion or require attendance at religious services as a condition of assistance, nor will such groups engage in any religious proselytizing in any program receiving EFSP funds;
- Have a voluntary board if private, not-for-profit; and,
- To the extent practicable, involve homeless individuals and families, through employment, volunteer programs, etc., in providing emergency food and shelter services.

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures.

Contact your local IRS office for more information on securing a FEIN and the necessary form [SS-4] or go to the website: www.irs.gov.

DUNS numbers alone are not sufficient for EFSP purposes and neither Local Boards nor LROs can enter this information on the EFSP website. DUNS numbers and associated information are ***required*** *for all LROs receiving funds in the EFSP. The DUNS information form and instructions are posted under the Local Board and LRO section of the EFSP website. This form (third page under the DUNS tab) must be completed accurately and emailed to* ***documentstoefsp@uww.unitedway.org or faxed to 703-706-9677****. Simply providing the DUNS number alone does not fulfill the EFSP's requirements; the form must be completed in its entirety.*

Each award Phase, each LRO must certify to the Local Board by signing the LRO Certification Form for the specific Phase and forwarding it to the Local Board that they have read, understand and agree to abide by the EFSP Responsibilities and Requirements Manual including the LRO Responsibilities section, Financial Terms and Conditions, Program Costs (eligible and ineligible), and Required Documentation. See Annex 3, page 93.

If after reading, electronically signing and submitting the LRO Certification Form, the agency determines that it cannot or can no longer abide by the National Board or Federal requirements, they must notify their Local Board immediately. If funds have already been received, they must be returned in their entirety and no expenses may be incurred or charged against the grant.

The Local Board will receive a copy of the electronically signed LRO Certification Form for each funded LRO in the jurisdiction's Board Plan submitted to the National Board.

The LRO Certification Form will be sent through DocuSign to the contact email of record for the funded LRO once the Local Board Plan has been submitted. The completed LRO Certification form will be emailed to the LRO and is available on the EFSP website under LRO Plan.

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures.

LRO Documentation and Disaster Recovery Plan

LROs should have a disaster recovery plan that ensures continuity of eligible services and records retention under the EFSP. Each LRO is required to retain EFSP records for a period of three years from the submission of the Final Report. Records that should be retained include LRO application and approval of application from Local Board, signed LRO Certification form, documentation of any reallocations approved by the Local Board, completed Interim Report/Second Payment Request form, program exceptions granted by the National Board, and all expenditure documentation for expenses charged to the EFSP. **LROs also need to retain documentation regarding all compliance problems including those outside the retention period until the problem is resolved.** Specific information on documentation is provided in the Program Costs (eligible and ineligible) section of this manual. The U.S. Department of Homeland Security's website contains business continuity information which may be helpful to LROs. www.ready.gov/business.

Reference Item 5, page 53 and Annex 13, page 105-106.

LRO/Vendor Relationships

An LRO may not operate as a vendor for itself or other LROs. Purchases may not be made from or payments made to other LROs except for the shared maintenance fee of food banks.

LRO Requirements

Local agencies selected for funding must adhere to the following 14 requirements:

Knowledge of Requirements

1. LROs must maintain records according to guidelines set forth in this manual. Consult your Local Board chair/staff on matters requiring interpretation or clarification **prior to** incurring an expense or entering into a contract. **It is important to have a thorough understanding of these guidelines to avoid ineligible expenditures and consequent repayment of funds**. See pages 65-74 for

*A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

eligible and ineligible program costs. Questions that LROs have should be directed first to Local Board chairs or staff. National Board staff must be contacted by the Local Board chairs or staff to answer those questions that cannot be answered locally.

Use of Funds

2. LROs must provide services within the intent of the program. Funds are to be used on an ongoing basis to supplement and extend food and shelter services, not as a substitute for other program funds or to start new programs. Funds are not to be held or reserved for future use but spent on an as needed basis to supplement and extend existing services. Agencies must have a program in the category for which they are seeking funding. All funds awarded to an LRO must provide for services within the jurisdiction's spending period. See pages 65-74 for eligible and ineligible program costs.

*A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

Bank Accounts/Interest Income

3. LROs must maintain a checking account in the **LRO's name** in a federally insured bank into which EFSP funds are deposited. (Bank accounts must not be set up with FEMA, EFSP or in the name of the LRO's program.) The National Board does not require funds to be placed in a separate bank account. LROs are required to notify the National Board in writing of any changes in their bank account for EFT purposes. This includes changes such as the closure of bank accounts, opening new bank accounts, and mergers of financial institutions. ***LROs funded in multiple jurisdictions must provide bank account changes for each jurisdiction individually even if funds are deposited into the same account.*** The EFT authorization form must be used for initial sign-ups **and any changes**. Local Boards and LROs may also contact the National Board staff for the preprinted authorization form. Copies, faxes, or emails cannot be accepted for EFT processing. For EFT processing, an original LRO voided blank check and form are accepted by mail only by the deadline established by the National Board (mail to: United Way Worldwide/Emergency Food and Shelter Program 701 North Fairfax Street, Alexandria, VA 22314.) **EFT ENROLLMENTS CANNOT BE ACCEPTED IN ANY OTHER FORMAT**. Failure to notify the National Board of bank account changes will delay the receipt of funds.

*To add/update EFT information, the LRO must log into the EFSP website. On the left-hand menu, there is an option for EFT, where you will find the appropriate form and instructions. This form is specific to each LRO and cannot be generated by the Local Board. There is a webinar with detailed instructions on how to set up an EFT on the EFSP website under **Trainings Workshops** on the left-hand menu after you login.*

LROs must maintain proper documentation for all expenditures under this program according to the guidelines. Any interest income must be used for eligible program expenditures, not administrative expenses. If EFSP funds are placed in an interest-earning account with other LRO funds, interest must be prorated/calculated for the EFSP grant.

LROs that have unspent funds of $5.00 or more must return the entire unspent amount to the National Board. (Do not send back unspent funds of $4.99 or less). Checks for funds being returned to the National Board must be made payable to United Way Worldwide/Emergency Food and Shelter Program. The LRO ID number of the agency returning the funds must be printed on the face of the check in the upper right-hand corner.

LROs' expenditures and documentation will be subject to review for program compliance by the Local Board, National Board, the National Board's public accounting firm, DHS/FEMA or the Office of the Inspector

General. Maintain records for a three-year period after phase end unless there is an outstanding compliance problem. **(See pages 80-81)****.**

Payment to Vendors

4. LROs must pay for all eligible program expenses by an approved method of payment. Approved payment methods are:
   - LRO check,
   - LRO debit card,
   - LRO credit card–vendor issued (i.e., Sam's Club, other stores–vendor issued credit card),
   - LRO credit card–third party (i.e., American Express, Visa),
   - Electronic payment from LRO's bank account.

A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

This program does not allow the reimbursement of staff/volunteers, other LROs or any party other than the vendor of services. **Cash payments are ineligible. The use of personal debit cards or credit cards is not allowed.**

A Fiscal Agent/Fiscal Conduit must pay the vendor directly with an approved method of payment and may not reimburse other agencies for which they are serving as the Fiscal Agent/Fiscal Conduit.

LRO Reporting

5. LROs must submit reports to the Local Board by their due dates. The National Board will make interim report/second payment requests available to each LRO after the first payment notification. When the LRO is ready to request its second payment it must be submitted via the website. The LRO will then electronically sign the Interim Report/Second Payment Request Form generated by DocuSign. Then the Local Board will approve and electronically sign the Interim Report/Second Payment Request Form through the DocuSign process. Local Boards must electronically sign the Interim Report/Second Payment Request by the established deadline. **Only electronic signatures created through the DocuSign process provided by the National Board will be accepted**.

A webinar detailing the process for submitting an Interim Report/Second Payment Request is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

LROs should retain a copy of their Interim Report/Second Payment Request form and should not wait until their first payment has been exhausted before making the request.

Second payments will be made to eligible LROs once the jurisdiction's compliance review of the previous phase is completed and any compliance problems resolved in any jurisdiction in which an LRO has received funds. Compliance resolution after the end of the funded phase does not guarantee that any remaining award will be forthcoming. Notice of second payments will be made to Local Boards and LROs, via email, only upon the submission of each LRO's Interim Report/Second Payment Request Form.

The Interim Report/Second Payment Request submission is a two-step process. After the LRO(s) complete the form online, they will need to electronically sign the Interim Report/Second Payment Request generated by DocuSign. The Local Board chair will approve the request by electronically signing the Interim Report/Second Payment Request Form once assured the LRO is implementing the program as intended and according to EFSP guidelines or other requirements established by the Local Board. The LRO must report on the first payment by indicating how the funds were spent to date in the categories. If funds were unspent, they must be entered in the unspent category on the form. The Interim Report/Second Payment Request must balance to the total of the first payment issued to the agency.

Keeping contact information up to date is critical for EFSP communication and DocuSign procedures. Interim Reports/Second Payment Requests will not be able to be completed without an accurate email address on file.

The National Board will advise Local Boards and LROs of the deadline to request all second payments under Phase 35 as part of the Key Dates document. Second payments will be held until **all** compliance exceptions (if any) are satisfied by the LRO. LROs with unresolved compliance exceptions **will not be paid**.

Final Report

6. All LROs must complete the Final Report through the web submission process. After the web submission is completed, a copy of the LRO Final Report will be sent to the LRO Contact via email to e-sign. Once the LRO Final Report has been e-signed by the LRO, it will be sent to the Local Board Contact to approve and e-sign. A copy of the LRO Final Report should be sent to the Local Board, along with the required spreadsheets, and **one** copy of documentation, if requested. A copy of the e-signed LRO Final Report, spreadsheets and documentation must be retained by the LRO for their records. Complete, accurate, legible documentation must be submitted and must support the expenditures claimed in each category on the initial Final Report. The final LRO report is due to the Local Board 30 days after the jurisdiction's end-of-program date. LROs receiving Phase 35 awards from more than one jurisdiction must keep and submit documentation **separately** for each **when requested**.

*A webinar detailing the process for submitting a Final Report is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

LROs receiving SSA awards in addition to a regular award or reallocation funds in a single jurisdiction must consider all the awards as though they were one and combine the documentation

Program Compliance Resolution

7. LROs must work with the Local Board to **quickly clear up** any problems related to compliance exception(s) at the end of the program.

*A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

The National Board requires that all LROs maintain expenditure and proof of payment documentation as expenses are incurred. It is expected that when documentation is submitted with Final Reports or reviewed under other circumstances, that it is complete and accurate initially when reviewed the first time. The National Board will notify Local Boards and LROs of problems should the documentation contain errors.

Failure of an LRO to comply with the National Board's reporting requirements will result in future funds being withheld. The National Board will hold funds until all reporting requirements have been satisfied. If an LRO does not comply in a timely manner to compliance issues, the Local Board or National Board may reclaim and reallocate the funds being withheld.

A webinar providing background on common compliance issues is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Any LRO, including those serving as a Fiscal Agent/Fiscal Conduit, receiving funds in multiple jurisdictions with a compliance exception in any single jurisdiction from any prior phase will be subject to all funds being withheld. That is, all funds allocated to that LRO from all jurisdictions will be withheld until all problems have been resolved. Funding is not guaranteed when compliance problems have been identified, even if resolved.

Documentation Retention

LROs are to keep their documentation records for three years after each end of program year. Documentation includes but is not limited to: LRO Certification form, application for funding, Local Board approval of funding, Second Payment Request/Interim Report, Final Report, spreadsheets, all expenditure documentation (vendor invoices/receipts and proof of payment).

Since Documentation must be retained for three years, all of those years are subject to review/audits at any time, even if the LRO has filed Final Reports and received clearing letters.

Lobbying Prohibition and Reporting Requirements

8. LROs must comply with lobbying requirements. Lobbying is not permitted with EFSP funds. **Any LRO receiving more than $100,000 in EFSP funds is required to submit:**

- **certification that EFSP funds will not be used for lobbying activities; and,**
- **disclosure of lobbying activities (if applicable).**

See Annex 5, page 95 for the certification and disclosure form. This form may be printed from the EFSP manual or website. These forms must be submitted prior to payment of funds.

A webinar detailing the process for submitting Certification Forms is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Annual Audit Requirement

9. LROs must comply with audit requirements. For LROs receiving $100,000 or more in EFSP funding, the National Board requires an independent annual audit in accordance with Government Auditing Standards. For LROs receiving from $50,000 to $99,999, the National Board requires an annual accountant's review. For newly funded LROs or LROs funded above the amount requiring an audit or review for the first time, the LRO will be eligible to receive funds if it arranges for the audit or review of funds to coincide with the next scheduled annual audit or annual review of its financial affairs. See Annexes 12-13, pages 103-106.

A webinar providing background on audit requirements is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

The National Board will accept an LRO's national/regional annual audit if the following conditions are met:

- LRO is truly a subsidiary of the national organization (i.e., shares a single Federal tax exemption).

- The LRO is audited by the national/regional office internal auditors or other person designated by the national/regional office AND the national/regional office is audited by an independent certified public accountant or public accountant or accounting firm, which includes the national/regional organization's review of the LRO in a larger audit review.
- A copy of the local audit review along with a copy of the independent audit of the national/regional office will be made available to the National Board upon request.

Uniform Guidance of the Office of Management & Budget

10. Any agency expending $750,000 or more in Federal funds must comply with the **Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200** of the Office of Management and Budget (Uniform Guidance) Item 7, page 54.

A copy of this report must be forwarded to the National Board annually along with the regular audit.

Audits of units of government shall be made annually unless the state or local government had, by January 1, 1987, a constitutional or statutory requirement for less frequent audits. **LROs receiving funds in a single or multiple jurisdictions must identify each award individually by their LRO ID number in each jurisdiction under the Pass-Through Grantors Number on the Schedule of Expenditures of Federal Awards.**

Audit Confirmation Request

11. LROs requesting audit confirmations of funds received for their external auditors must submit a written request emailed to documentstoefsp@uww.unitedway.org or faxed to 703-706-9677. The request must indicate the LRO ID numbers (9-digits) for each jurisdiction for which a confirmation is needed.

Technical Assistance

12. LRO should contact the Local Board first regarding technical assistance, interpretation of guidelines and resources from other Federal programs as Local Boards are responsible for providing training and technical assistance to LROs.

The EFSP website (www.efsp.unitedway.org) has a training feature for Local Boards and LROs to familiarize new staff with EFSP requirements under **Training Workshops**. FEMA's Emergency Management Institute also provides a training opportunity through the following link: (http://www.training.fema.gov/emiweb/IS/IS420.asp).

Reallocation of Funds

13. LRO must cooperate and comply with Local Board reallocation decisions. Local Boards may reallocate funds at their discretion during the current phase. Reference the Local Board section, pages 33-34.

A webinar detailing the process for submitting Reallocation is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Fiscal Agent/Fiscal Conduit

14. For National Board purposes, a Fiscal Agent is a LRO that maintains all EFSP financial records for another agency under a single grant. A Fiscal Conduit is a LRO that maintains all EFSP financial records on behalf of two or more other agencies under a single grant.

If anyone LRO in a jurisdiction is making bulk purchases for other agencies not funded directly, it must serve as a Fiscal Conduit and follow all rules noted in this section.

The Fiscal Agent/Fiscal Conduit is the LRO responsible for the receipt of funds, disbursement of funds to vendors, documentation of funds received and maintenance of documentation. The Fiscal Agent/Fiscal Conduit must meet all requirements of a LRO. Only the Fiscal Agent/Fiscal Conduit may pay the vendors, and cannot reimburse other agencies for which they are serving as their Fiscal Agent/Fiscal Conduit.

Local Boards may wish to use a Fiscal Agent/Fiscal Conduit when they desire to fund an agency that does not have an adequate accounting system but still meets all other criteria. The Fiscal Agent/Fiscal Conduit arrangement must be determined and arranged prior to funding decisions. Fiscal Agents/Fiscal Conduits will be held accountable for compliance with program requirements. Any agency being supported through a fiscal agent/fiscal conduit must have its own Federal Employee Identification Number (FEIN). (This IRS form [SS-4] may be obtained on the IRS website, www.irs.gov.) Agencies funded under a Fiscal Agent/Fiscal Conduit must also have or obtain a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B). (This form and instructions may be obtained from the EFSP website.) The DUNS number and other relevant information must be provided on the form.

Fiscal Agent/Fiscal Conduit Payments

Fiscal Agents/Fiscal Conduits must issue their payments for LRO expenditures to vendors only by an approved method of payment; may not reimburse other agencies for which they are serving as their Fiscal Agent/Fiscal Conduit, or to agencies/sites under their 'umbrella'. The exception to this is when an LRO is using the per diem allowance for mass shelter or the per meal allowance for served meals.

Benefitting Agency/Sub Grantee

Any agency benefitting from funds received by a Fiscal Agent/Fiscal Conduit must meet all criteria to be a LRO except the accounting system and annual audit requirements and must sign the Fiscal Agent/Fiscal Conduit Relationship Certification form. See Annex 4, page 94. **For tracking purposes, all agencies funded through Fiscal Agents or Fiscal Conduits must provide an FEIN number and a DUNS number.**

Grant Agreement Articles

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to **ALL** parties participating in the grant. For the EFSP, all parties mean the National Board which is considered the *Recipient*, State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) that are considered the *Sub-Recipients*. This section of the EFSP Responsibilities and Requirements Manual (EFSP Manual) provides guidance related to the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions of the grant. The EFSP Certification Forms for all parties contain statements that incorporate the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions. All parties must ensure their understanding of this section of the EFSP Manual and the statements on the Certification Forms being signed, as they are agreeing to specific program requirements mandated by the Federal government, including those that do not appear to apply to the types of programs and activities eligible under the EFSP. While some of the articles do not appear to be consistent with the types of programs and activities funded under the EFSP and some state recipient but not sub-recipient, all Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions must be passed on to all parties participating in the EFSP. ***All parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in this Manual.***

Most SSAs and Local Boards do not receive funds (except administrative funds where they are considered to be an LRO and therefore a *Sub-Recipient*), these parties participating in the EFSP have responsibility for ensuring compliance in their selection of jurisdictions and/or LROs for funding and adhering to all EFSP requirements, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions. SSAs, Local Boards, and LROs should familiarize themselves with all specific citations noted in the Manual.

Article I - DHS Specific Acknowledgements and Assurances

All recipients, subrecipients, successors, transferees, and assignees must acknowledge and agree to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance reviews or compliance investigations conducted by DHS.
2. Recipients must give DHS access to, and the right to examine and copy, records, accounts, and other documents and sources of information related to the federal financial assistance award and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, recipients have been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency (LEP)), sex, age, disability, religion, or familial status, recipients must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS FAO and the DHS Office of Civil Rights and Civil Liberties (CRCL) by e-mail at crcl@hq.dhs.gov or by mail at U.S. Department of Homeland Security Office for Civil Rights and Civil Liberties Building 410, Mail Stop #0190 Washington, D.C. 20528.
6. In the event courts or administrative agencies make a finding of discrimination on grounds of race, color, national origin (including LEP), sex, age, disability, religion, or familial status against the recipient, or recipients settle a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the

DHS FAO and the CRCL office by e-mail or mail at the addresses listed above. The United States has the right to seek judicial enforcement of these obligations.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The Financial Terms and Conditions of the EFSP Manual speak to items 1 – 4 of this Grant Agreement Article.

Article II - Whistleblower Protection Act

All recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C. Section 2409, U.S.C. Section 4712, 10 U.S.C. Section 2324, 41 U.S.C. Sections 4304 and 4310.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The article speaks to employees and contractors with the Department of Defense and disallowed costs with funding. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article III - Use of DHS Seal, Logo and Flags

All recipients must obtain permission from their DHS FAO, prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The use of any organization's marks, including those of DHS, must be approved through proper channels. EFSP does not approve the use of the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials including those of the Federal Emergency Management Agency (FEMA) or those of any other National Board member agency. SSAs, Local Boards or LROs wishing to use the marks of any of these organizations must secure the individual agency's permission. Bank accounts used by agencies funded under the EFSP should be set up in the individual agency's name, not as FEMA.

Article IV - USA Patriot Act of 2001

All recipients must comply with requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. sections 175-175c.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article V - Universal Identifier and System of Award Management (SAM)

All recipients are required to comply with the requirements set forth in the government-wide financial assistance award term regarding the System for Award Management and Universal Identifier Requirements located at 2 C.F.R. Part 25, Appendix A, the full text of which is incorporated here by reference in the terms and conditions.

EFSP Applicability: SAMS registration in this article applies to the recipient, the EFSP National Board. The EFSP is registered in the SAMS system. Any necessary updates to EFSP information in the system will be made yearly.

The unique identifier statement apply to all State Set-Aside Committees, Local Boards and LROs. All funded LROs are required to provide their DUNS number to EFSP before payments can be released. The statement contained in the Certification Forms – "Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP" speak to this Grant Agreement Article.

Article VI - Reporting of Matters Related to Recipient Integrity and Performance

If the total value of the recipient's currently active grants, cooperative agreements, and procurement contracts from all federal assistance offices exceeds $10,000,000 for any period of time during the period of performance of this federal financial assistance award, you must comply with the requirements set forth in the government-wide Award Term and Condition for Recipient Integrity and Performance Matters located at 2 C.F.R. Part 200, Appendix XII, the full text of which is incorporated here by reference in the award terms and conditions.

EFSP Applicability: The reporting in this article applies to the recipient, the EFSP National Board. The EFSP is registered in the SAMS system. Any necessary updates to EFSP information in the system or required reporting related to the grant will be made appropriately.

Article VII - Rehabilitation Act of 1973

All recipients must comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. section 794, as amended, which provides that no otherwise qualified handicapped individuals in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds] and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article VIII - Trafficking Victims Protection Act of 2000

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act of 2000, (TVPA) as amended by 22 U.S.C. section 7104. The award term is located at 2 C.F.R. section 175.15, the full text of which is incorporated here by reference in the award terms and conditions.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article IX - Education Amendments of 1972 (Equal Opportunity in Education Act) - Title IX

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. section 1681 et seq.), which provide that no person in the United States will, on the basis of sex, be excluded from participation

in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving federal financial assistance. DHS implementing regulations are codified at 6 C.F.R. Part 17 and 44 C.F.R. Part 19.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article X - Terrorist Financing

All recipients must comply with E.O. 13224 and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. Recipients are legally responsible to ensure compliance with the Order and laws.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XI - SAFECOM

All recipients receiving federal financial assistance awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding communication equipment. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XII - Procurement of Recovered Materials

All recipients must comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XIII - Notice of Funding Opportunity Requirements

All of the instructions, guidance, limitations, and other conditions set forth in the Notice of Funding Opportunity (NOFO) for this program are incorporated here by reference in the award terms and conditions. All recipients must comply with any such requirements set forth in the program NOFO.

EFSP Applicability: The requirements stated in this article applies to the recipient, the EFSP National Board. The NOFO and guidance is made available to the National Board via the ND Grants System. All terms and conditions of the award are agreed to when the National Board accepts the award in the ND Grants System.

Article XIV - Patents and Intellectual Property Rights

Unless otherwise provided by law, recipients are subject to the Bayh-Dole Act, Pub. L. No. 96-517, as amended, and codified in 35 U.S.C. section 200 et seq. All recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from financial assistance awards located at 37 C.F.R. Part 401 and the standard patent rights clause located at 37 C.F.R. section 401.14.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that would be patented with EFSP funds. Any necessary materials for use in the EFSP would not generally be patented. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XV - Non-supplanting Requirement

All recipients receiving federal financial assistance awards made under programs that prohibit supplanting by law must ensure that federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is non-disaster, supplemental funding. The Preamble and the statement contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" speak to this requirement.

Article XVI - Lobbying Prohibitions

All recipients must comply with 31 U.S.C. section 1352, which provides that none of the funds provided under an federal financial assistance award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any federal action concerning the award or renewal.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Will not use EFSP funding for any lobbying activities and if receiving $100,000, or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in advance with its instructions. The "Lobbying Prohibition and Reporting Requirements" sections in the EFSP Manual also speak to this Grant Agreement Article.

Article XVII - Limited English Proficiency (Civil Rights Act of 1964, Title VI)

All recipients must comply with the Title VI of the Civil Rights Act of 1964 (Title VI) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance https://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited and additional resources on http://www.lep.gov.

✓ *EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.*

Article XVIII - Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. section 2225a, all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, as amended, 15 U.S.C. section 2225.

✓ *EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Should SSAs, Local Boards, or LROs conduct conferences, meetings, or trainings for EFSP using any administrative funding from the EFSP, they must comply with this requirement.*

Article XIX - Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. section 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. section 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981 amendment to Comptroller General Decision B-138942.

✓ *EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding air travel with EFSP funds. Any necessary air travel would be limited to travel necessary for the administration of the EFSP and would not include international travel. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.*

Article XX - Federal Leadership on Reducing Text Messaging while Driving

All recipients are encouraged to adopt and enforce policies that ban text messaging while driving as described in E.O. 13513, including conducting initiatives described in Section 3(a) of the Order when on official government business or when performing any work for or on behalf of the federal government.

EFSP Applicability: This article applies to the EFSP National Board as the recipient, all State Set-Aside Committees, Local Boards and LROs as subrecipients of funds.

Article XXI - Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129.)

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs.

Article XXII - False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of 31 U.S.C. section 3729 - 3733 which prohibits the submission of false or fraudulent claims for payment to the federal government. (See 31 U.S.C. section 3801-3812 which details the administrative remedies for false claims and statements made.)

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Generally, this act provides for criminal penalties if false claims are filed.

Article XXIII - Reporting Subawards and Executive Compensation

All recipients are required to comply with the requirements set forth in the government-wide Award Term on Reporting Subawards and Executive Compensation located at 2 C.F.R. Part 170, Appendix A, the full text of which is incorporated here by reference in the award terms and conditions.

EFSP Applicability: This article applies to the Grantee (National Board) and all State Set-Aside Committees, Local Boards and LROs. As information received from State Set-Aside Committees, Local Boards and LROs are necessary components of the required reports, the statements contained in the Certification Forms regarding the DUNS number, Federal Employer Identification Number (FEIN), and reporting requirements also speak to this Grant Agreement Article.

Article XXIV - Energy Policy and Conservation Act

All recipients must comply with the requirements of 42 U.S.C. section 6201 which contain policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of supplies and equipment purchases, up to $300 per item, and emergency rehabilitation costs/building code citations for mass shelter and mass feeding sites, there are no allowable activities that can be funded with EFSP funds. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXV - Duplication of Benefits

Any cost allocable to a particular federal financial assistance award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other federal financial assistance awards to overcome fund deficiencies, to avoid restrictions imposed by

federal statutes, regulations, or federal financial assistance award terms and conditions, or for other reasons. However, these prohibitions would not preclude recipients from shifting costs that are allowable under two or more awards in accordance with existing federal statutes, regulations, or the federal financial assistance award terms and conditions.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is non-disaster, supplemental funding. Expenditures charged in full to the EFSP grant may not also be charged to other awards/grants; nor may expenditures paid for with EFSP funding be charged to other awards/grants. The statements contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" and "Will expend monies only on EFSP eligible costs" as well as the Costs Eligibility sections of the EFSP Manual speak to this requirement.

Article XXVI - Drug-Free Workplace Regulations

All recipients must comply with the Drug-Free Workplace Act of 1988 (41 U.S.C. section 8101 et seq.), which requires all organizations receiving grants from any federal agency agree to maintain a drug-free workplace. You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 CFR part 3001, which adopts the Government-wide implementation (2 CFR part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 8101-8107).

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs.

Article XXVII - Debarment and Suspension

All recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders (E.O.) 12549 and 12689, and 2 C.F.R. Part 180. These regulations restrict federal financial assistance awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Is not debarred or suspended from receiving Federal funds" and the Financial Terms and Conditions sections in the EFSP Manual speak to this requirement.

Article XXVIII - Copyright

All recipients must affix the applicable copyright notices of 17 U.S.C. sections 401 or 402 and an acknowledgement of U.S. Government sponsorship (including the award number) to any work first produced under federal financial assistance awards.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding materials that would be copyrighted with EFSP funds. Any necessary materials for use in the EFSP would not generally be copyrighted. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXIX - Civil Rights Act of 1968

All recipients must comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. section 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features. (See 24 C.F.R. section 100.201.)

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXX - Civil Rights Act of 1964 - Title VI

All recipients must comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. section 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. DHS implementing regulations for the Act are found at 6 C.F.R. Part 21 and 44 C.F.R. Part 7.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXI - Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS defines personally identifiable information (PII) as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. All recipients who collect PII are required to have a publicly-available privacy policy that describes standards on the usage and maintenance of PII they collect. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy template as useful resources respectively.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. In order to meet the documentation requirements of the EFSP in certain program categories, it is necessary to obtain, retain, and provide, if requested, PII for clients served with EFSP funding. Additionally, there must be a system in place to ensure there is no duplication of service in the specific categories of rent/mortgage and utility assistance which may require the sharing of PII for this purpose. The National Board does not require and does not expect to receive PII beyond what is noted in the EFSP Documentation Requirements as stated in the Manual. Items that should not be submitted to EFSP as documentation include, but are not limited, to driver's licenses, Social Security Numbers or cards, pay stubs, etc.

Article XXXII - Americans with Disabilities Act of 1990

All recipients must comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities. (42 U.S.C. sections 12101-12213).

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds] and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXIII - Age Discrimination Act of 1975

All recipients must comply with the requirements of the Age Discrimination Act of 1975 (Title 42 U.S. Code, section 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving federal financial assistance.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXIV - Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXXV - Acknowledgment of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The use of the Sample Advertisement in the EFSP Manual complies with this Grant Agreement Article for advertising purposes only. If the Sample Advertisement is not used, the Acknowledgement of Federal Funding from DHS must be included in the advertisement made by the Local Board. Please note: this acknowledgement is not just for the advertisement.

Article XXXVI - Assurances, Administrative Requirements, Cost Principles, and Audit Requirements

DHS financial assistance recipients must complete either the OMB Standard Form 424B Assurances - Non-Construction Programs, or OMB Standard Form 424D Assurances - Construction Programs as applicable. Certain assurances in these documents may not be applicable to your program, and the DHS financial assistance office may require applicants to certify additional assurances. Applicants are required to fill out the assurances applicable to their program as instructed by the awarding agency. Please contact the financial assistance office if you have any questions. DHS financial assistance recipients are required to follow the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at 2 C.F.R. Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statements contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" as well as those regarding accounting systems, audits, and other financial matters and the Financial Terms and Conditions and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXXVII - Acceptance of Post Award Changes

In the event FEMA determines that changes are necessary to the award document after an award has been made, including changes to period of performance or terms and conditions, recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award. Please call the FEMA/GMD Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov if you have any questions.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. Should there be changes to the award, the EFSP National Board will communicate changes (as necessary) to State Set-Aside Committees, Local Boards and LROs. Item 2 (Amendments) under Financial Terms and Conditions also speaks to this Grant Agreement Article.

Article XXXVIII - Prior Approval for Modification of Approved Budget

Before making any change to the DHS/FEMA approved budget for this award, you must request prior written approval from DHS/FEMA where required by 2 C.F.R. Section 200.308. For awards with an approved budget greater than $150,000, you may not transfer funds among direct cost categories, programs, functions, or activities without prior written approval from DHS/FEMA where the cumulative amount of such transfers exceeds or is expected to exceed ten percent (10%) of the total budget DHS/FEMA last approved. You must report any deviations from your DHS/FEMA approved budget in the first Federal Financial Report (SF-425) you submit following any budget deviation, regardless of whether the budget deviation requires prior written approval.

EFSP Applicability: This article applies to the EFSP National Board. The budget submitted with the application in the ND Grant system generally remains the same. The scope and purpose of the program does not change, the guidelines are detailed in the EFSP Manual.

Article XXXIX - Disposition of Equipment Acquired Under the Federal Award

When original or replacement equipment acquired under this award by the recipient or its sub-recipients is no longer needed for the original project or program or for other activities currently or previously supported by DHS/FEMA, you must request instructions from DHS/FEMA to make proper disposition of the equipment pursuant to 2 C.F.R. Section 200.313.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. LROs may use up to $300 to purchase eligible equipment with EFSP funds and would generally fall beneath the $5,000 threshold. The statement contained in the Certification Forms –"Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XL - National Environmental Policy Act

All recipients must comply with the requirements of the National Environmental Policy Act (NEPA) and the Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of NEPA, which requires

recipients to use all practicable means within their authority, and consistent with other essential considerations of national policy, to create and maintain conditions under which people and nature can exist in productive harmony and fulfill the social, economic, and other needs of present and future generations of Americans.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies.

Article XLI - Nondiscrimination in Matters Pertaining to Faith-Based Organizations

It is DHS policy to ensure the equal treatment of faith-based organizations in social service programs administered or supported by DHS or its component agencies, enabling those organizations to participate in providing important social services to beneficiaries. All recipients must comply with the equal treatment policies and requirements contained in 6 C.F.R. Part 19 and other applicable statues, regulations, and guidance governing the participations of faith-based organizations in individual DHS programs.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. EFSP guidelines prohibits discrimination based on age, race, sex, religion, national origin, disability, economic status or sexual orientation.

Article XLII - Buy American and Hire American

All recipients are required to comply with any applicable provisions of the Buy American Act (41 U.S.C. Sections 8301 through 8305), and any other applicable statutes, regulations, or rules that require, or provide a preference for, the purchase or acquisition of goods, products, or materials produced in the United States.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies.

Financial Terms and Conditions

The National Board requires all participants to meet the requirements stated in this manual regarding program compliance, reporting, documentation and submission of documentation.

1. Definitions
    a. "Jurisdiction" refers to the city, county or combination receiving funds through EFSP.
    b. "Local Recipient Organization" or "LRO" refers to the local private or public agency that will receive any award of funds from the National Board.
    c. "Award" refers to the award of funds made by the National Board to a local private or public agency on the recommendation of a Local Board.
    d. "End-of-program" refers to the jurisdiction's end date, as agreed by Local and National Board, by which all monies must be spent or returned to the National Board.
    e. "Begin Date" is the date LROs may begin expending funds.
    f. "End date" is the date by which all funds must be expended or returned to the National Board.

2. Amendments

   An award may be amended at any time by a written modification. Amendments, which reflect the rights and obligations of either party, shall be executed by both the National Board and the LRO. ***Administrative amendments such as changes in accounting data may be issued unilaterally by the National Board.***

3. Local Board Authority Related to Local Recipient Organizations

   The Local Board is responsible for monitoring expenditures of LROs receiving EFSP funds; authorizing the adjustment of funds between EFSP funded services; and, reallocating funds from one LRO to another.

   Local Boards may not alter or change National Board cost eligibility or approve expenditures outside of the National Board's criteria without National Board permission. Local Boards may not alter or change the National Board's documentation requirements.

   A Local Board can recall an award to an LRO and reallocate to another LRO in the case of gross negligence, inadequate use of funds, failure to use funds, failure to use funds for purposes intended, for any other violation of the National Board guidelines, or in cases of critical need in the community. **The Local Board must advise, in writing, all concerned LROs of any reallocation of their original award.**

   In the event the Local Board discovers ineligible expenditures by an LRO, the Local Board must send to the LRO a written request for reimbursement of the amount. The National Board must also be notified. If the LRO is unwilling or unable to reimburse the National Board for the ineligible expenditure, the Local Board must refer the matter to the National Board. The National Board may ask the Local Board to take further action to see that reimbursement of **ineligible** expenditures is made to the National Board, or the National Board may refer the matter to FEMA.

   If the Local Board suspects that fraud has been committed by an LRO, the Local Board must contact the DHS/Office of Inspector General with details of the suspected fraud or misuse of Federal funds. The OIG's preferred method for reporting fraud is to submit their online allegation form from their website **www.oig.dhs.gov.** The address for mailing information is DHS Office of Inspector General/MAIL STOP 0305, Attention: Office of Integrity & Quality Oversight – Hotline, Murray Lane SW, Washington, DC 20528-0305. See pages 34-35 for more details.

If an LRO received an award under previous phases (Public Laws 98-8, 98-151 and 98-181, 98-396, 99-88 and 99-160, 99-500 and 100-6, 100-71 and 100-120, 100-404 and 101-45, 101-100, 101-467, 102-139, 102-389, 103-124, 103-327, 104-91 and 104-134, 104-204, 105-65, 105-276, 106-74, 106-377, 107-73, 107-294 and 108-7, 108-90, 108-334, 109-90, 109-295, 110-161, 110-329 and 111-5, 111-83, 112-10, 112-74, 113-6 or 113-76), it must not include those funds in any reporting for the current award. Reports should be confined to the amount granted by the National Board under the new appropriations legislation (Public Law 114-4).

4. Cash Depositories
    a. Any money advanced to the LRO under the terms of this award must be deposited in a checking account in a bank with Federal Deposit Insurance Corporation (FDIC) or Federal Savings & Loan Insurance Corporation (FSLIC) insurance coverage (whose responsibility has been taken over by FDIC), and the balance exceeding the FDIC or FSLIC coverage must be collaterally secured. Interest income earned on these funds must be put back into eligible program costs, not administration.
    b. LROs are encouraged to use minority-owned banks (a bank that is owned at least 51 percent by minority group members). This is consistent with the national goal of expanding the opportunities for minority business enterprises. A list of minority-owned banks can be obtained at the addresses below.
        i. www.federalreserve.gov/releases/mob/current/default.htm
        ii. www.fdic.gov/regulations/resources/minority/MDI.html

5. Retention and Custodial Requirements for Records
    a. Financial records, supporting documentation, statistical records, and all other records pertinent to the award shall be retained by the LRO for a period of three years from the end-of-program date with the following exceptions: See Annex 13, page 105-106.
        i. If any litigation, claim, program compliance review, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims, program compliance problems, or audit findings involving the records have been resolved.
        ii. Records for non-expendable property, if any, acquired in part with EFSP funds shall be retained for three years after submission of the final financial report (Final Report). Non-expendable property is defined as tangible property having a useful life of more than one year and an acquisition cost of more than $300 per unit.
    b. The retention period starts from the date of the submission by the LRO of the final expenditure report (Final Report).
    c. The National Board may request transfer of certain records to its custody from the LRO when it determines that the records possess long-term retention value. The LRO shall make such transfers as requested.
    d. The Director of FEMA, the Comptroller General of the United States, and the National Board, or any of their duly authorized representatives, shall have access to any pertinent books, documents, papers, and records of the LRO, and its sub grantees, to make audits, examinations, excerpts, and transcripts.

6. Financial Management Systems

    The LRO/Fiscal Agent or Fiscal Conduit shall maintain a financial management system that provides for the following:
    a. Accurate, current and complete disclosures of the financial results of this program.
    b. Records that identify adequately the source and application of funds for federally supported activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, non-obligated balances, assets, outlays, and incomes.
    c. Effective control over and accountability for all funds, property, and other assets.
    d. Procedures for determining eligibility of costs in accordance with this manual.

e. Accounting records that are supported by source documentation. The LRO must maintain and retain a register of cash receipts and disbursements and original supporting documentation such as purchase orders, invoices, canceled checks or documentation for other acceptable payment methods, sign-in logs and any other documentation that is necessary to support their costs under the program.

f. A systematic method to assure timely and appropriate resolution of audit findings and recommendations.

g. In cases where more than one civil jurisdiction (e.g., a city and a balance of county, or several counties) recommends awards to the same LRO, the LRO can combine these funds in a single account. However, separate program records for each civil jurisdiction award must be kept.

7. Audit Requirements

If receiving $100,000 or more in EFSP funds, the LRO will be eligible to receive the funds if it arranges for an independent audit of funds to coincide with the next scheduled annual audit of its financial affairs. If receiving $50,000 to $99,999 in EFSP funds, the LRO will be eligible to receive the funds if it arranges for an annual accountant's review of funds to coincide with the next scheduled annual review of its financial affairs. An original copy of this audit or review will be provided to the National Board upon request. **It is not necessary to have a separate, independent audit/review for this award so long as program funds are treated as a separate element in the LRO's regular annual audit/review**. If the LRO does not have a certified annual audit/review, that audit/review must be provided by a Local Board designated Fiscal Agent for the LRO willing to account for the funds. **The audit submitted must be from the current year or one year prior. See Annex 12, page 103.**

A webinar providing background on audit requirements is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

All EFSP funded LROs (both governmental and not-for-profit) that expend $750,000 or more in Federal funds must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance), Audits of States, Local Government, and Nonprofit Organizations, which requires a single organization-wide audit. This $750,000 could be exclusively EFSP funds or a combination of EFSP and other Federal funds that an agency might be receiving. **Note: A copy of the audit report must be forwarded to the National Board annually along with the regular audit. EFSP funds must be clearly identified by ID number in the audit/review and Schedule of Federal Awards.**

Audits of units of government shall be made annually unless the state or local government had, by January 1, 1987, a constitutional or statutory requirement for less frequent audits. **LROs receiving funds in a single or multiple jurisdictions must identify each award individually by their LRO ID number in each jurisdiction under the Pass-Through Grantors Number on the Schedule of Expenditures of Federal Awards.**

8. Payment

A first payment shall be made to the LRO upon recommendation of the Local Board and approval by the National Board. Second payment requests include an interim report to be submitted and signed by each LRO. The request is also signed by the Local Board chair, and submitted to the National Board. For each LRO funded in the previous phase, second installments will be held until the jurisdiction's final Local Board report and documentation for the previous year has been reviewed and found to be compliant.

9. Financial Reporting Requirements

The National Board shall provide the LRO, through the Local Board, with the necessary reporting requirements in advance of report deadlines.

LROs shall submit their final report to the Local Board that will then be forwarded to the National Board approximately 45 days after the jurisdiction's program ending date or the date designated by the National Board.

10. Closeout

The following definitions shall apply:

a. "Closeout" is the process by which the National Board determines that all applicable administrative actions and all required work of the award have been completed.
b. "Disallowed costs" are those charges that the National Board determined to be unallowable in accordance with the legislation, National Board requirements and applicable Federal cost principles or other conditions contained in the award. The applicable cost principles are contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance.) If you are unsure of where to find this circular check with your local Congressional Representative, contact the National Board staff, or visit the Office of Management and Budget's website: www.omb.gov.

11. Suspension and Termination Procedures

The following definitions shall apply:

a. Termination – termination of this award means the cancellation of EFSP assistance, in whole or in part, under the award at any time prior to the date of completion.
b. Suspension – the suspension of this award is an action by the Local Board or National Board that temporarily suspends EFSP assistance under the award pending corrective action by the LRO or pending a decision by the National Board to terminate the award.
c. Local Board Authority – authority to suspend/reallocate all or a portion of an LRO's award at its discretion for any cause (i.e., inability to deliver services, suspected fraud, violation of eligible costs, changing need in the community, etc.).

12. Lobbying

Pursuant to 31 U.S.C. §1352, an LRO is prohibited from using federally appropriated grant funds for lobbying activities. This condition bars the use of Federal money for political activities, but does not in any way restrict lobbying or political activities paid for with non-Federal funds. This condition prohibits the use of Federal grant funds for the following activities:

A webinar detailing the process for submitting Certification Forms is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

- Federal, state or local electioneering and support of such entities as campaign organizations and political action committees;
- Direct lobbying of the Congress and State Legislatures to influence legislation;
- Grassroots lobbying concerning either Federal or state legislation;
- Lobbying of the Executive Branch in connection with decisions to sign or veto enrolled legislation; and,
- Efforts to utilize state or local officials to lobby the Congressional or State Legislatures.

Any LRO that will receive more than $100,000 in EFSP funds is required to submit:

- a certification form that EFSP funds will not be used for lobbying activities; and,
- a disclosure of lobbying activities (if applicable).

This certification and disclosure must be submitted prior to grant payment. See Annex 5, page 95 for certification and disclosure forms.

13. Debarment and Suspension Regarding Funding
    Pursuant to Executive Order 12549, Debarment and Suspension, all LROs, including Fiscal Agents, Fiscal Conduits, and agencies benefiting from EFSP funding under the Fiscal Conduit, must certify that they have not been debarred or suspended from receiving funds from or doing business with the Federal government. Each LRO will make this certification by signing the LRO certification Form which states the requirement. Each Local Board must certify they have received the LRO Certification Form from the LRO which state the requirements. Additionally, the Local Board will return each LRO Certification Form with the Local Board Plan.

Other Terms and Conditions

Duplication of Benefits

There may not be a duplication of any Federal assistance by governmental entities, per 2 CFR Part §225 (Uniform Guidance), basic Guidelines Section C.(c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts §220 and §230 and 48 CFR Part §31.2 (Uniform Guidance.)

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is non-disaster, supplemental funding. Expenditures charged in full to the EFSP grant may not also be charged to other awards/grants; nor may expenditures paid for with EFSP funding be charged to other awards/grants. The statements contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" and "Will expend monies only on EFSP eligible costs" as well as the Costs Eligibility sections of the EFSP Manual speak to this requirement.

Non-Supplanting Requirement

Grant funds will not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Applicants or grantees may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is supplemental (non-disaster) funding. The Preamble and the statement contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" speak to this requirement.

Hatch Act

The Hatch Act restricts the political activity of individuals principally employed by state or local executive agencies and who work in connection with programs financed in whole or in part by Federal loans or grants. All recipients of financial assistance will comply with the regulations, as applicable, to States and Local Governments, of the Hatch Act, 5 U.S.C. § 1501 – 1508, as amended.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs (both governmental and non-profit). These entities are responsible for determining the applicability of this requirement to the employees of their agency/organization as this requirement is fact-dependent and needs to be compared to the work of the individual employee.

False Claims Act and Program Fraud Civil Remedies

All recipients of financial assistance will comply with the requirements of 31 U.S.C. § 3729 which sets forth that no recipient of Federal payments shall submit a false claim for payment. Further, 38 U.S.C. § 3801 – 3812 contains administrative remedies for false claims and statements made.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Generally, this act provides for criminal penalties if false claims are filed.

Debarment and Suspension

Executive Orders 12549 and 12689 provide protection against waste, fraud and abuse by debarring or suspending those persons/agencies deemed irresponsible in their dealings with the Federal government. The recipient agency must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 2 CFR Part §3000 (Uniform Guidance.) *See also Appendix B. Certifications and Assurances*

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Is not debarred or suspended from receiving Federal funds" and the Financial Terms and Conditions sections in the EFSP Manual speak to this requirement.

Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. §2225(a), the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. §2225.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Should SSAs, Local Boards, or LROs conduct conferences, meetings, or trainings for EFSP using any administrative funding from the EFSP, they must comply with this requirement.

Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS recommends that all grantees who collect PII have a publicly-available privacy policy that describes what PII they collect, how they use the PII, whether they share the PII with third parties, and how individuals may have their PII corrected where appropriate. Grantees may also find as a useful resource the DHS Privacy Impact Assessments: The Privacy Office Official Guidance and the Privacy Impact Assessment Template (available on the DHS Privacy Office website at:

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and
http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. In order to meet the documentation requirements of the EFSP in certain program categories, it is necessary to obtain, retain, and provide, if requested, PII for clients served with EFSP funding. Additionally, there must be a system in place to ensure there is no duplication of service in the specific categories of rent/mortgage and utility assistance which may require the sharing of PII for this purpose. The National Board does not require and does not expect to receive PII beyond what is noted in the EFSP Documentation Requirements as stated in the Manual. Items that should not be submitted to EFSP as documentation include, but are not limited, to driver's licenses, Social Security Numbers or cards, pay stubs, etc.

Program Costs

LROs may not operate as vendors for themselves or other LROs, except for the shared maintenance fee for food banks.

Intent of Program

The intent of this program is for the purchase of food and shelter, to supplement and expand current available resources and not to substitute or reimburse ongoing programs and services or to start new programs.

A webinar providing an overview of the Emergency Food and Shelter Program is available on the EFSP website under ***Training Workshops****.*

The intent regarding the use of funds is that goods and services purchased or provided with EFSP funds should be used as necessary on a daily basis to help meet community need during the spending period. Food vouchers and purchased gift certificates/gift cards must be distributed and used during the jurisdiction's spending period. Large purchases made at the end of the spending period do not meet the intent of the program and will be considered ineligible.

Questions

LROs with questions regarding interpretation of the program's guidelines **must** direct them to the **Local Board** prior to action. Local Boards unsure of the meaning of these guidelines must contact the National Board staff at efsp@uww.unitedway.org or 703-706-9660 for clarification prior to advising the LRO. Webinars for training on the EFSP program are available on the EFSP website under **Training Workshops** on the left-hand menu after you login.

Client Eligibility

The EFSP is a needs based program for which clients must qualify.

The National Board does not set client eligibility criteria. Local Boards may choose to set such criteria. If the Local Board does not set eligibility criteria, the LRO may use its existing criteria or set criteria for assistance under this award. Any criteria used must provide for assistance to needy individuals without discrimination (age, race, sex, religion, national origin, disability, economic status or sexual orientation), sensitivity to the transition from temporary shelter to permanent homes, attention to the specialized needs of homeless individuals with mental and physical disabilities and illness and to facilitate access for homeless individuals to other sources of services and benefits. In providing assistance under the EFSP, verification of proof of citizenship or qualified alien status of any applicant for assistance is not required.

Note: Funds allocated to a jurisdiction may only be used for residents and transients within that jurisdiction.

No Fee Requirement for Services

No individual, family or household may be charged a fee for service or be required to attend religious/counseling services with relation to assistance received under EFSP. Please note, EFSP does not consider the receipt of donations to an agency to be the same as a fee for service. The receipt of donations does not prevent an agency from participating in the EFSP.

Payment to Vendors

Pay for all eligible program expenses by an approved method of payment directly to the vendor not more than 90 days after the invoice date. Approved payment methods are:

- LRO check
- LRO debit card
- LRO credit card - vendor issued (i.e., Sam's Club, other store vendor issued credit card)
- LRO credit card - third party (i.e., American Express, Visa)
- Electronic payment from LRO's bank account

A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

This program does not allow the reimbursement of staff/volunteers, other LROs or any party other than the vendor of services. Cash payments are ineligible.

Note: A Fiscal Agent/Fiscal Conduit must pay the vendor directly with an approved method of payment and may not reimburse other agencies for which they are serving as the Fiscal Agent/Fiscal Conduit.

Selection of Vendor

The LRO must select vendors whose requirements do not conflict with EFSP requirements. If a vendor's requirements conflict, the LRO must either use a different vendor or work with the vendor so EFSP guidelines are followed. LROs must provide a preference of vendors for, the purchase or acquisition of goods, products, or materials produced in the United States. Vendors must be able to provide a vendor originated invoice and must be able to accept an EFSP acceptable method of payment. (If a vendor only accepts cash, they may not be used for EFSP provided services unless they agree to accept an agency check or other EFSP acceptable payment method.)

Client Confidentiality

While the National Board respects the need for confidentiality, required documentation must be maintained.

When client confidentiality is protected by statute, LROs may use a unique identifier in providing and documenting services to clients. When submitting documentation where a unique identifier has been used, the LRO is responsible for providing documentation of the statute that applies to the clients served and services provided by their agency that are protected.

Eligible Program Costs

Special Documentation Note: Spreadsheets are required for all expenditures in all funding categories, including administration and must be submitted with each LRO's Final Report, even if complete documentation is not required. The spreadsheets may be generated from the agency's financial or case management system. The required elements for the spreadsheets are stated in the Required Forms section, page 83. Sample spreadsheets are available on the website under **Forms**.

Eligible program costs include, but are not limited to:

Food Purchases for Food Banks/Pantries and Other Food Providers

For food banks/pantries and other food providers, eligible costs include:

A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Food, food vouchers, seeds, gift certificates for food (gift certificates must be marked "Food Only", "Food & Diapers Only" or Food, Diapers & Feminine Hygiene Items Only"). **Note: Gift Cards are eligible only if they can be marked/encoded "Food Only", "Food & Diapers Only" or "Food, Diapers & Feminine Hygiene Items Only". The same applies for food vouchers and gift certificates. There must be an agreement with the vendor that food, food and diapers only or food, diapers and feminine hygiene items only will be allowed and no cash will be returned to clients.**

An allowance for maintenance fees charged by food banks may be granted by a Local Board at the prevailing rate. EFSP funds cannot be used to pay such a maintenance fee twice: by a food bank and by the food pantry/LRO it is serving.

Only food banks may operate under EFSP as both vendor and LRO.

EFSP funding is intended to provide for basic, nutritional meals on an ongoing basis not for non-nutritive items. The funding is not intended to be used for a singular event, special celebratory events, holiday baskets, etc. Also, dessert items (i.e., cookies, snack food, candy, etc.) used as part of a daily meal plan may be purchased in limited amounts.

Documentation required: spreadsheets, dated receipts/invoices/completed vouchers for food purchased and proof of payment to vendor by an acceptable payment method. Vouchers and gift certificates/gift cards must state "food items only" not "groceries or merchandise". Invoices and evidence of payment for the purchase of food gift certificates/gift cards are required. Additionally, a single copy of the gift certificate/gift card indicating restrictions [i.e., food items only, diapers and feminine hygiene items, if approved by the Local Board, no cash back] must be supplied along with the invoice. When using a food voucher, if all three signatures and dates are included, no itemized receipts will be necessary; however, if one or more signatures or the dates are missing, the itemized receipts must be submitted. The signatures must be from the client, caseworker and the vendor of service. See Annex 8 [page 99] for sample of food voucher.

Transportation for Food Banks/Pantries and Other Food Providers

Transportation expenses for picking up, delivery and distribution of purchased and donated food; contracted services or public transportation (e.g., taxi, local bus, subway). A dated mileage log at the Federal rate of $.545 cents per mile. (**Note**: The reimbursement rate is the rate in existence at the time of publication of this manual. The begin date applies as of January 1, 2018, and is to be used throughout the entire Phase.)

Documentation required: [1] dated mileage log (Note: The mileage log serves as the spreadsheet for the mileage allowance.), with departure, destination and trip purpose noted or [2] spreadsheet, receipts/invoices from contracted services or public transportation, and proof of payment to vendor by an acceptable payment method. See Annex 11 [page 102] for sample of mileage log.

Equipment and Consumable Supplies for Food Banks/Food Pantries

Purchase of small equipment **not exceeding $300 per item** and essential to the operation of food bank or pantry (e.g., shelving and storage containers).

Purchase of consumable supplies essential to the distribution of food (e.g., bags, boxes).

Documentation required: spreadsheet, dated, itemized receipts/invoices for equipment/supplies purchased and proof of payment to vendor by an acceptable payment method.

Food Purchases for Mass Feeding

For mass feeding sites, eligible expenditures include:

Food (hot meals, groceries). Dessert items (e.g., cookies, snack food, candy, etc.) used as a part of a daily meal plan may be purchased in limited amounts. Also allowable are vegetable seeds and vegetable plants cultivated in an LRO's garden on-site and canning supplies.

Documentation required: spreadsheet, dated receipts/invoices for food/seeds/plants purchased and proof of payment to vendor by an acceptable payment method.

Transportation for Mass Shelter/Mass Feeding

Local transportation expenses for picking up/delivery of food, transporting clients to a mass shelter (five or more beds in one location), or feeding site. (**Note:** The reimbursement rate is the rate in existence at the time of publication of this manual. (The begin date applies as of January 1, 2018 and is to be used throughout the entire Phase.) Limited to a dated mileage log at the Federal rate of $.545 cents per mile, contracted services or public transportation (e.g., taxi, local bus, subway).

Documentation required: [1] dated mileage log (Note: The mileage log serves as the spreadsheet for the mileage allowance.), with departure, destination and trip purpose noted or [2] spreadsheet, receipts/invoices from contracted services or public transportation, and proof of payment to vendor by an acceptable payment method. See Annex 11 [page 102] for sample of mileage log.

Consumable Supplies for Mass Shelter/Mass Feeding as Direct Cost

Purchase of consumable supplies essential to mass feeding (e.g., plastic cups, utensils, detergent, feminine hygiene items, etc.) and/or mass shelters of five or more beds (e.g., soap, toothbrushes, toothpaste, feminine hygiene items, cleaning supplies, etc.).

Supplies for mass shelter/mass feeding awards are included in per diem/per meal costs. An LRO may not be awarded additional funds for supplies if documenting their expenditures with a per meal or per diem schedule.

Documentation required: spreadsheet, dated receipts/invoices for supplies purchased and proof of payment to vendor by an acceptable payment method.

Equipment Purchases for Mass Shelters/Mass Feeding as Direct Cost

Purchase of small equipment **not exceeding $300 per item** and essential to mass feeding (e.g., pots, pans, plates, utensils, microwave oven, dining table and chairs, toasters, blenders, etc.) and/or mass shelters (e.g., beds, mattresses, cots, blankets, linens, etc.)

Equipment for mass shelter/mass feeding awards are included in per diem/per meal costs. An LRO may not be awarded additional funds for equipment, if documenting their expenditures with a per meal or per diem schedule.

Documentation required: spreadsheet, dated receipts/invoices for equipment purchased and proof of payment to vendor by an acceptable payment method.

Minor Emergency Equipment Repairs for Mass Shelters/Mass Feeding as Direct Cost

With prior Local Board approval, minor emergency repair of small equipment essential to mass feeding or sheltering not exceeding $300.00 in repair costs per item. Equipment eligible for repairs under the EFSP is any that if not repaired would force the mass feeding or mass sheltering site to terminate or curtail services (e.g., stove, refrigerator and hot water heater).

Routine maintenance and service contracts are <u>not</u> eligible.

Minor emergency equipment repair for mass shelter/mass feeding awards are included in per diem/per meal costs. An LRO may not be awarded additional funds for minor emergency equipment repair if documenting their expenditures with a per meal or per diem schedule.

Documentation required: spreadsheet, dated letter from Local Board indicating approval and dated invoices for equipment repair and proof of payment to vendor by an acceptable payment method.

Good judgment must be exercised in determining the most cost-effective use of EFSP funds when deciding an equipment purchase against a repair.

Limited First Aid Supplies for Mass Shelter/Mass Feeding

Limited amounts of basic first aid supplies (e.g., aspirin, Band-Aids, cough syrup, etc.) for mass shelter providers and mass feeding sites only.

Limited first aid supplies for mass shelter/mass feeding awards are included in per diem/per meal costs. An LRO may not be awarded additional funds for limited first aid supplies if documenting their expenditures with a per meal or per diem schedule.

Documentation required: spreadsheet, dated receipts/invoices for first-aid supplies and proof of payment to vendor by an acceptable payment method.

Building Code Repairs to Mass Shelter or Mass Feeding Facilities

Building Code/Accessibility Improvements – Emergency repairs to comply with building code citations for a mass feeding facility or mass shelter only, provided:

- The facility is owned by a not-for-profit LRO (profit-making facilities, leased facilities, government facilities and individual residences are not eligible); and,
- The building code plan and the contract detailing work to be done and material and equipment to be used or purchased is **approved in writing by both the National Board and the Local Board prior to the start of the emergency repair/building code project to ensure compliance with program guidelines;** and,
    - The repair is limited to bringing a facility into compliance with local building codes; maximum expenditure: **$2,500.00**;
    - All emergency repair work is completed and paid for by the end of the jurisdiction's spending period;
    - Facility must be used primarily for mass feeding or mass sheltering programs; and,
    - No award funds are used for **decorative** or **non-essential** purposes or **routine maintenance/repairs.**

Documentation required: spreadsheet, dated letters from both the National Board and the Local Board indicating approval and amount approved, copy of contract including cost or invoices for supplies and contract labor, document citing building code violation requiring the repair and proof of payment to vendor by an acceptable payment method.

Facility Improvements for the Disabled for Mass Shelter/Mass Feeding

Expenses incurred from accessibility improvements for the disabled are eligible for mass feeding or mass shelter facilities up to a limit of **$2,500.00**. These improvements may include those required by the Americans With Disabilities Act of 1990. A building code citation is not necessary for accessibility improvements. Both the National Board and the Local Board must approve in advance, any accessibility improvements.

All social service providers are mandated to comply with the Americans With Disabilities Act of 1990 (ADA).

Building code repairs and facility improvements are allowable for mass feeding and mass sheltering sites only. These costs must have prior National Board and Local Board approval even if using the per meal or per diem rate.

Documentation required: spreadsheet, dated copy of contract describing work to be done including cost, letters dated from the National Board and the Local Board indicating approval and amount approved, and proof of payment to vendor by an acceptable payment method.

Mass Shelter Expenses

For mass shelter providers, there are two options for eligible costs: Direct Costs or Per Diem Allowances. One option must be selected at the beginning of the program year and continued throughout the entire year.

Note: The documentation requirements for each option are noted with each option.

Option 1: Mass Shelter/Direct Cost

Reimbursement of actual direct eligible costs for supplies/equipment essential to the operation of the mass shelter (e.g., cots, mattresses, soap, linens, blankets, cleaning supplies, etc.). Refer to previous sections for description of direct eligible expenditures.

Documentation required: spreadsheet, dated receipts/invoices from vendor and proof of payment to vendor by an acceptable payment method.

Option 2: Per Diem Allowance

Per diem allowance of **exactly $7.50 or $12.50 per person** per night for mass shelter providers (five beds or more in one location), only if:

- Approved in advance by the Local Board; and,
- LRO's total mass shelter award is expended in this manner.

It is the decision of the Local Board to choose between the $7.50/$12.50 rates. This rate may vary from agency to agency depending on the level of services provided to the clients. The $7.50 or $12.50 rates, if elected, may be expended by the LRO for any cost related to the operation of the mass shelter; it is not limited to otherwise eligible items. The per diem allowance may be used to cover costs such as shelter rent, shelter utilities, and shelter staff salaries if necessary to provide a night of shelter. **The per diem allowance does not include the additional costs associated with food or the food per meal allowance.**

Documentation required: schedules showing daily rate of $7.50 or $12.50 and number of persons sheltered by date with totals. Note: The daily schedule serves as the spreadsheet for the per diem allowance. Supporting documentation must be retained on-site, e.g., invoices, service records and sign-in logs, proof of payment to vendor by an acceptable payment method. See Annex 9 [page 100] for sample.

Mass Feeding Expenses

For mass feeding programs, there are two options for eligible costs: Direct Cost or Per Meal Allowance. One option must be selected at the beginning of the program year and continued throughout the entire year.

Note: The documentation requirements are noted with each option.

Option 1: Mass Feeding/Direct Cost

Reimbursement of actual direct eligible costs for supplies/equipment essential to the operation of the mass feeding program (e.g., food, paper products, cleaning products, pots and pans, etc.). Refer to previous sections for description of direct eligible expenditures

EFSP funding is intended to provide for daily, basic, nutritional meal costs on an ongoing basis. The funding is **not intended to be used for a singular event, special events/celebratory events/holiday meals**, etc. Basic non-excessive meal costs may be applied towards special/celebratory/holiday meals served only as part of an ongoing program. Also, dessert items (e.g., cookies, snack food, candy, etc.) used as part of a daily meal plan may be purchased in limited amounts.

Documentation required: spreadsheet, dated receipts/invoices from vendor relating to operation of facility and proof of payment to vendor by an acceptable payment method.

Option 2: Per Meal Allowance

Per meal allowance of **exactly $2 per meal served** if:

- Approved in advance by the Local Board; and,
- LRO's total mass feeding award is expended in this manner.

The $2 per meal allowance, if elected, may be expended by the LRO for any related cost; it is not limited to otherwise eligible items. The per meal allowance may be used to cover costs such as rent, utilities, and staff salaries for those staff necessary for the preparation and serving of food. **The per meal allowance does not include the additional costs associated with shelter or the per diem shelter allowance**.

EFSP funding is intended to provide for daily, basic, nutritional meal costs on an ongoing basis. The funding is **not intended to be used for a singular event, special events/celebratory events/holiday meals**, etc. Basic non-excessive meal costs may be applied towards special/celebratory/holiday meals served only as part of an ongoing program. Also, dessert items (e.g., cookies, snack food, candy, etc.) used as part of a daily meal plan may be purchased in limited amounts.

Documentation required: daily schedule showing meal rate of $2 and number of meals served by date with totals. Note: The daily schedule serves as the spreadsheet for the per meal allowance. Supporting documentation must be retained on-site, (i.e. invoices, service records and proof of payment to vendor by an acceptable payment method). See Annex 10 [page 101] for sample.

Other Shelter Assistance (Off-Site Lodging Hotel/Motel)

For other shelter assistance, eligible program costs include off-site emergency lodging (room and tax only) in a hotel/motel or other off-site shelter facility provided conditions 1 and 2 below are met.

1. No appropriate on-site shelter is available; and
2. It is limited to 30-days assistance per individual or household during the current program period. **(Note: Assistance may be extended in extreme cases with prior Local Board written approval.** A copy of this approval must accompany the LRO's documentation.)

Documentation required: spreadsheet, dated vendor receipts/invoices from off-site shelter [hotel/motel/etc. on their stationery] and proof of payment to vendor by an acceptable payment method. Receipts/invoices must include client's name, length of stay and charge per night. Note: If using a unique identifier when submitting documentation for clients served, the LRO is required to provide documentation of the statute which applies to the protecting of clients and the services provided.

Rent/Mortgage Assistance/Eviction Prevention

For rent/mortgage assistance, eligible program costs include:

Limited emergency rent or mortgage assistance principal and interest only (P&I), for individuals or households provided conditions "a" through "f" below are met:

a) Payment is in arrears or due within **10** calendar days.
b) other resources have been exhausted;
c) The client is 1) a resident of the home or apartment and 2) responsible for the rent/mortgage on the home or apartment where the rent/mortgage assistance is to be paid;

d) Payment is limited to a maximum of one month's assistance for each individual or household; assistance can be provided 1) for a full month's rent/mortgage (P&I) all at one time, or 2) in separate payments over a period of up to 90 consecutive days so long as the total amount paid does not exceed one month's cost and is paid by a single LRO;
e) Assistance is provided only once in a jurisdiction by a single LRO in each award phase for each individual/household (with exception of item d [2] above);
f) The month paid is the current amount or part of the arrearage that is still owed at the time of payment and is from the current award phase and,
g) Payment must guarantee an additional 30 days service.

Notes: Late fees, legal fees, deposits, and condo fees are ineligible.

If a client has two mortgages, assistance may only be given for the first mortgage for the client's residence on the principal and interest.

Payments for mobile homes and lots are eligible and can be paid to a mortgage company or to a private landlord.

If the bill is not in the client's name, documentation must be provided to prove that it is the client's responsibility to pay the bill.

Documentation required: spreadsheet, dated and signed letters from landlords [must include amount of one month's rent and due date] mortgage company's letter and/or copy of mortgage loan coupon showing monthly mortgage amount and date due and proof of payment to vendor by an acceptable payment method. Payments must be made to the landlord ONLY, not to both client and landlord. Documentation must support the payment made and is limited to a maximum of one month's assistance. A copy of the client's lease is only accepted when paying the first month's rent. **See Annex 7, page 98.**

First Month's Rent Payment

First month's rent may be paid when an individual or household:

a) Is transient and plans to stay in the area for an extended period of time; or
b) Is moving from a temporary shelter to a more permanent living arrangement; or
c) Is being evicted because one-month's payment will not forestall eviction in current housing.

First month's rent:

a) **Cannot** be provided in addition to emergency rent/mortgage assistance under item 1 above.
b) **May** be provided in addition to assistance provided for off-site or mass shelter.
c) **May** only be provided by a single LRO in a jurisdiction each award phase for an individual/household.
d) **Cannot** be paid more than **30** calendar days before occupancy.

Documentation required: spreadsheet, dated and signed letters from landlords or current lease [must include amount of first month's rent and due date] and proof of payment to vendor by an acceptable payment method.) **See Annex 7, page 98.**

Documentation must support the payment made which is limited to a maximum of one month's assistance.

Note: First month's rent is the only situation in which the lease is acceptable documentation.

Rent/Mortgage Assistance Special Note

EFSP will allow a one-time payment of $250 or less for rent/mortgage assistance where the past due balance is $250 or more without the verification of the monthly rent/mortgage amount. Verification of an outstanding balance, month covered, and due date for the rent/mortgage is still required.

Utility Assistance

For utility assistance, eligible program costs include:

Limited metered utility assistance (includes gas, electricity, water, and sewer service) for individuals or households. The client must be 1) a resident of the home or apartment and 2) responsible for the utility on the home or apartment for which utility assistance is to be paid provided conditions "a" through "f" below are met:

a) Payment is in arrears or due within **10** calendar days;
b) All other resources have been exhausted (e.g., State's Low-Income Home Energy Assistance Program);
c) Payment is limited **to a maximum of one month's** billed **usage** cost for each utility (e.g., gas, electric and water) for each individual or household;
d) The month paid is the current amount, budget amount **or** part of the arrearage that is still owed at the time of payment and that is either from the current award phase or for continuous service prior to award phase that remains past due;
e) Each utility is paid only once in each award phase for any individual or household; and
f) Payment guarantees an additional 30 days service.

Note: If paying from a past due notice, a breakdown of the monthly usage charges must be obtained (a copy of current client billing and payment history by month from the utility provider). The highest one month amount from the phase/year may not be paid unless it is part of the amount currently owed at the time of payment. Where clients have made a partial payment, the payment is generally applied to the oldest past due amount. The entire EFSP amount paid may only be a maximum one month amount that is all still past due. Documentation must clearly indicate which month is being paid from the breakdown of monthly charges and must be part of the past due amount still owed at the time of payment.

Reconnect fees are eligible. Required fees that are included on the bill are eligible. Level billing or budget payments are eligible. Elective fees/items are not eligible.

Late fees and deposits are not eligible. Repayment agreements beyond the one month billing are not eligible.

Limited non-metered utility assistance (includes oil, firewood, coal, propane) for individuals or households provided conditions "a" through "c" below are met:

a) All other resources are exhausted (e.g., State's Low-Income Home Energy Assistance Program).
b) Payment is limited to a one-time delivery (e.g., the minimum amount of delivery for firewood, minimum gallons of fuel oil, propane).
c) Each utility is paid only once in each award phase for any individual or household.

The intent of non-metered utility assistance, like metered utility assistance, is to provide 30 days of service.

Note: A maximum of a one month's utility bill may be paid for a client/household by a single LRO in a jurisdiction. Multiple LROs may not join together and each pay a portion of a single utility bill. Rental fees for propane tanks or other equipment are not eligible.

If the bill is not in the client's name, documentation must be provided to prove that it is the client's responsibility to pay the bill.

Documentation required: (1) spreadsheet, metered utilities [e.g., electricity, water], the most recent copy of past due or current utility bill with a breakdown which clearly identifies the one month's charges being paid including due date and proof of payment to vendor by an acceptable payment method; (2) spreadsheet, non-metered utilities [e.g., propane, firewood], receipts/invoices for fuel including due date or delivery date and canceled checks or documentation for other acceptable payment methods. (Estimated delivery quotes are not acceptable.)

EFSP allows a payment of $100 or less on a utility bill with a past due amount or shut-off notice of $100 or more without the monthly breakdown showing the client's monthly billing amount**.** A bill is still required to show the outstanding balance, but a service period is not required.

Note: Utility disconnects and termination notices often do not show the amount owed by month. The monthly information must be verified with the utility company (a copy of current client billing and payment history by month from the utility provider) and written onto the notice or metered utility verification form. If one month's service cannot be verified from the bill or with the utility company, the LRO may pay up to $100 per individual or household provided at least $100 is owed on the bill. This $100 is not a cap. If an LRO wishes to pay more than $100, the one month amount paid must be verified.

Documentation required: spreadsheet, dated copy of utility bill, disconnect, termination, final or shut-off notices with one month verification, if necessary, and proof of payment to vendor by an acceptable payment method. Documentation must state which month's usage is being paid from the breakdown of monthly charges as well as the due date.

For additional information on utility assistance guidelines, see Annex 14 [page 107].

Metered Utility Verification Form

The National Board encourages the use of the Metered Utility Verification Form (**along with a copy of the current utility bill or the client's billing and payment history from the utility company**) as the preferred method for verifying eligible utility assistance. The bill must be attached to the metered utility verification form and the information on the bill must support the information completed on the form. ***Documentation must state which month' usage is being paid from the breakdown of monthly charges as well as the due date.*** The form must be completed in its entirety and proof of payment must be provided with the form and supporting documentation. See Annex 6, page 97 for sample metered utility verification form.

Diapers

For all service providers, the purchase of diapers is eligible as described below:

- For direct distribution to individuals.
- For residents of mass shelters.
- For vouchers to grocery stores.

Note: Local Boards must use discretion in selecting LROs to provide this service, taking into consideration the cost effectiveness of bulk purchasing.

Documentation required: spreadsheet, dated receipts/invoices for diapers purchased and/or proof of payment to vendor by an acceptable payment method.

Feminine Hygiene Items

For all service providers, the purchase of limited, basic feminine hygiene items is eligible as described below:

- For direct distribution to individuals.
- For residents of mass shelters.
- For vouchers to grocery stores.

Note: Prior Local Board approval is required. Local Boards must use discretion in selecting LROs to provide this service, taking into consideration the cost effectiveness of bulk purchasing.

Documentation required: spreadsheet, dated receipts/invoices for feminine hygiene items purchased and/or proof of payment to vendor by an acceptable payment method.

Charging Back Expenditures

REMINDER: LROs may submit expenditures for items and services procured prior to receiving EFSP funds. The expenditures must be incurred during the spending period and be eligible under EFSP program guidelines. All documentation requirements for the category in which the expenditures are reported will apply.

Ineligible Program Costs

The following purposes for which funds **cannot be used** include, but are not limited to:

A webinar providing background on eligible and ineligible expenditures is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

1. **CASH PAYMENTS** of any kind, including checks made out to cash, petty cash expenditures, money orders or cashier checks purchased with cash.
2. Payments made in any form **other than** LRO check, LRO credit card, electronic payment from the LRO's bank account or LRO debit card to vendor. (Payments may not be made to clients.)
3. Advances or reimbursements to staff, volunteers, or clients for program purchases. Cash back to client from gift certificates/vouchers.
4. Payments made more than 90 days after the receipt/invoice or client intake date.
5. Reimbursement to other LROs or agencies including those agencies under an LRO serving as a Fiscal Agent or Fiscal Conduit.
6. Fees: No bank fees, membership fees to food banks, shopping clubs, etc.
7. Deposits of any kind.
8. Administrative cost reimbursement to state or regional offices of governmental or voluntary organizations.
9. Use of administrative funds for purposes other than administering EFSP.
10. No meals/food or beverages may be purchased for EFSP Local Board meetings with the administrative funding.
11. Lobbying efforts.
12. Expenditures made outside jurisdiction's spending period. All award funds must be expended within the current phase begin and end dates.
13. No pre-payment for expenses or services not yet rendered or incurred (i.e., where no goods or services have been provided prior to payment during program period).
14. Telephone costs, salaries, or office equipment by LRO, except as administrative allowance authorized by the Local Board, and limited to the total allowance (2%) of the LRO's award.
15. Rental security deposit or revolving loan accounts.
16. Payments of more than one month's mortgage, first month's mortgage, or down payment on mortgage. Payment on home equity loan or home equity line of credit.
17. Purchase/lease of real property (land or buildings) of any kind.
18. Property taxes of any kind, escrow accounts, insurance, legal fees, or condo fees.
19. Late fees for rent, mortgage, or utility assistance.
20. Payment of more than one month's rent.
21. Payment of more than one month's portion of a utility bill.
22. Payment of more than $300 per item of essential equipment.
23. Lease-purchase agreement or equipment leases.
24. Routine maintenance of LRO facilities, routine maintenance or service contracts on equipment.
25. Construction, rehabilitation or remodeling for expansion of service.
26. Repairs of any kind to an individual's home or apartment.
27. Supplies or equipment purchases for an individual's home or private use.
28. Transportation of people **not** related to the direct provision of food or shelter (e.g., to another agency, another city, etc.). Also transportation to a relative's or friend's home.
29. Gas or repairs for client-owned vehicles, maintenance or repairs to LRO-owned vehicles (e.g., oil, tires, etc.). Also, insurance for LRO-owned or client-owned vehicles.
30. Emergency assistance for disaster victims, supplies bought for or in anticipation of a disaster (i.e., fires of any kind, floods, tornadoes, etc.).

31. Prescription medication, medical supplies, or vitamins.
32. Clothing (except underwear/diapers for clients of mass shelters, if necessary).
33. An LRO may not operate as a vendor for itself or other LROs, except for the shared maintenance fee for food banks.
34. LROs may not charge fees for services provided with EFSP funds.
35. Direct expenses associated with new or expanded services or to prevent closing.
36. Encumbrance of funds; that is, no pre-payments for goods or services not received or not rendered which are paid for prior to the end of the jurisdiction's program.
37. No payments on account. Funds cannot be placed on deposit with a vendor and drawn down.
38. Meal costs in excess of the normal daily basic meal cost.
39. Reserving or withholding funds in anticipation of a future need (e.g., holiday events, holiday baskets, special programs, celebratory events).
40. Staff events/functions/meals of any kind.
41. Supplementing foster care costs, where an LRO has already received payment for basic boarding and feeding of a client. Comprehensive foster care costs beyond food and shelter.

Administrative Allowance

By law, there is an administrative allowance limitation of two percent (2%) of total funds received by the Local Board excluding any interest earned. **This allowance is a part of the total award — not in addition to the award.**

The local administrative allowance is intended for use by Local Boards and/or LROs and not for reimbursement of program or administrative costs to an LRO's national organization (its state or regional offices) which might be incurred as a result of this additional funding. LROs wishing to use part of their grant for administration must include this request in their application for funding.

Distribution of the allowance among LROs is decided by the Local Board. No LRO may receive an allowance greater than 2% of that LRO's award amount unless the LRO is providing the administrative support for the Local Board and is approved by the National Board. The administrative allowance may only be allocated in whole dollar amounts.

The Local Board may elect to use, for its own administrative costs, all or any portion of the 2% allowance. The Local Board may apply the administrative allowance toward advertising expenses, if necessary.

Administrative costs incurred in the processing of Final Reports are allowable from the date the Final Reports are made available from the National Board until the due date of the jurisdiction's Final Report. The day the jurisdiction's Final Report is due would be the last day administrative expenditures would be considered eligible. Any administrative costs incurred after the due date would be considered ineligible.

The administrative allowance for the Local Board and the other LROs cannot exceed 2% of the jurisdiction's total allocation, rounded to the nearest whole dollar. Any amount less than fifty cents is rounded down and fifty or more cents is rounded up. The maximum administrative allowance is noted on the Local Board plan. Any of the administrative allowance not spent must be put back into program funds for additional services.

Documentation required: Spreadsheets must be submitted along with the final report. LROs receiving funds for administration must retain supportive documentation that the funds were spent on the direct administration of EFSP.

SAMPLE ELIGIBLE AND INELIGIBLE EXPENDITURES; NOT LIMITED TO THESE ITEMS
FOR A MORE COMPREHENSIVE LIST AND FURTHER EXPLANATION OF THESE CATEGORIES, SEE PAGES 63-77

CATEGORY	SAMPLE ELIGIBLE ITEMS	SAMPLE INELIGIBLE ITEMS
SERVED MEALS	Any food used in served meals (cold or hot); costs of transporting food to site or client; daily per meal schedule ($2/meal).	Any items not related to actual feeding of a client. Excessive meal costs. Excessive snack food items. Staff events/functions.
OTHER FOOD	Food vouchers, food boxes, grocery orders, restaurant vouchers, etc., food purchased for food banks and/or food pantries, vouchers, gift certificates (limited), transportation costs.	Tobacco, alcohol, paper products. Any non-food item. Excessive meal costs. Excessive snack food items. Staff events/functions.
MASS SHELTER	Direct expenses associated with housing a client (e.g., supplies, linens, etc.); transportation costs; daily per diem schedule ($7.50 or $12.50).	Year-round ongoing operational costs (rent, pest-control, garbage pick-up, utilities); salaries of employees.
OTHER SHELTER	Any reasonable hotel/motel or non-profit facility acting as a vendor; SRO; actual charge by vendor, per night; 30 day limit	An LRO receiving funds may not act as a vendor for themselves or another funded LRO. Stay beyond 30 days per phase. Prepayments for hotel/motel.
SUPPLIES/ EQUIPMENT	$300 per item maximum. Mass feeding: pots, pans, toasters, blenders, microwave, utensils, paper products, any item essential to the preparation of food, shelving. Diapers. Mass shelter: cots, blankets, pillows, toilet paper, soap, toothpaste, toothbrushes, cleaning materials, limited first-aid supplies, underwear/diapers. Emergency repair of essential small equipment ($300 limit for both mass feeding and mass shelter.)	Decorative curtains, carpet, clothing, TVs, computer systems, office equipment, bedroom furniture other than beds (nightstand, lamps, etc.).
REHABILITATION/ EMERGENCY REPAIRS	Building code violations, handicap ramp, etc. ($2,500 limit); Emergency repairs are only allowed in support of per meal schedule or per diem schedule for mass feeding sites or mass shelters. All expenditures require prior approval by both the National Board and Local Board.	Rehabilitation for expansion, routine maintenance, or to prepare facility to open as direct costs.
RENT/MORTGAGE	Past due rent or mortgage payment (P&I only); current rent or mortgage due within 10 calendar days; first month's rent; lot fee for mobile homes. Limited to one month's cost for an individual/family.	Payment for rent/mortgage exceeding one month's cost; deposits; down-payment for purchase of home; late fees; legal fees; taxes, insurance & escrow accounts.
UTILITIES	Past due bills, or current bills due within 10 calendar days, for gas, electricity, oil, water; reconnect fees. May pay budgeted or actual amount. Limited to one-month's amount that is part of the arrearage at the time of payment or current one month amount. One-time delivery of firewood, coal, propane.	Payments for utilities exceeding one month's cost; deposits; cable, or satellite TV bills; phone bills; internet service; late fees.
ADMINISTRATIVE ALLOWANCE	Limited to 2% of total funds received by jurisdiction; any expenses associated with administering this program (telephone costs, stamps, etc.).	Administrative expenses not related to the EFSP program.

Required Documentation

All EFSP documentation must be obtained and retained as noted in this manual. Documentation may be requested at any time, even if not required initially with the Final Report. Documentation for all program areas, including administration, must be provided when requested.

Spreadsheets are required to be submitted along with documentation for all expenditure categories. The spreadsheets may be generated from the agency's financial or case management system. The required elements for the spreadsheets are stated in the Required Forms section, page 83. Sample spreadsheets are available on the website under Forms.

A webinar providing guidance on preparing spreadsheets is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Documentation refers to those accounting records that support payments for EFSP expenditures. Each payment re-quires two basic accounting records.

First, a copy of the LRO's proof of payment made not more than 90 days following the invoice/purchase date or date of intake is required. Proof of payment would include as necessary: LRO's canceled check returned from the bank payable to the vendor; LRO's bank statement showing electronic payment or debit card payment to vendor; or LRO's canceled check payable to the credit card company. Do not copy either side of a check that has **not** been canceled by the bank unless submitting with bank statement for which cancelled checks are not returned.

Note: When a check goes through the bank, it is generally encoded on the bottom of the check. These numbers represent the amount for which the check was processed. The front of the check shows the date of payment and the payee. The bank statement verifies that the check was debited from the LRO's account.

For electronic checks and debit purchases, the bank statements must clearly identify the payee by name for each transaction (not a string of codes).

When checks are converted electronically at the time of purchase, it is similar to the use of a debit card. The money is immediately placed on hold in the account by the bank. EFSP requires copies of the bank statement to support expenditures paid with agency's electronically converted check and debit card payments.

If an LRO cannot provide copies of both sides of the canceled check because the LRO's bank does not return checks, the following items are acceptable alternatives:

- Facsimile copies/images of canceled checks (front) from the LRO's checking account statements. **If submitting facsimile copies/images of checks, the copies must be large enough to read and be clearly legible. (Please enlarge prior to photo copying.)**
- Substitute bank generated checks from the LRO's checking account statements. Copies of checks may be available via your bank's website. **Copies of bank generated checks must be large enough to read the check date and to whom the check is written. (Please enlarge prior to photo copying.)** If the bank generated checks do not show a cancellation on the front, then the bank statement must also be submitted.
- LRO's checking account statements along with a copy of the front of the check when it was issued by the LRO.

Second, a copy of the **vendor's itemized invoice. All copies of documentation must be clearly legible.** An acceptable invoice has the following characteristics:

- It must be vendor-originated and have name of vendor.
- It must have name of purchaser and have date of purchase.

- It must be itemized (description of each item, number of each item and cost of each item).
- It must have total cost of purchase.

Documentation may also include:

- Credit card statement showing purchase and payment along with itemized receipt of purchase.
- Vouchers with detailed description of goods or services provided,
- Daily per diem shelter allowance schedule. (See Annex 9, page 100),
- Daily per meal allowance schedule. (See Annex 10, page 101).
- Per trip mileage logs at the allowed rate of $0.545. (See Annex 11, page 102).

Client Confidentiality in Documentation Submitted:

- In submitting documentation to the National Board with their Final Report, LROs providing services to clients where confidentiality is protected by statute may use a unique identifier.
- If using a unique identifier when submitting documentation for clients served, the LRO is required to provide documentation of the statute which applies to the clients served and services provided that are protected.

Note: The National Board reserves the right to request additional documentation as deemed necessary to support expenditures under the EFSP (e.g., landlord letters, billing and payment histories, sign-in logs).

*A webinar providing background on common compliance issues is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

All documentation submitted for review must be complete, clear and completely legible. Please enlarge prior to copying to ensure readability, if necessary.

All LROs must:

1. Have records audited by an independent certified public accountant if receiving $100,000 or more in EFSP funds; have an annual accountant's review if receiving from $50,000 to $99,999;
2. Keep their documentation records for three years after each end of program year. Documentation includes but is not limited to: LRO Certification form, application for funding, Local Board approval of funding, Second Payment Request/Interim Report, Final Report, all expenditure documentation (vendor invoices/receipts and proof of payment);
3. Be subject to review and/or audit by the National Board, FEMA and/or the DHS Office of Inspector General during those three years — **(Note: Documentation must be retained longer than the three-year period if compliance problems are identified. Once compliance problems are resolved, the three-year retention period begins.)**;
4. Complete and return to the National Board the interim and final LRO reports;
5. Return any unused award funds to the National Board at the end of the spending period ($5.00 or more). Checks must be made payable to United Way Worldwide/Emergency Food and Shelter National Board Program, 701 North Fairfax Street, Alexandria, Virginia 22314 and include Local Board ID and LRO ID numbers on the face of the check in the upper right corner; and,
6. All award funds must be expended during the current phase begin and end dates.

*A webinar providing background on audit requirements is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

The ending date for the spending period in each jurisdiction for all award types is selected by the Local Board. The jurisdiction's spending period start and end dates are noted on the Final Report.

*A webinar detailing the process for submitting a Final Report is available on the EFSP website under **Training Workshops** on the left-hand menu after you login.*

Who Must Submit Documentation

All LROs will be required periodically to submit documentation to the National Board to ensure continued program compliance.

Any LRO not funded in the previous phase will be considered new for compliance purposes and will be required to submit documentation. LROs having major compliance exceptions or those not clearing in a timely fashion will be required to submit documentation for the next phase. Any LRO having ineligible costs will be required to submit documentation.

A webinar detailing the process for submitting a Final Report and common compliance issues is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

LROs whose audits have reported findings will, at the discretion of the National Board, submit documentation.

Copies of all documentation (from LROs required to submit) must be submitted to the Local Board when requested after the end of the jurisdiction's spending period. The Local Board is then **required to review and submit all documentation** to the National Board after the end of the jurisdiction's spending period by the specified deadline.

Each LRO is responsible for ensuring that the copies of documentation submitted are **legible** and **organized** as indicated in the Final Report instructions.

Poorly copied or unorganized documentation may be returned to the Local Board for correction, and may result in a delay in receiving additional funding for the LRO and/or the jurisdiction.

Note: In certain instances, the National Board may request submission of documentation to comply with outside audit requests.

- The audit firm selected to review National Board records will review a statistically valid random sample of agencies which were NOT required to submit documentation under normal procedures.
- National Board staff will conduct periodic site reviews in funded jurisdictions. In each jurisdiction selected, several LROs will be chosen.
- FEMA staff will conduct site reviews in several randomly selected jurisdictions.
- The DHS/OIG will continue its practice of random site audits.
- FEMA's Office of Chief Financial Officer may also conduct reviews including, but not limited, to compliance with the Improper Payments Elimination and Recovery Act (IPERA).

Reminder: Local Boards and LROs must submit complete, accurate, legible documentation when requested in a timely manner. Failure to comply promptly with any documentation request may jeopardize a jurisdiction's or LRO's funding.

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 35

ANNEXES

701 North Fairfax Street
Alexandria, Virginia 22314

p. 703-706-9660
f. 703-706-9677

efsp@uww.unitedway.org
www.efsp.unitedway.org

Required Forms

The following pages include samples of the required forms that must be used by participants of the EFSP. *These forms may not be altered.* Copies of the spreadsheet templates are available under Forms on the EFSP Website. All certification forms will be sent to the required signers as part of the e-signing process. Please direct any questions regarding the forms to the National Board staff.

Annex 1: Spreadsheets

Spreadsheets are required as part of the documentation requirements to support all expenditures made with EFSP funds. Samples of the required spreadsheets and elements for each category are included in this manual and can be found on the EFSP website under **Forms**. The following is a list of the elements required for the spreadsheets.

A webinar providing guidance on preparing spreadsheets is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Required Elements with Explanation

1. **Billing Period Covered with Payment**: service period paid for client's utility bill; if a non-metered utility bill is paid, indicate not applicable (N/A) on the spreadsheet. The required date format is MM/DD/YY-MM/DD/YY. If an LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the spreadsheet. Enter "N/A" in the column labeled "billing period covered".
2. **Building Code Citation Date**: date the agency (feeding or shelter site) received the citation from the local city/county government indicating required work needed on building where services are provided. The required date format is MM/DD/YY.
3. **Client First Name**: legal name of the individual seeking assistance (this only applies to other shelter, rent/mortgage and utility categories.)
4. **Client Last Name**: legal name of the individual seeking assistance (this only applies to other shelter, rent/mortgage and utility categories.)
5. **Client Street Address**: the physical residence of the individual seeking assistance; the individual must be responsible for the service at the address (this only applies to rent/mortgage and utility categories.) P.O. Boxes are not allowed.
6. **Dates of Stay**: for assistance made in the Other Shelter category, indicate the dates the clients stayed in the motel, hotel, etc. The required date format is MM/DD/YY-MM/DD/YY.
7. **Due Date**: date the client's rent/mortgage and/or utility bills had to be paid (this only applies to rent/mortgage and utility categories.) For rent please use the due date per the lease, not the due date listed on the eviction notice. The required date format is MM/DD/YY.
8. **Delivery Date**: if a non-metered utility bill (propane, firewood, coal, kerosene) is paid, indicate the date of delivery to the client. The required date format is MM/DD/YY.
9. **EFSP Portion of Invoice Amount**: portion of the purchase paid with EFSP funds; the column must be totaled on each page if multiple pages are required for the category. The total amount must be provided for the category on the last page, if multiple pages are required.
10. **Invoice/Receipt Amount**: total cost of purchase as listed on the invoice or receipt.
11. **Invoice/Receipt Date**: date the vendor prints on the invoice or receipt. The required date format is MM/DD/YY.
12. **Invoice/Receipt Number**: preprinted number on the invoice/receipt from vendors; if there is no invoice number, indicate not applicable (N/A) on the spreadsheet.

13. **Landlord/Mortgage Company Name**: individual or company that a client is required to pay their rent or mortgage payment to each month
14. **Member Agency Name**: food banks must provide the name of the agency(ies) that received food when using a shared maintenance fee.
15. **Month Covered with Payment**: service period paid for client's rent/mortgage or utility (month paid.) The required date format is MM/DD/YY-MM/DD/YY, should indicate the month of coverage provided by the payment.
16. **Monthly Rent/Mortgage**: a client's regular/usual rent or mortgage (principal and interest only) (**no deposits, late fees or other fees**) for one month as listed on the client's lease or mortgage papers.
17. **Page Numbers**: number all pages of the spreadsheets, when multiple pages are required for a category.
18. **Payment/Check Clear Date**: date the payment/check goes through banking system (also known as cancellation date of a check); EFSP generally references the check or the bank statement for this information. If an agency's debit/credit card is used, the date will be the same as the purchase date. The required date format is MM/DD/YY.
19. **Payment/Check Date**: date the payment/check is issued (date printed on the check, money order, etc.) to pay vendors; if an agency's credit/debit card is used, indicate the date of the purchase (**do not include the card number.**) The required date format is MM/DD/YY.
20. **Payment/Check Number**: preprinted number on check, money order, etc. used to pay vendors for service; if an agency's credit/debit card is used, indicate credit card or debit card in the spreadsheet (**do not include the card number.**)
21. **Payroll Registers**: payroll registers from the LRO's system for all employees who worked on the EFSP and the percentage of time charged to EFSP.
22. **Phase and LRO Identification (Name and Number)**: provide the Phase number and the LRO's name and 9-digit ID number.
23. **Total Check Amount**: cost paid to vendors for services provided for agency or clients (can include partial or total EFSP payment.)
24. **Type of Repair**: for expenditures made in the REHABILITATION category, briefly explain the type of repair.
25. **Type of Service**: for utility payments, indicate if the assistance was for gas, electric, water, propane, kerosene, firewood or coal.
26. **Vendor Name**: company or individual that provided services for agency or clients.

Served Meals

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Served Meals** category (**when not using the per meal allowance**) with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Ensure that your agency's name is included on the page along with your LRO 9-digit ID number and the Phase number.

A spreadsheet is required when not using the per meal allowance. The per meal schedule replaces the spreadsheets.

Phase Number:	35	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

SERVED MEALS EXPENDITURES - DIRECT COST

(A spreadsheet is required when not using the per meal allowance. The per meal log replaces the spreadsheet.)

Payment/Check Number	Payment/Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
1234567	06/01/18	06/05/18	05/12/18	INV123	Sample Vendor	150.00	150.00	150.00
7654321	07/01/18	07/08/18	06/15/18	INV155	Other Vendor	850.00	850.00	500.00
							Total	650.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Sample Daily Per Meal Log

DAILY PER MEAL LOG

Phase Number:	35		
LRO ID Number:	123456789		
(9 digits)	Sample LRO		
	LRO Name		
	123 Sample Street		
	Street Address		
	City, State, Zip		
	City, State, Zip		
Date (Month/Date/Year)	**Number of Meals Served**	**Per Meal Rate ($2.00)**	**Total**
06/01/18	100	$ 2.00	$ 200.00
06/02/18	75	$ 2.00	$ 150.00
06/03/18	80	$ 2.00	$ 160.00
06/04/18	90	$ 2.00	$ 180.00
Total Number of Meals	345	**Grand Total**	$ 690.00

Per meal log must show a daily count. Sample per meal log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Other Food

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Other Food** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	35				Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.			
LRO Name:	Sample LRO							
LRO ID (9 digits):	123456789							
OTHER FOOD EXPENDITURES								
Payment/Check Number	**Payment /Check Date (MM/DD/YY)**	**Payment /Check Clear Date (MM/DD/YY)**	**Invoice/Receipt Date (MM/DD/YY)**	**Invoice/Receipt Number (If no number, enter N/A)**	**Vendor Name**	**Invoice/ Receipt Amount**	**Total Check Amount**	**EFSP Portion of Invoice Amount**
963	08/05/18	08/28/18	08/01/18	INV12345	Other Food Supplier	895.00	895.00	895.00
1012	10/04/18	12/13/18	08/01/18	ABC985	Sample Vendor	594.00	594.00	235.00
							Total	**1,130.00**
Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report								

Mass Shelter

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Mass Shelter** category (**when not using a per diem allowance**) with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

A spreadsheet is required when not using the per diem allowance. The per diem schedule replaces the spreadsheets.

Phase Number:	35				Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.			
LRO Name:	Sample LRO							
LRO ID (9 digits):	123456789							
MASS SHELTER EXPENDITURES - DIRECT COST								
(A spreadsheet is required when not using the per diem allowance. The per diem log replaces the spreadsheet.)								
Payment/Check Number	**Payment /Check Date (MM/DD/YY)**	**Payment/Check Clear Date (MM/DD/YY)**	**Invoice/Receipt Date (MM/DD/YY)**	**Invoice/Receipt Number (If no number, enter N/A)**	**Vendor Name**	**Invoice/ Receipt Amount**	**Total Check Amount**	**EFSP Portion of Invoice Amount**
145	09/15/18	10/04/18	07/29/18	INV951	Sample Vendor	847.00	847.00	450.00
Credit Card	10/04/18	10/04/18	10/04/18	284539	Sample Supplier	975.00	975.00	975.00
							Total	**1,425.00**
Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.								

Sample Daily Per Diem Log

DAILY PER DIEM LOG			
Phase Number:	35		
LRO ID Number: (9 digits)	123456789		
	Sample LRO		
	LRO Name		
	123 Saple Street		
	Street Address		
	City, State, Zip		
	City, State, Zip		
Date (Month/Date/Year)	Number of Clients Served	Per Diem Rate (exactly $7.50 or $12.50 as approved by Local Board)	Total
03/01/18	25	12.50	312.50
03/02/18	24	12.50	300.00
03/03/18	24	12.50	300.00
03/04/18	25	12.50	312.50
Total Number of Clients	98	Grand Total	1,225.00
Per diem log must show a daily count. Sample per diem log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.			

Other Shelter

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Other Shelter** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

Phase Number:	35	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

OTHER SHELTER EXPENDITURES

Client Last Name (In Alphabetic Order)	Client First Name	Start Date of Stay (MM/DD/YY)	End Date of Stay (MM/DD/YY)	Vendor Name	Invoice Date (MM/DD/YY)	Invoice Amount	Invoice Number (if no invoice number, enter N/A)	Payment/ Check Number	Payment/ Check Date (MM/DD/YY)	Payment/ Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Doe	Jane	05/02/18	05/13/18	Sample Hotel	05/13/18	935.00	45636	Credit	05/13/18	05/13/18	935.00	935.00
Smith	John	07/25/18	07/28/18	Sample Motel	07/28/18	225.00	964735	Credit	07/28/18	07/28/18	255.00	255.00
											Total	1,190.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

If the client's name cannot be provided because of confidentiality, please provide the supporting statute and provide the unique identifier on the spreadsheet for each client.

Supplies and Equipment

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Supplies and Equipment** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	35	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

SUPPLIES AND EQUIPMENT EXPENDITURES

Payment/Check Number	Payment /Check Date (MM/DD/YY)	Payment /Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
Credit	11/02/18	11/02/18	11/02/18	8825473	Sample Vendor	625.00	625.00	625.00
3358	11/18/18	11/20/18	11/18/18	INV774	Sample Supplier	1,565.00	1,565.00	1,075.00
							Total	1,700.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Rehabilitation (Emergency Repairs/Building Code)

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Rehabilitation (Emergency Repairs/Building Code)** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	35	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

REHABILITATION (EMERGENCY REPAIRS/BUILDING CODE) EXPENDITURES

Payment/Check Number	Payment/ Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Building Code Citation Date (MM/DD/YY)	Invoice/ Receipt Date (MM/DD/YY)	Invoice/ Receipt Number (If no number, enter N/A)	Type of Repair	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
8547	02/15/18	03/01/18	02/05/18	02/14/18	99824	Emergency Exit	Sample Vendor	450.00	450.00	250.00
									Total	250.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Expenditures in this category require both Local Board and National Board written approval. For building code items, a copy of the building code citation is required. All of these items must be obtained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. If documentation is required to be reviewed by EFSP or other appropriate entities, these documents must be provided in the documentation for review to support the expenditures reported on the Final Report.

Rent/Mortgage

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Rent/Mortgage** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

Phase Number:	35
LRO Name:	Sample LRO
LRO ID (9 digits):	123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

RENT/MORTGAGE EXPENDITURES

Client Last Name (In Alphabetic Order)	Client First Name	Client Street Address (No PO Box)	Landlord/Mortgage Company Name	Monthly Rent/Mortgage Amount	Due Date (MM/DD/YY)	Month Covered w/Payment (MM/YYYY)	Payment/ Check Number	Payment/ Check Date (MM/DD/YY)	Payment/ Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Brown	Jane	777 Sample Street, City, State Zip	John Landlord	950.00	07/01/18	07/2018	564	06/30/18	07/01/18	950.00	950.00
Doe	John	9501 Sample Street, City, State Zip	Mary Landlord	880.00	08/10/18	09/2018	958	08/20/18	08/21/18	880.00	880.00
										Total	1,830.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Utilities

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Utilities** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

35	
Sample LRO	
123456789	

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

UTILITY EXPENDITURES

Client First Name	Client Street Address (No PO Box)	Vendor Name	Type of Serivce	Due Date/ Delivery Date* (MM/DD/YY)	Billing Period Begin Date (MM/DD/YY)	Billing Period End Date (MM/DD/YY)	Payment/ Check Number	Payment / Check Date (MM/DD/YY)	Payment / Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Jane	123 Sample Street, City, State Zip	Electricity Company	Electric	05/15/18	03/01/18	03/31/18	539	05/20/18	06/01/18	245.00	245.00
John	467 Sample Street, City, State Zip	Gas Company	Gas	06/01/18	04/01/18	04/30/18	852	05/30/18	06/01/18	185.00	185.00
										Total	430.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

RED UTILITIES (propane, firewood, coal, kerosene), provide the date of delivery to client. If paying from disconnect/shutoff notice, enter the date from the notice.

LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the

***For NON-METERED UTILITIES (propane, firewood, coal, kerosene), provide the date of delivery to client. If paying from disconnect/shutoff notice, enter the date from the notice.**

Reminder - If an LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the spreadsheet. Enter "N/A" in the column labeled "billing period covered".

Administration

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Administration** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	35	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	LRO Sample	
LRO ID (9 digits):	123456789	

ADMINISTRATION EXPENDITURES - DIRECT COST

Payment/Check Number	Payment/Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
87364	04/15/18	04/15/18	04/15/18	842086	Local Newspaper	250.00	250.00	250.00
Credit Card	06/01/18	06/01/18	06/01/18	789134	Office Supplies	50.00	50.00	50.00
							Total	**300.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Spreadsheets only have to be provided with the Final Report for administrative expenses for EFSP comliance review. Documentation for administrative costs must be maintained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. This documentation may be requested at any time.

Note: Submit the following in a separate schedule if payroll information (from LRO's system) is provided to support EFSP expenditures.

Phase Number: 35		Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name: Sample LRO		
LRO ID (9 digits): 12345678		

ADMINISTRATION EXPENDITURES - PAYROLL

Payroll registers for all employees who worked on the EFSP and the percentage of time charged to EFSP

Employee Name	Payroll Date (MM/DD/YY)	Percentage	Payroll Amount	EFSP Portion of Payroll Amount
Smith, Mary	04/01/18	5.00%	2,000.00	100.00
Smith, Mary	04/15/18	5.00%	2,000.00	100.00
			Total	**200.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Spreadsheets only have to be provided with the Final Report for administrative expenses for EFSP comliance review. Documentation for administrative costs must be maintained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. This documentation may be requested at any time.

Mileage

Below is a sample mileage log provided to the National Board to support mileage expenditures made in the **Served Meals, Other Food, or Mass Shelter** categories with Emergency Food and Shelter Program (EFSP) funds.

MILEAGE LOG

Phase Number	35			
LRO ID Number (9 digits)	123456789			
	Sample LRO			
	LRO Name			
	123 Sample Street			
	Street Address			
	City, State, Zip			
	City, State, Zip			
Date (Month/Date/Year)	**Departure, destination, purpose of trip (each roundtrip)**	**Number of Miles**	**Mileage Rate (per mile)***	**Total**
05/01/18	Shelter, Church, Client Transportation	15.00	0.545	8.18
05/03/18	Shelter, Church, Client Transportation	15.00	0.545	8.18
05/02/18	Shelter, Church, Client Transportation	15.00	0.545	8.18
	Total Number of Miles	**45.00**	**Grand Total**	**24.53**

**** Reference the EFSP Responsibilities and Requirements Manual/Addendum to the Manual for the approved mileage rate.***

Sample mileage log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Annex 2: Local Board Plan Certification

A webinar detailing the process for submitting the Local Board Plan is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

DocuSign Envelope ID: C9995B57-D741-4A82-8A62-57AF55A120F5

Emergency Food and Shelter Program
701 North Fairfax Street
Alexandria, VA 22314
Phone 703-706-9660 Fax 703-706-9677

35-0000-00 Direct 1

Phase 35 Local Board Plan

Due date for submission: April 23, 2018

Jurisdiction: **Sample County, State**
Phase 35 start date: 02/01/2018

Local Board ID# 0000-00
The administrative allowance of $1,186 is included in the award amount.
Local Board ID: 000000

Award Amount: **$59,313**

Spending Period Extension Request If extension date is not selected, the end date for this spending period will be 10/31/2017.

☐ October 31, 2017	☐ November 30, 2017	☐ December 31, 2017	☐ January 31, 2018
☐ February 28, 2018	☐ March 31, 2018	☐ April 30, 2018	☐ May 31, 2018
☐ June 30, 2018	☐ July 31, 2018	☐ August 31, 2018	☐ September 30, 2018
☐ October 31, 2018	☐ November 30, 2018	☐ December 31, 2018	☑ January 31, 2019

The Local Board certifies that public notice of availability of these funds appeared in print in the **Local News** on **02/23/2018**
The advertisement appeared at least 5 business days prior to our Local Board's allocation decision.
The Local Board will meet: **quarterly**. We understand that if meeting semiannually, copies of meeting minutes must be included with the Phase 35 Final Report.

Our Local Board ☐ does (copy attached) ☒ does not have additional requirements beyond those of the National Board (select one).

As the chair of the Local Board, I certify that the Local Board meets the requirements as stated on the Local Board Certification Form and that the above information and all information provided on the attached forms and via the EFSP website are correct. Our Local Board understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program, including those not specifically stated in the Manual and the accompanying Phase 35 Addendum.

Signature of Local Board Chair: DocuSigned by: Board Chair Date: 3/5/2018

Print Name of Local Board Chair: Board Chair

NOTE: Indicate below at least one alternate authorized signature which is acceptable for the processing of your jurisdiction's paperwork, i.e., Local Board Plans, Second Payment Requests, etc., to be used in the absence of the Local Board Chair. Alternate signatories must be members of the Local Board or the Local Board contact. Submission of any type of documentation from an unauthorized signer will not be processed.

Print Name	Print Name
Signature	Signature
Position with Local Board	Position with Local Board

National Board use only: Cert_____ Adv_____ Sig_____ R_____ NA_____ H_____ Initials_____ K_____ E_____

DocuSign Envelope ID: C9995B57-D741-4A82-8A62-57AF55A120F5

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM
PHASE 35 LOCAL BOARD PLAN CERTIFICATION

By signing the Local Board Certification Form, our Local Board certifies we have thoroughly read and understand the Phase 35 Responsibilities and Requirements Manual (Manual). We agree to administer the Emergency Food and Shelter Program (EFSP) as required. Additionally, we certify that the local private non-profit or governmental agencies selected as LROs reflected on the Local Board Plan have read and understand the Phase 35 Responsibilities and Requirements Manual, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. The agencies understand that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. They have certified this by completing and signing the Phase 35 Local Recipient Organization (LRO) Certification Form and/or the Fiscal Agent/Fiscal Conduit Agency Certification, as necessary. This form has been forwarded by the Local Board with the Local Board Certification Form as part of the Local Board Plan. The Local Board and each LRO have retained a copy for their records.

The Local Board certifies it has selected agencies that meet the EFSP requirements, including but not limited to the items noted and each agency:

- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement or expand existing programs and services.
- Is nonprofit or an agency of government.
- Has an accounting system, and will pay all vendors by an approved method of payment.
- Understands that cash payments (including petty cash) are not eligible under EFSP.
- Conducts an independent annual review if receiving $50,000-$99,999or, independent annual audit if receiving $100,000 or more in EFSP funds, and follows OMB's Uniformed Guidance if receiving $750,000 or more in Federal funding.
- Is not debarred or suspended from receiving Federal funds.
- **Has not received an adverse or no opinion audit.**
- Practices nondiscrimination (agencies with a religious affiliation will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds).
- Does not charge any client a fee for services funded by EFSP.
- Has a private, not-for-profit voluntary board.
- Will provide all required reports and documentation, as requested, to the Local Board in a timely manner.
- Will expend monies only on EFSP eligible costs and keep complete documentation (and provide, if requested) on all expenditures for a minimum of three years after end-of-program date and for compliance issues, until resolved.
- Will spend all funds and close out the program by the jurisdiction's selected end-of-program deadline.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will not use EFSP funds as a cost-match for other Federal funds or programs.
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun and Bradstreet (D&B) and required associated information to EFSP.

This also certifies that the Local Board agrees to or has complied with the following roles and responsibilities:

1. Invited National Board agencies and/or their local affiliates to participate on the Local Board. **Has included a homeless or formerly homeless person as a member of the Local Board.** Has included a Native American to participate on the Local Board where a federally recognized reservation lies in or encompasses the jurisdiction. Has considered adding additional board members to broaden community representation including special emphasis groups (e.g., elderly, families with children, Native Americans, veterans, and mentally and physically disabled).
2. Has elected a chair.
3. Has advertised locally via print media, the availability of funds, including the acknowledgement of the Federal funding source and has waited 5 business days before allocating funds.
4. Has promoted the program to all agencies with the capacity to provide emergency food and/or shelter assistance, including those on Native American reservations,not just those represented on the Local Board.
5. Has held meetings to decide which local private or public agencies should receive grants and determined the amount of grant funds to each, will monitor expenditures of funds and eligible cost compliance at the local level, and will ensure all funds are properly spent before the jurisdiction's end-of-program date.
6. Has established a written appeals process for participation or funding by funded or non-funded agencies.
7. Has submitted the Local Board Certification with the Local Board Plan, Board Roster, LRO Certification forms and Certification Regarding Lobbying forms (as needed) to the National Board by the specified deadline.
8. Will provide technical assistance on EFSP guidelines and requirements to LROs.
9. Will coordinate with state agencies that administer food, utility, and other Federal assistance programs.
10. Will reallocate funds within a jurisdiction or LRO, as necessary, (e.g., from food to shelter). If funds are transferred from one LRO to another, will notify the National Board using the EFSP website and affected LROs in writing as promptly as possible or before the specified deadline.
11. **Understands that if deadline dates given by the National Board to Local Boards and LROs for the submission of second payments, EFT forms and reallocations and resolution of compliance problems are not met, that the remaining unpaid funds for the jurisdiction will be forfeited and reclaimed by the National Board.**
12. **Will submit Final Reports to the National Board on expenditures and LROs' programs after jurisdiction's selected end-of-program date as required.**
13. Will ensure that any funds unspent ($100 or more) at end-of-program are promptly returned to the National Board.
14. Will obtain and review for accuracy all Final Reports and spreadsheets for LROs and documentation for specified LROs and will forward to the National Board. Will require fund reimbursements from LROs in the event of expenditures violating the eligible costs under this award.
15. **Will remain in operation until all program and compliance requirements of the National Board have beensatisfied.**
16. Will retain all records related to the program for three years from the end-of-program date; more than three years, if necessary, until compliance issues are resolved.

Please do not after the Local Board Certification form; any questions regarding the form should be directed to EFSP staff.

Annex 3: Local Recipient Organization (LRO) Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

DocuSign Envelope ID: C7C05910-ADE5-4FB3-861E-749DF8A00279

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM
PHASE 35 LOCAL RECIPIENT ORGANIZATION CERTIFICATION

By signing this Local Recipient Organization (LRO) Certification Form, our agency certifies we have read and understand the Emergency Food and Shelter Program (EFSP) Phase 35 Responsibilities and Requirements Manual, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. Our agency understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. All appropriate staff and volunteers have been informed of EFSP requirements. The Local Board has been provided and we have retained a copy of this form for our records.

I certify that my public or private agency:

- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services.
- Is nonprofit or an agency of government.
- Will not use EFSP funds as a cost-match for other Federal funds or programs.
- Has an accounting system, and will pay all vendors by an approved method of payment.
- Understands that cash payments (including petty cash) are not eligible under EFSP.
- Conducts an independent annual review if receiving $50,000-$99,999/an independent annual audit if receiving $100,000 or more in EFSP funds, and follows OMB's Uniformed Guidance if receiving $750,000 or more in Federal funding.
- Has not received an adverse or no opinion audit.
- Is not debarred or suspended from receiving Federal funds.
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP.
- Practices non-discrimination (agencies with a religious affiliation, will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling in any program receiving Federal funds).
- Will not charge a fee to clients for EFSP funded services.
- Has a voluntary board if private, not-for-profit.
- Will provide all required reports to the Local Board in a timely manner; (i.e., Second Payment/Interim Request and Final Reports).
- Will expend monies only on eligible costs and keep complete documentation (copies of canceled LRO checks – front and back, other proof of payment, invoices, receipts, etc.) on all expenditures for a minimum of three years after end-of-program date, and for compliance issues until resolved.
- Will spend all funds and close-out the program by my jurisdiction's selected end-of-program date and return any unused funds ($5.00 or more) to the National Board.
- Will provide complete, accurate documentation of expenses to the Local Board, if requested, following my jurisdiction's selected end-of-program date.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Will not and will ensure its employees, volunteers or other individuals associated with the program will not engage in any trafficking of persons during the period this award is in effect.
- Will not and will ensure its employees, volunteers or other individuals associated with the program will not use EFSP funds to support access to classified national security information.

PLEASE ENSURE THIS INFORMATION IS ACCURATE BEFORE SIGNING.

LRO ID #: 00: 400001
FEIN #: 00-0000000
DUNS#: 123456789
LRO Legal Name: Sample Shelter
Address: Address City ALABAMA 00000
Phone #: 555-555-5555
Fax #:
Email: kelly.andrese@uww.unitedway.org
LRO Contact: LRO Contact

Signature: DocuSigned by: LRO Contact C7C05910ADE5001 Date: 3/13/2018

Annex 4: Fiscal Agent/Fiscal Conduit Agency Relationship Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

DocuSign Envelope ID: 0252A817-3F58-4AD1-ADA2-58B1903E0158

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 35 FISCAL AGENT/FISCAL CONDUIT AGENCY RELATIONSHIP

This certification must be signed by each agency receiving funds through a Fiscal Agent/Fiscal Conduit Agency at the beginning of the funding cycle.

By signing this Fiscal Agent/Fiscal Conduit Agency Relationship Certification Form, our agency certifies we have read and understand the Emergency Food and Shelter Program (EFSP) Phase 35 Responsibilities and Requirements Manual, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. Our agency understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. All appropriate staff and volunteers have been informed of EFSP requirements. The Local Board, Fiscal Agent/Fiscal Conduit and the agency(ies) benefitting through the relationship have retained a copy of this form for their records.

As a **recipient agency** (through the Fiscal Agent/Fiscal Conduit noted below) of Emergency Food and Shelter National Board Program (EFSP) funds made available for Phase 35 and as the duly authorized representative of

Sample Org

(NAME OF AGENCY/SUB-RECIPIENT)

I certify that my public or private agency:

- **Has a Fiscal Agent/Fiscal Conduit approved by the Local Board:** Sample Food Bank (000000001)
- Is not debarred or suspended from receiving Federal funds.
- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement and extend existing resources and not to substitute or reimburse ongoing programs and services.
- Is nonprofit or an agency of government.
- Will not use EFSP funds as a cost match for other Federal funds or programs.
- Practices non-discrimination (agencies with a religious affiliation, will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling in any program receiving Federal funds).
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP.
- Will not charge a fee to clients for EFSP funded services.
- Has a voluntary board if private, non-for-profit.
- **Understands that cash payments (including petty cash) are not eligible under EFSP.**
- Will provide all required information to the Fiscal Agent/Fiscal Conduit.
- Will expend monies only on eligible costs and keep complete, accurate documentation (copies of canceled LRO checks -- front and back, other proof of payment, invoices, receipts, etc.) on all expenditures for a minimum of three years after end-of-program date, and for compliance issues until resolved.
- Will provide complete, accurate documentation to the Fiscal Agent/Fiscal Conduit Agency for payment to the vendor.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Has certified that our employees, volunteers, or other individuals associated with the program understand they will not engage in any trafficking of persons during the period this award is in effect.
- Has certified that our employees, volunteers, or other individuals associated with the program understand they will not use EFSP funds to support access to classified national security information during the period this award is in effect.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will spend all funds and close-out the program by the jurisdiction's selected end-of-program date, and return any unused funds ($5.00 or more) to the National Board.

This form must be completed in its entirety. Please do not alter this form; any questions regarding the form should be directed to EFSP staff.

Agency Name (Sub-recipient): Sample Org

FEIN# (Sub-recipient): 123456789 DUNS # (Sub-recipient): 123456789

Street Address/City/State/Zip: Address

Phone #: 555-555-5555 Fax #: Email: Kelly.Andrea@uw.unitedway.org

Contact Name: Contact

Signature: DocuSigned by: Sub-grantee Contact Date: 3/13/2018

Annex 5: Lobbying Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

DocuSign Envelope ID: 5F37A628-9DC3-4AF5-8B00-2BA4079020DC

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM
PHASE 35 CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on the behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, contribution, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Title 31 U.S.C. §1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

This form must be completed in its entirety. Please do not alter this form; any questions regarding the form should be directed to EFSP staff.

Sample Shelter
LRO Name

000000-001
LRO ID Number (9 digits)

Sample Contact
Representative Name

DocuSigned by:
Sample Contact
Representative Signature

3/7/2018
Date (month/day/year)

NOTE: Standard Form LLL and instructions are available at www.grants.gov

Sample Forms, Letters and Guidance

The following sample forms and letters are included for your convenience. Copies of all sample forms are available at efsp.unitedway.org, under **Forms** after logging in with your User ID and password. The samples are all approved documentation which may be duplicated on your agency's letterhead. The use of these forms is strongly recommended, but not mandated. If these forms are used, each form must be completed in its entirety in order to be acceptable. Whatever documentation is used **must** contain all appropriate elements of EFSP requirements.

As further proof of amount owed, the LRO should obtain from the vendor, the billing and payment history of the client. This will help verify which month's bill has not been paid and is still part of the total amount owed. Any payments made to landlords, mortgage holders or utility companies must guarantee an additional 30 days of service/residence. Direct any questions regarding the forms to the National Board staff.

Annex 6: Metered Utility Verification Form

METERED UTILITY VERIFICATION FORM

Please complete this form in its entirety, as all information is required, for each utility payment made with Emergency Food and Shelter Program funds. Metered utility assistance includes gas, electric and water for individuals or households. (The individual utility bill which shows the one month past due amount must be attached along with a copy of the proof of payment to this form to verify eligibility of expenditures.) Failure to provide complete, required information will result in a compliance exception.

The attached utility bill or client's billing and payment history from the vendor charged to the Emergency Food and Shelter Program supports the information provided below:

Client Information (required):

Name: _____

Customer Account Number: _____

Complete Address: _____
Street/City/State/Zip

Complete Service Address: _____
Street/City/State/Zip

Utility Payment Type (Circle One): Electric Gas Water

The attached bill covers _____ to _____ and is a one month billing period.

The attached bill is/was due on _____ (*month/day/year*).

The one month amount charges being paid from this bill are for (*check one*):

☐ current month's utilities ☐ past due utilities.

The amount being paid of $_____ is for the month of _____ (*month/year*), which was due on _____ (*month/day/year*) and does not exceed one month's billing.

The payment being made by this agency is still entirely past due and is part of the total amount owed at the time this agency is providing payment.

EFSP guidelines allow for the payment of utility assistance up to 10 calendar days before it is due. No deposits, late fees or other service fees are eligible.

Agency/LRO Use:

Because this information was not clearly noted on the attached bill, the information has been verified with the utility company and noted by service dates and one month amounts on the attached bill/history.

The following information must be completed:

Verified on (*month/day/year*): _____

Verified with (*name of utility company*) _____

Verified with (*name of utility company staff*) _____

Name of LRO staff conducting verification: _____

Signature of LRO staff conducting verification: _____

A COPY OF THIS FORM IS AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 7: Sample Rent/Mortgage Documentation

SAMPLE RENT/MORTGAGE DOCUMENTATION
(Copy onto agency letterhead or insert LRO name and address here)

This form must be completed in its entirety by the Local Recipient Organization (LRO) providing service, as all information is required, for each rent/mortgage payment made with Emergency Food and Shelter Program funds. Failure to provide complete, required information will result in a compliance exception.

Client Information: Date (month/day/year):_____

Client Name:_____

Client Address:_____
(complete street address)

_____
(city/state/zip)

+++++++++++++++++++++++++++

Type of Assistance: Rent (*check one*) Mortgage (*check one*)

☐Past due rent ☐Past due mortgage
☐Current month's rent ☐Current month's mortgage
☐First month's rent (effective/move in date_____) (month/day/year)

The monthly rent/mortgage payment is $_____

The total owed (including the amount above) is $_____

The one month amount being paid by this agency is $_____

The amount being paid is for the month of (*month/year*)_____

The one month amount being paid is/was due on (*month/day/year*)_____

The one month amount being paid is past due in its entirety at time of payment (*check one*): ☐Yes ☐No

EFSP guidelines allow for the payment of mortgage principal and interest only. Current rent/mortgage payments may be made up to 10 calendar days before the due date. First month's rent may be paid up to 10 days prior to move-in date. No deposits, escrow fees, late fees, etc. are eligible when providing assistance to individuals/households. First month's mortgages are not allowed.

+++++++++++++++++++++++++++

LRO Verification (To be completed by the LRO staff):

LRO Staff Name:_____

LRO Staff Signature:_____

Date (*month/day/year*):_____

Landlord/Mortgage Holder Verification (To be completed by the landlord/mortgage holder):

This is to confirm that rent/mortgage for _____ ~~for~~ the property
(name of individual or family)

at _____ with
(complete address, street number and name, city, state, zip code)

a monthly rent amount of $_____ (*rent only: includes no deposits, late fees, or other charges*) or with a mortgage with a monthly payment of $_____ (*principal and interest only; no escrow payments or other fees*) is/was due on _____. The total amount currently owed is $_____. The individual/
(month/day/year)
family now has rent/mortgage due/past due for the month(s) of _____.
(month/year)

Landlord/Mortgage Holder Name:_____ Phone:_____

Address:_____
(street/city/state)

Landlord /Mortgage Holder Signature:_____ Date (~~mo~~/day/~~yr~~):_____

Important: Payment will guarantee residency for an additional 30 days!

A COPY OF THIS FORM IS AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 8: Sample Food Voucher

SAMPLE FOOD VOUCHER

LRO's Name and Address

_____, _____, please allow
(Store Name) *(Address)*

_____ to purchase up to $_____ of food items only.
(Client's/Purchaser's Name) *(Dollar Amount)*

The _____ will reimburse you upon receipt of a voucher signed by
(LRO's name)

client/purchaser and store representative with an itemized register tape attached.

No alcohol. No lottery tickets. No cigarettes.
No non-food items (except diapers and feminine hygiene items, if marked below). No cash back.

Diapers:	**YES** ☐	**NO** ☐
Feminine Hygiene Items:	**YES** ☐	**NO** ☐

$_____
(Actual Amount Purchased)

_____ _____
(Signature, Purchaser/Client) *(Date - month/day/year)*

_____ _____
(Signature, Store Representative) *(Date - month/day/year)*

_____ _____
(Signature, LRO Representative) *(Date - month/day/year)*

Note: When submitting documentation to the National Board, if the voucher is filled out completely and all 3 signatures are present and dated, an itemized food receipt is not required. If not filled out completely or all 3 signatures are *not present, then the itemized food receipts* must *be included with the voucher.)*

A COPY OF THIS FORM AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 9: Sample Daily Per Diem Schedule

SAMPLE DAILY PER DIEM SCHEDULE

Local Board ID Number: _____

*LRO ID Number:*_____

_____
(Name of the LRO mass shelter)

_____
(Complete Address of shelter)

DATE (month/day/year)	*Number of clients*	*Per diem rate (exactly $7.50 or $12.50 as approved by Local Board)*	*TOTAL*

GRAND TOTAL: $

Per diem schedule must show a daily count

A COPY OF THIS FORM IS AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 10: Sample Daily Per Meal Schedule

SAMPLE DAILY PER MEAL SCHEDULE

*Local Board ID Number:*_____

*LRO ID Number:*_____

_____
(Name of the LRO mass feeding site)

|

_____
(Complete Address of feeding site)

DATE (month/day/year)	*Number of meals served*	*Per meal rate ($2)*	*TOTAL*

GRAND TOTAL: *$*

Per meal schedule must show a daily count

121

A COPY OF THIS FORM IS AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 11: Sample Mileage Log

SAMPLE MILEAGE LOG

*Local Board ID Number:*_____

LRO ID Number:

(Name of LRO)

_____

(Address)

Date (month/day/year)	*Departure, destination, purpose of trip (each round trip)*	*Number of miles*	*Mileage rate as of 10/1/2014 ($.54/mi.)*	*Total*

GRAND TOTAL: $_____

The mileage rate published in this manual and noted above is the only acceptable mileage rate for Phase 33.

A COPY OF THIS FORM IS AVAILABLE ON THE EFSP WEBSITE UNDER FORMS AFTER YOU LOGIN WITH YOUR USER ID AND PASSWORD.

Annex 12: Audit/Review and Audit/Documentation Retention Responsibilities

Audit/Review Requirements

The EFSP annual audit requirement allows for two different levels of review depending on the LRO's level of funding. This change took place in Phase 23 (FY2005) and is noted on pages 37 and 42 of this manual. The EFSP audit requirements are:

A webinar providing background on audit requirements is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

For LROs receiving $100,000 or more in EFSP funding, the National Board requires an independent annual audit in accordance with Government Auditing Standards. For LROs receiving from $50,000 to $99,999, the National Board requires an annual accountant's review. For newly funded LROs and LROs funded above the amount requiring an audit or review for the first time, the LRO must arrange for the audit or review of funds to coincide with the next scheduled annual audit or annual review of its financial affairs.

The National Board will accept an LRO's national/regional annual audit if the following conditions are met:

- LRO is truly a subsidiary of the national organization (i.e., shares a single federal tax exemption).
- The LRO is audited by the national/regional office internal auditors or other person designated by the national/regional office AND the national/regional office is audited by an independent certified public accountant or public accountant or accounting firm, which includes the national/regional organization's review of the LRO in a larger audit review.
- A copy of the local audit review along with a copy of the independent audit of the national/regional office will be made available to the National Board upon request.

Any agency expending $750,000 or more in Federal funds must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance.) Note: A copy of this report must be forwarded to the National Board annually along with the regular audit. The $750,000 threshold is a combination of all Federal funds, not just EFSP funding.

Audits of units of government shall be made annually unless state or local government had, by January 1, 1987, a constitutional or statutory requirement for less frequent audits.

All audits/reviews must clearly identify EFSP funding by ID number and include EFSP funds in the Schedule of Federal Awards. Note: EFSP funding is a direct Federal grant to the LRO; it is not pass through from some other organization (i.e. local government, United Way).

The changes in these requirements are specific to the EFSP and meeting any other local, state, or federal audit requirements or those required by any other funding source are the responsibility of the LRO.

Audit/Review Terminology

Audit – A formal examination of financial statements intended to assess the accuracy and thoroughness of financial records. An independent auditor performs this procedure on a set of financial statements in order to render an opinion based on the accounting records provided. An unqualified audit opinion states that the financial statements are in conformity with the General Accepted Accounting Principles (GAAP) in the United States. Audits are performed according to General Accepted Accounting Principles

(GAAP) in the United States. An audit is more expensive than a review or compilation because an opinion on the accuracy of financial statements requires significantly more work than that involved in either a review or a compilation. *Under EFSP, an audit is required for any LRO receiving $100,000 or more in funding.*

Review – Accountants perform limited procedures as a basis for expressing limited assurance on financial statements. Although not as comprehensive as an audit, a review provides more assurance than a compilation. A review report states that: 1) the accountants do not express an opinion on the financial statements and, 2) based on their review, they are not aware of any material modifications that should be made to the financial statements. A review is less expensive than an audit but more expensive than a compilation. *Under EFSP, a review is required for any LRO receiving from $50,000 to $99,999.*

Annex 13: Documentation Retention Responsibilities and Other Review/Audit Responsibilities

EFSP requires all LROs to maintain documentation for three years from the end-of program date as noted on pages 10 and 35 of this manual. The documentation to be retained includes financial records, supporting documentation, statistical records, and all other records pertinent to the award. The exceptions to the three-year rule are noted on page 58 and include litigation, claim, program compliance issues, or audits started before the three-year period and records for non-expendable property acquired either wholly or partially with EFSP funds.

A webinar providing background on audit requirements is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

The documentation must be accessible should there be reason for your agency to produce the documentation for review. This review might include the audit of these expenditures after you have reported to the National Board for the spending period. Please reference pages 27 and 38 guidelines for documentation disaster recovery plans.

Site Reviews: The National Board staff conducts site compliance reviews of LROs funded through the EFSP. These site reviews are conducted at the LRO's offices and original documentation supporting expenditures of EFSP funds are required. The original documentation would include all canceled checks or other approved method of payment and vendor invoices for expenditures charged to EFSP. If an LRO is using the per meal allowance or per diem allowance, the documentation would include sign-in sheets, case records, as well as the supportive documentation for actual expenditures (i.e., proof of payment, vendor invoices). Very often, multiple phases are reviewed during the site compliance review of the LRO.

Independent Audit: Annually EFSP undergoes an independent annual audit as required by the Federal government. During this audit, EFSP's independent auditors review documentation submitted by LROs that has already been reviewed by EFSP staff. Additionally, they request documentation from a sample of LROs that were not required to submit documentation with their Final Report. LROs must comply with the request from EFSP's independent auditors including the resolution of compliance problems noted by the independent auditors in their review.

Other Audits: Staff from the Federal Emergency Management Agency (FEMA) may also conduct site audits of funded LROs. Additionally, as EFSP funding is Federal funding, the U. S. Department of Homeland Security Office of Inspector General or Office of Chief Financial Officer may also conduct site audits. This includes the Improper Payments Elimination and Recovery Improvement Act (IPERIA) assessment.

How are the site compliance reviews determined: The National Board has given the staff guidance for conducting site compliance reviews which includes, but is not limited to, reviewing LROs in jurisdictions where there are ongoing compliance problems, reviewing LROs who have failed to submit documentation to the National Board or the Board's independent auditors, findings in the independent audits submitted by LROs, concerns regarding operations from the Local Board or others, reviewing LROs funded in certain categories or areas of the country, alleged or suspected fraud, and at the request of the DHS Inspector General.

Generally, when site compliance reviews are conducted, several LROs in a jurisdiction or in surrounding jurisdictions are reviewed and multiple phases of each LRO's EFSP funding is reviewed.

Please note that since documentation must be retained for three years (see text used in other place in the manual for consistency), all of those years are subject to reviews/audits at any time. Even if an LRO has filed Final Reports and received clearing letters, they are still subject to any of the reviews/audits noted above as well as requests for submission of documentation.

Audit Confirmation Requests: LROs requesting confirmations of funds received for external auditors must indicate the LRO ID number (9-digits) for each jurisdiction for which a confirmation is requested.

SPECIAL NOTE: DOES MY LRO HAVE TO HAVE AN AUDIT OR A REVIEW?

To determine what type of review is required for an LRO, the LRO must know the total amount of funding it is receiving from EFSP in all jurisdictions in which it is funded. The TOTAL EFSP funding is used to determine the type of review. For example, LRO ABC is funded in only one jurisdiction and receives $55,000 – a review would be required since LRO ABC is receiving more than $50,000 but less than $100,000. LRO XYZ is funded in three jurisdictions, in jurisdiction #1 $49,000 is received, in jurisdiction #2 $17,000 is received, and in jurisdiction #3 $36,000 is received. LRO XYZ would be required to have an audit. They are receiving a total of $102,000, which is greater than the $100,000 threshold for requiring an audit even though in each jurisdiction they are receiving less than $50,000.

Annex 14: Utility Documentation Guidelines

These guidelines provide a general overview regarding utility assistance provided to clients. Please refer to pages 72-73 and 89 of this manual for complete guidelines on using EFSP funds for utility assistance.

When using EFSP funds to provide utility assistance remember that only one month, approximately thirty days of service may be paid of each bill for an individual or household per award cycle. Billing cycles of more than one month must be divided by the number of months in the cycle to get the one-month amount that may be paid. For example, if the cycle consists of two months, divide the total cost of the bill by two to get the amount that may be paid. If the client is on a budget plan and has the option of paying the actual usage cost or the budgeted amount an agency may select either amount. Only one can be paid, not both. The minimum amount required by the vendor to keep service on cannot be paid, if it is more than one month's bill. When a utility payment is made, it must guarantee an additional thirty days of service for the client. If the vendor will not grant the additional thirty days of service for the payment, then EFSP funds cannot be used to assist the client. A reconnect fee to restore service may be paid with EFSP funds. However, late fees, deposits and other service charges are not eligible as part of the utility payment. If these charges are required to maintain service for the client an agency will need to use another funding source to cover the cost of the items.

Documentation of utility payments must always include a copy of the canceled check or an approved method of payment dated no more than 10 calendar days before the bill's due date, made payable to the vendor along with the utility bill from the vendor for metered utility services (gas, electric, water) that clearly verifies the one-month amount paid. The utility bill from the vendor must include the client's information (name, address, account number, etc.). A copy of the receipt from the vendor showing the date of delivery and cost of service for the minimum delivery or fill-up is required for non-metered utility payments (propane, coal, firewood). The most current utility bill available must be provided. Old bills will not be accepted. Payments must be made no more than 90 days after the receipt/invoice or client intake date. The **Metered Utility Verification Form** found in the manual, Annex 6, page 97 may be useful in documenting the one-month amount paid*, if completed correctly*. A Metered Utility Verification Form I required when LROs are paying more than $100 from a past due balance, and metered utility bill or shut off notice does not clearly identify the one-month billed amount and the dates of service. The form must be completed to show the dates of service covered with the payment made. The Metered Utility Verification form cannot be submitted along with the canceled check in lieu of the utility bill. Also, an agency's internal paperwork cannot be submitted in place of the utility bill. A utility bill from the vendor must be submitted to support each payment made.

The following are the most common types of bills that are submitted with documentation for review from agencies. They are current utility bills that may include a budget amount and past due or disconnect notices covering multiple months. Clients may also present similar bills from the utility vendors serving the community. Please read the following carefully for paying and documenting utility expenditures.

- **Current Utility Bill** – This bill is not yet past due. An agency may pay the current one month's bill no more than 10 calendar days before it is due. The one-month amount and service dates are verified. The amount covered by EFSP funds are still outstanding at the time of payment. If the bill is paid more than 10 calendar days prior to the due date, the payment is considered ineligible under EFSP guidelines.
- **Current Utility Bill with Budget Amount** – This bill should include the amount of the actual usage for the month in addition to the budget amount the client is required to pay. An agency may pay either the actual usage or budget amount of the bill no more than 10 calendar days before it is due. The one-month amount and service dates are verified. The amount covered by EFSP funds are still outstanding at the time of payment. If the bill is paid more than 10 calendar days prior to the due date, the payment is considered ineligible under EFSP guidelines.
- **Past Due Bill or Disconnect Notice** – These bills are overdue and often will include other service fees. An agency has two options in paying these bills. The options are 1) verify and pay one month's portion of the past due balance - the full

amount paid must still be due in its entirety at the time of payment the Metered Utility Verification form may be used or 2) pay up to $100 of the past due balance, if at least that amount is owed, without the one-month verification.

If the past due bill has a balance that is more than $100 and an agency wishes to pay as much as possible to assist the client, as long as it does not exceed one month's assistance, the utility company must be contacted to get a billing and payment history of the client's utility usage that may be covered in the past due or disconnect notice. Once the detail has been received from the utility company, up to the highest one-month bill that is still owed (part of the past due balance on the notice, and the service dates are within the spending period) at the time the agency is making payment may be paid. For example, if the client's May and June bills are still past due when the July bill is received and May is the highest one month of the three, the agency can pay the services for that month. If a portion of May has been paid, only the balance remaining can be paid or one of the other two months that are due on the bill (June or July).

Annex 15: Sample Advertisement

The following advertisement elements and sample advertisement are approved and provided for your convenience. Locals Boards are encouraged to use the information in their required advertisement of EFSP funds, but not mandated. Advertisements must acknowledge that EFSP funds are Federal dollars from the Department of Homeland Security (DHS).

Publicizing/Advertising Elements

Local Boards **must** publicize/advertise in the local print media the availability of funds to inform and solicit applications from **all** agencies (including those on Native American reservations) providing or capable of providing emergency food and/or shelter assistance. **Advertisement must appear in paper at least 5 business days prior to the Local Board's allocation of EFSP funds. See below for sample advertisement.**

Advertisements must include:

- Area funded/Local EFSP Board
  (Note: The National Board selects only jurisdictions for funding and advertisement must not state that a specific agency has been awarded the grant.);
- Source of funding;
  (Note: EFSP funds are Federal funds made available through the U.S. Department of Homeland Security's Federal Emergency Management Agency.)
- Award amount;
- Purpose of funding;
- Priorities/needs that Local Board will address;
- Criteria for eligible agencies;
- Contact name, address and/or phone number for application; and
- Deadline for applying (Local Boards must allow at least five business days after publication for interested agencies to apply and before funding decisions are made.)

Note: All Local Boards must publicly advertise in the most broadly distributed local newspaper covering the jurisdiction. Failure to advertise properly will delay processing of the jurisdiction's board plan and subsequent payment of funds. (A press release is not sufficient unless publication can be verified.) When a news article cannot be obtained, a legal advertisement is acceptable.

In addition to the news article or legal advertisement, Local Boards may also directly notify agencies. Cable access television and radio may only be used to supplement the printed advertisement.

Sample Advertisement

(Name of jurisdiction) HAS BEEN AWARDED FEDERAL FUNDS MADE AVAILABLE THROUGH THE DEPARTMENT OF HOMELAND SECURITY (DHS)/FEDERAL EMERGENCY MANAGEMENT AGENCY UNDER THE EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM.

(Name of jurisdiction) has been chosen to receive $(award amount) to supplement emergency food and shelter programs in the county.

The selection was made by a National Board that is chaired by the U. S. Department of Homeland Security's Federal Emergency Management Agency and consists of representatives from American Red Cross; Catholic Charities, USA; National Council of the Churches of Christ in the USA; The Jewish Federations of North America, The Salvation Army; and, United Way Worldwide. The

Local Board was charged to distribute funds appropriated by Congress to help expand the capacity of food and shelter programs in high-need areas around the country.

A Local Board made up of (the Mayor, United Way, et al.) will determine how the funds awarded to (name of jurisdiction) are to be distributed among the emergency food and shelter programs run by local service agencies in the area. The Local Board is responsible for recommending agencies to receive these funds and any additional funds made available under this phase of the program.

Under the terms of the grant from the National Board, local agencies chosen to receive funds must: 1) be private voluntary non-profits or units of government, 2) be eligible to receive Federal funds, 3) have an accounting system, 4) practice nondiscrimination, 5) have demonstrated the capability to deliver emergency food and/or shelter programs, and 6) if they are a private voluntary organization, have a voluntary board. Qualifying agencies are urged to apply.

(Name of jurisdiction) has distributed Emergency Food and Shelter funds previously with (Names of LROs) participating. These agencies were responsible for providing (number) meals and (number) nights of lodging.

Public or private voluntary agencies interested in applying for Emergency Food and Shelter Program funds must contact (Local Board chair or staff name, address and/or phone number) for an application. The deadline for applications to be received is (application deadline date).

Annex 16: Sample Application Elements

Below are recommended application elements for your convenience. Locals Boards are encouraged to use the information in their application process. All written material used by Local Boards must acknowledge EFSP funds are Federal funds made available through the U.S. Department of Homeland Security's Federal Emergency Management Agency.

Application Elements

Local Boards must have a written application process but EFSP does not mandate a standard application to be used by all Local Boards. However, the National Board advises there is key information that Local Boards should obtain from all applicant agencies. The information gleaned from agency applications should provide the Local Board with the information necessary to make the best funding decisions possible.

Noted below are sample questions that Local Boards might ask of applicant agencies to aid them in their funding decisions. Each Local Board will create their own application form to include information the Local Board deems necessary to evaluate the agency's services and ability to administer the EFSP as a supplemental program.

Local Boards must ensure that their application provides every agency that meets the requirements on the LRO Certification Form the opportunity to apply for funding. See pages 27-28.

Sample Questions:

**Agency's Legal Name
**Agency Principal
**Agency Contact for Application Questions
**Agency Contact for EFSP, if funded
**Agency physical address
**Congressional district where agency is physically located
**Agency mailing address
**Agency address for Place of Performance (where the EFSP funded services are provided)
**Congressional district where agency's EFSP funded services are provided (Place of Performance)
**Agency phone/fax/email (for individuals above)
Agency website
**Agency Federal Employer Identification Number (FEIN)
** Agency's DUNS number
**Amount of EFSP funding requested by program area (food, rent, utilities, etc.)
Agency operating budget (total)
**Agency budget for the program area requested (food, rent, utilities, etc.)
**Copy of agency's most recent annual audit
**Deadline (date and time) for applications to be received (including contact, mailing address, location for delivery)
**Is agency non-profit or unit of government?
**If non-profit, a roster of the agency's volunteer board should be requested
**Is agency debarred or suspended from receiving funds or doing business with the Federal government?

**Denotes required questions. Most of the required questions provide information that is necessary for the Local Board to submit to the National Board on their Local Board Plan or that comes directly from the LRO Certification Form. All addresses must be complete - street number and name, city, state and Zip Code plus 4.

Note: Local Boards should discuss their application and funding process. They should ensure the process is open and that all agencies are provided the same opportunity in the application process. Local Board member agencies must follow the same process as other applicant agencies.

Glossary of EFSP Terms

Award: the dollar amount granted to either a jurisdiction as a whole or an individual LRO.

Begin Date: the date the LRO can start charging expenses to the program; one day after the prior Phase ended.

Closeout: the process by which the National Board determines that all applicable administrative actions and all required work of the award have been completed.

Documentation: proof of payment, invoices, per diem schedules, vouchers, letters, mileage logs or schedules, etc. to support expenditures.

DocuSign: an e-signature and workflow solution. All Local Board Plans, Local Recipient Organization Certifications, Fiscal Agent/Fiscal Conduit Relationship Certification Forms, Lobbying Certifications, Second Payment Requests, Final Reports and Spending Period End Date Extension Requests must be electronically signed using DocuSign.

Eligible Costs: charges made against EFSP funds that the National Board determines to be allowable in accordance with the legislation.

End Date: the date by which all funds must be expended; this date is selected annually by the Local Board.

Final Report: annual report filed by each Local Board and LRO of expenditures of program funds.

Fiscal Agent: an LRO that maintains all EFSP financial records for another agency.

Fiscal Conduit: an LRO that maintains all EFSP financial records for more than one agency under a single award.

Ineligible costs: charges made against EFSP funds that the National Board determines to be disallowed in accordance with the legislation.

Jurisdiction: city, county or combination receiving funds through EFSP.

Local Board: decision-making body for each jurisdiction.

Local Board ID Number: the unique 6-digit number which identifies each Local Board.

Local Board Chair: elected head of the Local Board authorized to sign documents on behalf of the jurisdiction.

Local Board Contact: person in a jurisdiction serving as the primary point of contact.

Local Recipient Organization (LRO): refers to the local private or public agency that will receive any award of funds from the National Board.

LRO ID Number: the unique 9 digit number which identifies each LRO within a jurisdiction.

Manual (Responsibilities and Requirements): the written rules and regulations for the Emergency Food and Shelter National Board Program.

Mass Feeding: A facility that prepares and serves congregate meals for clients in a program operated by an LRO.

Mass Shelter: A facility that has the capacity to provide accommodations for at least 5 clients per night at a single site operated by the LRO.

National Board: the governing body responsible for the administration of the EFSP.

Phase: the grant cycle.

Phase Spending Period: the period of time in which a jurisdiction has to spend its entire EFSP award. The spending period may vary for each jurisdiction. (See Begin Date, End Date.)

Second Payment/Interim Report: the form necessary for the LRO to submit to the Local Board and National Board for release of their second half of an award which reflects their program spending of the first payment.

State Set-Aside (SSA) Committee: the decision-making body for each state receiving funds to award to jurisdictions with a need not reflected or greater than reflected in the statistics used by the National Board in the funding formula.

Index

A

Accessibility Improvements 68
Address Changes 24, 29–30
Administrative Allowance 21, 36, 75, 77, 78, 90
Advertising Requirements 26–27, 54, 109–10
Appeals Process 31
Application Elements 111
Audit Requirements 59, 80, 103–4

B

Bank Accounts 39–40, 58
Begin Date, End Date 10–11, 10–11, 57, 112
Board Plan Deadline 15, 26
Building Code 51, 68, 78, 88

C

Canceled Checks 27, 59, 73, 79, 105, 107
Cash Depositories 58
Cash Payment 37, 40, 64, 75
Certification Regarding Lobbying 10, 22, 28, 49, 95
Change of Address Notice 24, 30
Chargeback of Expenditures 13, 74
Client Confidentiality 64, 80
Client Eligibility 18, 29, 63
Closeout 60, 112
Combining Local Boards 30
Communicating with National Board Staff 9, 31, 39, 63
Compliance Resolution 41
Composition of Local Board 22
Composition of State Set Aside Committee 21
Consumable Supplies 66
Coordination of Service 28
Credit Card Payments 40, 64, 75, 79
Criteria for LROs 37, 109

D

Debarment & Suspension 52, 61, 62
Debit Card Payments 40, 64, 75, 79
Diapers 65, 73
Disabilities 8, 18, 29, 53, 63, 68
Disallowed Costs 60
Disaster Assistance 8, 75
Disaster Recovery Plan 27, 38, 105
Discrimination 18, 29, 37, 45–48, 50, 53–56, 63, 110
Documentation Requirements 12–14, 32, 36, 79–80
Dun & Bradstreet (DUNS) Number 29, 34, 37, 44, 47

E

EFT Processing/Payments 17, 36, 39
Elderly 8, 21, 24, 28
Election of Chair 24
Electronic Funds Transfer (EFT) 17, 36, 39–40
Electronic Payments 40, 64, 75, 79
Eligible Program Costs 65–74, 77–78
End-of-Program 35, 41, 57
Equipment/Repairs 67, 68
Equipment/Supplies 66, 67, 88

F

Facility Improvements 68
Families with Children 8, 21, 24, 28
Fee for Service 63
FEMA Responsibilities 19
Feminine Hygiene Items 66, 74
Final Report 33, 41, 79, 80, 81, 112
Financial Management System 58–59
Financial Reporting Requirements 60
Financial Terms and Conditions 9, 57–61
First Aid 67
First Payments 17, 59
Fiscal Agent/Fiscal Conduit 37, 40, 42, 43–44, 58, 61, 64, 94, 112
Fiscal Agent/Fiscal Conduit Form 94
Food Purchases 65, 66, 84–85, 78, 86
Food Voucher ..... *See* Gift Cards/Vouchers
Fraud 31, 34–35, 51, 57, 60, 62, 105
Funding Formula 16, 20–21
Funding Source 26, 54

G

Gift Cards/Vouchers 63, 65, 73, 74, 75, 78, 99
Glossary of EFSP Terms 112–13
Grant Agreement Articles 9, 26, 28, 45–56

Grant Payment Process 17–18

H

History 8
Homeless Representation 10, 24

I

Ineligible Expenditures 33, 40, 57, 63, 64, 71, 75–76
Intent of Program 13, 39, 63
Interest-Earning Account 39–40, 58
Interim Report 17–18, 32, 40–41, 59, 80, 113

J

Jurisdiction ID Number ..... *See* Local Board ID Number

K

Key Changes and Program Clarifications 9–14
Key Program Dates 15
Knoweledge of Requirements 38–39

L

Lobbying 10, 22, 28, 42, 49, 60–61, 75, 95
Local Board Authority Related to LROs 57–58
Local Board Certification Form 22, 92
Local Board Communications 30
Local Board Composition 23–25
Local Board Disaster Recovery Plan 27
Local Board Expansion 24
Local Board ID Number 22, 37, 112
Local Board Meetings 25, 26, 75
Local Board Membership & Voting 23, 25, 27
Local Board Responsibilities 22–36
Local Board Roster 22–25
Local Recipient Organization 57, 112
Local Recipient Organization Responsibilities 37–44
LRO ..... *See* Local Recipient Organization
LRO Certification Form 11, 22, 27, 28, 38, 42, 61, 80, 93
LRO ID Number 112

M

Mass Feeding-Direct Cost 66–68, 69
Mass Shelter/Mass Feeding 66–70, 86–87, 99–102, 113
Mass Shelter-Direct Cost 69, 86
Meeting Frequency 14, 25
Meeting Minutes 25, 26
Metered Utility Verification Form 73, 97
Method of Payment 17, 40, 44, 64
Mileage 91, 102
Mileage Rate/Log 65–66, 66, 80, 102
Monitoring of LROs 16, 31
Mortgage Assistance 70, 75, 78, 89, 98

N

National Board Affiliates 23
National Board Members 7
National Board Responsibilities 16–18
Native Americans 8, 21, 24, 28
No Fee Requirement for Service ..... *See* Fee for Service
Notification of Changes in Contacts 24, 29

O

Off-Site Lodging ..... *See* Other Shelter
Other Shelter 70, 87
Other Terms 9, 61–62

P

Payment to Vendor 13, 40, 64
Payments to LROs ..... 59, *See* Second Payments, *See* First Payments
Per Diem Allowance 69, 87, 100
Per Meal Allowance 70, 85, 101
Personal Identifiable Information 53, 62
Physically Disabled 21, 24, 28, 68
Preamble 8
Pre-Payments 75, 76
Program Compliance Resolution 41
Program Costs 63–76
Proof of Payment 12, 41, 79
Publicizing/Advertising Elements 109

Q

Questions on Guidelines 63
Quorum Requirements 25

R

Reallocation of Funds 33–34, 43
Record Retention 13, 35, 38, 42, 58, 105
Rent Assistance 70–72, 75, 78, 89, 98
Reporting Fraud, Theft and Criminal Activity 31, 34–35, 51, 57, 105
Required Documentation. *See* Documentation Requirements
Required Forms 83–95
Returning Funds 34, 39, 80

S

Sample Advertisement 109–10
Sample Eligible and Ineligible Expenditures 78
Sample Forms, Letters and Guidance..... 96–111
Second Payments 17–18, 32, 40–41, 59
Selection of LROs 27–28
Served Meals..... 66–68, 84–85, 78, 85
Site Audits 81, 105
Special Emphasis Groups 8, 21, 24, 28
Specialized Needs 8, 18, 29, 63
Spending Period Extension 10–11, 35
Spreadsheets 12, 33, 36, 41, 65, 79–80, 83–91
State Set-Aside Committee Responsibilities 20–21
Submitting Documentation 35, 79–80
Supplies/Equipment..... 66, *See* Equipment/Supplies
Suspension & Debarment.....*See* Debarment & Suspension

T

Technical Assistance 16, 30–31, 43
Transportation..... 65–66, 66, 75, 91, 102

U

Uniform Guidance (OMB) . 10, 16, 31, 43, 54–55, 59, 60, 61, 62, 103
Unique Identifiers.....22, 37, 47, 112
Unspent Funds.....39, 80
Use of Funds 39
Utility Assistance.....72–73, 73, 75, 78, 89, 97, 107–8

V

Variances 16, 35–36
Veterans.....8, 21, 24, 28
Voting on Awards 23, 27, 30
Vouchers .....*See* Gift Cards/Vouchers

W

Website 6, 31, 43
Who Must Submit Documentation..... 81

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASES 37 AND CARES ADDENDUM

TO THE

PHASE 35

RESPONSIBILITIES AND REQUIREMENTS MANUAL AND THE

PHASE 36 ADDENDUM

701 North Fairfax Street
Alexandria, Virginia 22314
p. 703-706-9660
f. 703-706-9677
efsp@uww.unitedway.org
www.efsp.unitedway.org

Table of Contents

I. Program Contact Information 2

II. Notice 2

Federal Programs to Help Homeless Individuals 2

Publication Statement 2

III. National Board Members 3

IV. Phase 35 Responsibilities and Requirements Manual: Phases 37 and CARES Addendum 4

GRANT AGREEMENT ARTICLES, FINANCIAL TERMS AND CONDITIONS AND OTHER TERMS AND CONDITIONS 4

V. Key Changes and Program Clarifications 5

VI. Key Dates for Phase 37 9

VII. Grant Agreement Articles 10

VIII. Financial Terms and Conditions 19

IX. Other Terms and Conditions 23

Non-Supplanting Requirement 23

Hatch Act 23

False Claims Act and Program Fraud Civil Remedies 23

Debarment and Suspension 23

Best Practices for Collection and Use of Personally Identifiable Information (PII) 23

X. Required Forms 26

Annex 1: Spreadsheets 26

Served Meals 28

Other Food 29

Mass Shelter 29

Other Shelter 30

Supplies and Equipment 31

Rehabilitation (Emergency Repairs/Building Code) 31

Rent/Mortgage 32

Utilities 32

Administration 32

Mileage 34

Annex 2: Local Board Plan Certification 35

Annex 3: Local Recipient Organization (LRO) Certification 36
Annex 4: Fiscal Agent/Fiscal Conduit Agency Relationship Certification 37
Annex 5: Lobbying Certification 38

Program Contact Information

Emergency Food and Shelter National Board Program
701 North Fairfax Street
Alexandria, Virginia 22314

Phone: 703-706-9660
Fax: 703-706-9677
Website: www.efsp.unitedway.org

Email (Inquiries): efsp@uww.unitedway.org
Email (Document Submission): documentstoefsp@uww.unitedway.org
For all emails, please include your EFSP ID Number.

Catalogue of Federal Domestic Assistance (CFDA) No. 97.024

Notice

The Phase 35 Emergency Food and Shelter Program Responsibilities and Requirements Manual (Phase 35 EFSP Manual) and Phase 36 Addendum are being used, in conjunction with this Phases 37 and CARES Addendum, for the administration of Phases 37 and CARES. This addendum provides updates to the Phase 35 EFSP Manual currently on the EFSP website to guide implementation of the program. The Phase 35 EFSP Manual, the Phase 36 Addendum, and the Phases 37 and CARES Addendum must be carefully studied prior to giving any information to the public, making any grant award, or administering the program.

The Manual and addendums are intended for use by State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations (LROs) in the administration of, and delivery of humanitarian services under, the Emergency Food and Shelter National Board Program. The Manual and addendums are not intended for individuals seeking services.

Questions or matters of interpretation must be referred to the National Board staff.

Federal Programs to Help Homeless Individuals

For information on other Federal programs to help homeless individuals, including programs funded under the McKinney-Vento Homeless Assistance Act, contact the U.S. Interagency Council on Homelessness, 301 7th Street, SW, Room 2080, Washington, DC 20407, (202) 708-4663.

Publication Statement

This publication was produced with administrative funds provided under the Emergency Food and Shelter National Board Program grant which was awarded to the National Board by the U.S. Department of Homeland Security's Federal Emergency Management Agency. While DHS/FEMA supports the Emergency Food and Shelter National Board Program, the statements in this publication do not necessarily reflect DHS/FEMA's views.

National Board Members

MICHAEL LEE, CHAIR
Federal Emergency Management Agency
U.S. Department of Homeland Security
Supervisory Emergency Management Specialist
500 C Street, SW
Washington, DC 20024

BRIAN CORBIN
Catholic Charities USA
Executive Vice President
Member Services
2050 Ballenger Avenue, Suite 400
Alexandria, VA 22314

ROBERT GOLDBERG
The Jewish Federations
of North America
Senior Director, Legislative Affairs
1720 I Street, NW, Suite 800
Washington, DC 20006

REV. EBONY GRISOM
The National Council of Churches of Christ
Volunteer Representative
100 Maryland Avenue, NE, Suite 500
Washington, DC 20002

LT. COL. MICHELE MATTHEWS
The Salvation Army
National Social Services Secretary
615 Slaters Lane
Post Office Box 269
Alexandria, VA 22313

ERIC MONDERO
American Red Cross
Legislative Consultant
431 18th Street, NW
Washington, DC 20006

SARAH YERGEAU
United Way Worldwide
Director, Digital Advocacy and Network Capacity Building
701 North Fairfax Street
Alexandria, VA 22314

Phase 35 Responsibilities and Requirements Manual Phases 37 and CARES Addendum

The Phase 35 Responsibilities and Requirements Manual (EFSP Manual) published on the Emergency Food and Shelter Program (EFSP) website, the Phase 36 Addendum, and this Phases 37 and CARES Addendum are being used for Phases 37 and CARES administration. These program changes were required for Federal grant administration purposes. The required program changes are provided in this addendum with citations to the appropriate pages in the Phase 35 Manual and Phase 36 Addendum. Please keep these changes with your copy of the Manual and ensure they are implemented for Phases 37 and CARES, as required.

GRANT AGREEMENT ARTICLES, FINANCIAL TERMS AND CONDITIONS AND OTHER TERMS AND CONDITIONS

Pages 45-62 - Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions - This section has been amended and should be replaced with the following amended section.

Pages of 10-24 of this Addendum replaces Pages 11-28 of the Phase 36 Addendum and pages 45-62 of the Phase 35 Manual.

Key Changes and Program Clarifications

This Key Changes and Program Clarifications section is provided to assist in your reading and review of the Phase 35 EFSP Manual; it is not a substitute for reading the Manual. All SSA members, Local Board members, and LROs are advised to read the entire Phase 35 EFSP Manual, Phase 36 Addendum and this Phases 37 and CARES Addendum thoroughly to obtain the guidance necessary for administering the program. Significant changes have been made in terms of program responsibilities and operations, acceptable expenditures, and documentation requirements.

GRANT AGREEMENT ARTICLES, FINANCIAL TERMS AND CONDITIONS & OTHER TERMS AND CONDITIONS

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to ALL parties participating in the grant. For the EFSP, all parties means the National Board which is considered the Recipient and SSAs, Local Boards, and LROs that are considered the Subrecipients. All parties need to ensure their understanding of the Phase 35 EFSP Manual, the Phase 36 Addendum, this Phase 37 and CARES Addendum, and the statements on the Certification Forms. By signing the Certification Forms, they are agreeing to specific program requirements of the National Board as well as those mandated by the Federal government, including those that do not appear to apply to the types of programs and activities eligible under the EFSP. All parties will be held accountable for the provisions of the grant.

For further detail, please reference pages 10-24.

NEW ELIGIBLE COSTS

LROs may use Phases 37 and CARES funding to purchase Personal Protective Equipment (PPE). For all service providers, the purchase of PPE specifically intended to prevent or mitigate the transmission of communicable diseases is permitted. PPE must fall within the guidelines of the CDC, FDA, or state and local health requirements, as applicable to each LRO. Additional factors regarding eligibility include:

- PPE expenditures are limited to 10% of an LRO's award (Phases 37 and CARES). If an LRO receives an award for both phases, then 10% may be used from each phase.
- PPE may be directly distributed to LRO staff and volunteers to conduct and deliver services and/or clients to receive services.
- EFSP funds cannot be used to purchase PPE for general distribution to the public or for use outside of an LRO's mission area.

While LROs can use funding to purchase PPE, funding cannot be used for COVID-19 testing.

Starting in Phase 35, all Local Board Plans, Local Recipient Organization Certifications, Fiscal Agent/Fiscal Conduit Relationship Certification Forms, Lobbying Certifications, Second Payment Requests, Final Reports and Spending Period End Date Extension Requests must be electronically signed using DocuSign. You do not need a DocuSign account to electronically sign EFSP documents and there is no cost for using DocuSign for EFSP documents. Please review the updated Website User Guide for step-by-step instructions for submitting forms on the EFSP website and electronically signing. The User Guide may be found on the EFSP website, (www.efsp.unitedway.org).

PAYMENTS

First payments will be released to funded agencies in both Phase 37 and Phase CARES, prior to receipt of the Phase 35 and 36 Final Reports. Any agency that is awarded funds that participated in EFSP in the past and has outstanding compliance exceptions in any phase, must resolve them prior to the release of funds.

ELECTRONIC SIGNATURES

Starting in Phase 35, all Local Board Plans, Local Recipient Organization Certifications, Fiscal Agent/Fiscal Conduit Relationship Certification Forms, Lobbying Certifications, Second Payment Requests, Final Reports and Spending Period End Date Extension Requests must be electronically signed using DocuSign. You do not need a DocuSign account to electronically sign EFSP documents and there is no cost for using DocuSign for EFSP documents. Please review the updated Website User Guide for step-by-step instructions for submitting forms on the EFSP website and electronically signing. The User Guide may be found on the EFSP website, (www.efsp.unitedway.org).

ADVERTISING AND ACKNOWLEDGEMENT OF FUNDS

All parties as referenced in the Grant Agreement Articles must acknowledge EFSP funding as Federal funds awarded through the Department of Homeland Security. The acknowledgment must be included in Local Boards' advertisement of funding to the jurisdiction and any printed material, including request for proposals, bid invitations, etc.

For further detail, please reference pages 26-27, 45-46 and 109-111 in the Phase 35 Responsibilities and Requirements Manual.

LOBBYING CERTIFICATION

By signing the LRO Certification Form, each LRO is certifying that EFSP funds will not be used for any type of lobbying activities. Additionally, LROs receiving $100,000 or more in EFSP funds must complete and submit the Certification Regarding Lobbying Form. The total of the funds is based on the original allocation to the LRO, plus any combination of subsequent awards to the LRO, including reallocations made by the Local Board.

If the Certification Regarding Lobbying Form is not submitted to the National Board, the funds may be held until it has been provided.

For further detail, please reference pages 42,49,60-61, and 95 in the Phase 35 Responsibilities and Requirements Manual.

SPENDING PERIOD EXTENSIONS

The National Board may determine on an annual basis to extend the spending period when the receipt of annual funding is delayed due to the federal appropriations process or when additional appropriations bills are enacted later in the fiscal year. The National Board has determined that the spending period end-date options for Phases 37 and CARES can be selected from the following dates:

January 31, 2020	**June 30, 2020**	**November 30, 2020**	**April 30, 2021**
February 28, 2020	**July 31, 2020**	**December 31, 2020**	**May 31, 2021**
March 31, 2020	**August 31, 2020**	**January 31, 2021**	
April 30, 2020	**September 30, 2020**	**February 28, 2021**	
May 31, 2020	**October 31, 2020**	**March 31, 2021**	

LRO CERTIFICATION FORMS

Local Boards are required to have all agencies selected as LROs on the Local Board Plan e-sign and date the LRO Certification Form at the beginning of each funding cycle. A copy of this form must be retained by both the Local Board and the LRO. The certification forms for all funded LROs must be submitted electronically and e-signed by accessing the forms under LRO Plan. Funds will not be issued to any LRO who has not e-signed and dated the LRO Certification Form. Only the LRO Certification Form provided by the National Board for the funding cycle will be accepted. The National Board's LRO Certification Form process has changes from prior phases with the introduction of DocuSign. The National Board's form may not be amended in any way.

Local Boards wishing to have appropriate additional requirements regarding the funding of LROs may submit an addendum with the National Board's form. The addendum must also be submitted to EFSP with the Local Board Plan.

For further detail, please reference pages 40-42.

DOCUMENTATION REQUIREMENTS

LOCAL BOARD AND LRO FORMS:

Only EFSP provided forms will be accepted from State Set-Aside Committees, Local Boards and LROs and must be e-signed using DocuSign. EFSP provided forms may not be altered by either Local Boards or LROs. Local Boards making additional appropriate requirements may add an addendum to the National Board's LRO Certification Form for LROs to also sign and date. This addendum must be submitted to the National Board. (Note: LROs may use their own forms for intake and to document expenditures. EFSP provides several sample forms in the Annex section of the Manual. These forms may be copied onto LRO letterhead and the use of these samples should eliminate compliance problems, provided the forms are fully and accurately completed.) For further detail, please reference pages 35-38.

SPREADSHEETS FOR ALL PROGRAM CATEGORIES:

A spreadsheet for each program category (mass feeding, other food, mass shelter, other shelter, supplies/equipment, rent/mortgage, utilities and administration) must be maintained and must be provided when documentation is reviewed for the EFSP. The documentation for EFSP expenditures must support the information on the spreadsheet. Spreadsheets will provide an overview of how EFSP funds were spent and serve as a checklist with which the documentation can be compared. Sample spreadsheets can be found on the EFSP website. Specific information must be provided on the spreadsheets (i.e., check number, date of check, vendor, client name [as needed], amount of check, amount of check attributed to EFSP, etc.). Reference the sample spreadsheets on the website for the required elements for each spending category. Spreadsheets should be in the appropriate order as should the supporting documentation for each individual program category. EFSP will accept spreadsheets/schedules/reports from an LRO's financial system provided the spreadsheets/schedule/report contains the required elements.

IMPORTANT CHANGE: If an LRO pays $100 or less on a past-due utility bill balance for a client, on the utility spreadsheet in the billing period column, please insert N/A. No billing period is required for the expenditure. Do not leave the column blank. If the column is left blank, it will result in a compliance exception.

For further detail, please reference pages 32-38 in the Phase 36 Addendum, and 26-91 in the Phase 35 Responsibilities and Requirements Manual.

PROOF OF PAYMENT:

EFSP funding is intended to be used as necessary to meet emergency need and expenditures incurred under EFSP must be promptly paid to vendors. Generally, payments should be made to vendors within one accounting cycle (normally 30 days). However, the EFSP will allow payments made not more than 90 days from the invoice or intake date as appropriate. LROs must ensure any amount paid and attributed to EFSP is still due in its entirety at the time payment is made. Payments made more than 90 days following the invoice or intake date will be considered ineligible and funds will be subject to return to the National Board. It is the intent of EFSP that funds received by LROs are used for costs incurred during the program period and that vendors be paid during the program period to the extent possible. It is also the intent of EFSP that goods or services be purchased and used during the program period. Large purchases made at the end of the program period do not meet this intent and may be considered ineligible. For further detail, please reference pages 63-64 and 79 in the Phase 35 Responsibilities and Requirements Manual.

REMINDER – NO FEE REQUIREMENT FOR SERVICE

No individual, family or household may be charged a fee for service or be required to attend religious/counseling services with relation to assistance received under EFSP. Please note, EFSP does not consider the receipt of donations to an agency to be the same as a fee for service. The receipt of donations does not prevent an agency from participating in the EFSP.

For further details reference page 63 in the Phase 35 Responsibilities and Requirements Manual.

REMINDER – CHARGING BACK OF ELIGIBLE EXPENDITURES

LROs may submit expenditures for items and services procured prior to receiving EFSP funds. The expenditures must be incurred during the spending period and be eligible under EFSP program guidelines. All documentation requirements for the category in which the expenditures are reported will apply.

(***Documentation required:*** Spreadsheets for the categories, documentation including invoices/receipts and proof of payment.)

For further details reference page 74 in the Phase 35 Responsibilities and Requirements Manual.

REMINDER – PAYMENT TO VENDOR (NOT MORE THAN 90 DAYS)

Payments must be made to vendors for all eligible expenditures, by an approved method, not more than 90 days after the receipt/invoice date or the date of the client intake form. Payments made more than 90 days following the invoice or intake date will be considered ineligible and funds will be subject to return to the National Board.

For further details reference pages 63-64 and 79 in the Phase 35 Responsibilities and Requirements Manual.

Key Dates for Phases 37 and CARES

The National Board sets key program dates for each phase to ensure funds are released in a timely manner to eligible Local Boards and their LROs. ***All dates are subject to change and may be changed unilaterally by the National Board, as needed,*** including submission of Local Board Plans, Second Payment Requests, Electronic Funds Transfer (EFT) enrollment, and Final Reports. Local Boards will be notified of changes via email, as necessary. ***The failure of Local Boards and LROs to adhere to the key program dates may result in the loss of funds.***

ITEM	KEY DATE
Phases 37 AND CARES **Local Board Plans** due to **National Board**	**May 29, 2020** for jurisdictions qualifying via the National Board's funding formula. **Date Varies** for ***State Set-Aside Committee*** funded jurisdictions. A date will be noted on each jurisdiction's Local Board Plan. The date will also be specified on the Local Board Certification.
Phases 37 AND CARES **State Set-Aside Committee Plans** due to **National Board**	**May 29, 2020** for State Set-Aside Committee plans. However, **State Set-Aside Committees** have flexibility in the submission of committee plans. To ensure funds are awarded to jurisdictions reflecting the highest need or impact due to recent changes, including the Coronavirus, the Committee plan may be submitted after the due date, as necessary.
Phases 37 AND CARES **Begin Spend Dates**	**January 1, 2020** for **Phase 37** **January 27, 2020** for **Phase CARES**
Final Reports Due **Spending Period End Date Options** (A jurisdiction's selected end date is listed on both the Phases 37 AND CARES Local Board Plans. The end date must be the same for both Phases. A jurisdiction's end date is also printed on each LRO's payment letter notification.) ***Local Boards failing to select a spending period end date for the two Phases will automatically be assigned the end date of May 31, 2021.***	Below are the **Spending Period End Date** options available for Phases 37 AND CARES. The end date selected by the Local Board will apply to all LROs in the jurisdiction and it is the last day that LROs can make purchases. **January 31, 2020** **February 28, 2020** **March 31, 2020** **April 30, 2020** **May 31, 2020** **June 30, 2020** **July 31, 2020** **August 31, 2020** **September 30, 2020** **October 31, 2020** **November 30, 2020** **December 31, 2020** **January 31, 2021** **February 28, 2021** **March 31, 2021** **April 30, 2021** **May 31, 2021** **Final Reports** for both Phases 37 AND CARES are due **July 15, 2021**.
LROs' Interim Report/Second Payment Requests due to **National Board**	Not later than **May 15, 2021**
EFT enrollment form for new LROs	Newly funded LROs must sign up for EFT not later than **April 30, 2021**.
Adding a new LRO	If an LRO has NOT previously been funded in the current phase (Phase 37 or Phase CARES), it may not be added for funding after **April 30, 2021**. (This also applies when reallocating funds.)
Local Board **Reallocation Requests** due to the **National Board**	Not later than **May 15, 2021**.

Grant Agreement Articles

The Emergency Food and Shelter National Board Program (EFSP) is a restricted federal grant. All federal grants have terms and conditions that apply to **ALL** parties participating in the grant. For the EFSP, all parties mean the National Board which is considered the *Recipient* and the State Set-Aside Committees (SSAs), Local Boards, and Local Recipient Organizations that are considered the *Subrecipients*. This section of the EFSP Responsibilities and Requirements Manual (EFSP Manual) provides guidance related to the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions of the grant. The EFSP Certification Forms for all parties contain statements that incorporate the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions. All parties must ensure their understanding of this section of the EFSP Manual and the statements on the Certification Forms being signed, as they are agreeing to specific program requirements mandated by the Federal government, including those that do not appear to apply to the types of programs and activities eligible under the EFSP. While some of the articles do not appear to be consistent with the types of programs and activities funded under the EFSP and some state recipient but not subrecipient, all Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions must be passed on to all parties participating in the EFSP. ***All parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in this Manual.***

Most SSAs and Local Boards do not receive funds (except administrative funds where they are considered to be an LRO and therefore a *subrecipient*), these parties participating in the EFSP have responsibility for ensuring compliance in their selection of jurisdictions and/or LROs for funding and adhering to all EFSP requirements, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions. SSAs, Local Boards, and LROs should familiarize themselves with all specific citations noted in the Manual.

Article I - USA PATRIOT Act of 2001

Recipients must comply with requirements of Section 817 of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act), Pub. L. No. 107-56, which amends 18 U.S.C. sections 175-175c.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article II - Universal Identifier and System of Award Management

Recipients are required to comply with the requirements set forth in the government-wide financial assistance award term regarding the System for Award Management and Universal Identifier Requirements located at 2 C.F.R. Part 25, Appendix A, the full text of which is incorporated here by reference.

EFSP Applicability: SAMS registration in this article applies to the recipient, the EFSP National Board. The EFSP is registered in the SAMS system. Any necessary updates to EFSP information in the system will be made yearly.

The unique identifier statement applies to all State Set-Aside Committees, Local Boards and LROs. All funded LROs are required to provide their DUNS number to EFSP before payments can be released. The statement contained in the Certification Forms – "Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP" speak to this Grant Agreement Article.

Article III - Nondiscrimination in Matters Pertaining to Faith-Based Organizations

It is DHS policy to ensure the equal treatment of faith-based organizations in social service programs administered or supported by DHS or its component agencies, enabling those organizations to participate in providing important social services to beneficiaries. Recipients must comply with the equal treatment policies and requirements contained in 6 C.F.R. Part 19 and other applicable statues, regulations, and guidance governing the participations of faith-based organizations in individual DHS programs.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. EFSP guidelines prohibits discrimination based on age, race, sex, religion, national origin, disability, economic status or sexual orientation.

Article IV - Americans with Disabilities Act of 1990

Recipients must comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, Pub. L. No. 101-336 (1990) (codified as amended at 42 U.S.C. sections 12101Â¿12213), which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds] and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article V - SAFECOM

Recipients receiving federal financial assistance awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding communication equipment. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article VI - Copyright

Recipients must affix the applicable copyright notices of 17 U.S.C. sections 401 or 402 and an acknowledgement of U.S. Government sponsorship (including the award number) to any work first produced under federal financial assistance awards.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding materials that would be copyrighted with EFSP funds. Any necessary materials for use in the EFSP would not generally be copyrighted. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article VII - Acceptance of Post Award Changes

In the event FEMA determines that changes are necessary to the award document after an award has been made, including changes to period of performance or terms and conditions, recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award. Please call the FEMA/GMD Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov if you have any questions.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. Should

there be changes to the award, the EFSP National Board will communicate changes (as necessary) to State Set-Aside Committees, Local Boards and LROs. Item 2 (Amendments) under Financial Terms and Conditions also speaks to this Grant Agreement Article.

Article VIII - Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129.)

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs.

Article IX - False Claims Act and Program Fraud Civil Remedies

Recipients must comply with the requirements of the False Claims Act, 31 U.S.C. sections 3729-3733, which prohibits the submission of false or fraudulent claims for payment to the federal government. (See 31 U.S.C. sections 3801-3812, which details the administrative remedies for false claims and statements made.)

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Generally, this act provides for criminal penalties if false claims are filed.

Article X - Duplication of Benefits

Any cost allocable to a particular federal financial assistance award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other federal financial assistance awards to overcome fund deficiencies; to avoid restrictions imposed by federal statutes,

regulations, or federal financial assistance award terms and conditions; or for other reasons. However, these prohibitions would not preclude recipients from shifting costs that are allowable under two or more awards in accordance with existing federal statutes, regulations, or the federal financial assistance award terms and conditions.

EFSP Applicability: This applies to the National Board, all State Set-Aside Committees, Local Boards and LROs. The National Board is required to caution State Set-Aside Committees, Local Boards and LROs of EFSP funding that they must maintain proper recordkeeping and ensure individual expenditures are not charged to multiple federal awards, consistent with 2 C.F.R. Part 200. None of the funds awarded under this grant may duplicate the same costs already paid for with funding from FEMA's Public Assistance Program or any other Federal Programs. LROs must notify their Local Board if they are engaged by contract or agreement with state, local, tribal or territorial governments during the applicable spending period. This will provide 1) transparency for any potential duplication of benefit with EFSP funding and 2) awareness to the Local Board of all funding streams that are meeting needs within the community. LROs should consult with their Local Board prior to making any investment if unsure whether a cost might be duplicative or whether it meets allowability requirements established in this grant and in National Board guidance.

EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is non-disaster funding, and its funding is supplemental to the on-going work that local social service organizations perform. Expenditures charged in full to the EFSP grant may not also be charged to other awards/grants; nor may expenditures paid for with EFSP funding be charged to other awards/grants. The statements contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" and "Will expend monies only on EFSP eligible costs" as well as the Costs Eligibility sections of the EFSP Manual speak to this requirement.

Article XI - Federal Leadership on Reducing Text Messaging while Driving

Recipients are encouraged to adopt and enforce policies that ban text messaging while driving as described in E.O. 13513, including conducting initiatives described in Section 3(a) of the Order when on official government business or when performing any work for or on behalf of the federal government.

EFSP Applicability: This article applies to the EFSP National Board as the recipient, all State Set-Aside Committees, Local Boards and LROs as subrecipients of funds.

Article XII - Reporting Subawards and Executive Compensation

Recipients are required to comply with the requirements set forth in the government-wide award term on Reporting Subawards and Executive Compensation located at 2 C.F.R. Part 170, Appendix A, the full text of which is incorporated here by reference in the award terms and conditions.

EFSP Applicability: This article applies to the Grantee (National Board) and all State Set-Aside Committees, Local Boards and LROs. As information received from State Set-Aside Committees, Local Boards and LROs are necessary components of the required reports, the statements contained in the Certification Forms regarding the DUNS number, Federal Employer Identification Number (FEIN), and reporting requirements also speak to this Grant Agreement Article.

Article XIII - Non-Supplanting Requirement

Recipients receiving federal financial assistance awards made under programs that prohibit supplanting by law must ensure that federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is non-disaster, supplemental funding. The Preamble and the statement contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" speak to this requirement.

Article XIV - Best Practices for Collection and Use of Personally Identifiable Information (PII)

Recipients who collect PII are required to have a publicly available privacy policy that describes standards on the usage and maintenance of the PII they collect. DHS defines personally identifiable information (PII) as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy Template as useful resources respectively.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. In order to meet the documentation requirements of the EFSP in certain program categories, it is necessary to obtain, retain, and provide, if requested, PII for clients served with EFSP funding. Additionally, there must be a system in place to ensure there is no duplication of service in the specific categories of rent/mortgage and utility assistance which may require the sharing of PII for this purpose. The National Board does not require and does not expect to receive PII beyond what is noted in the EFSP Documentation Requirements as stated in the Manual. Items that should not be submitted to EFSP as documentation include, but are not limited, to driver's licenses, Social Security Numbers or cards, pay stubs, etc.

Article XV - National Environmental Policy Act

Recipients must comply with the requirements of the National Environmental Policy Act of 1969 (NEPA), Pub. L. No. 91-190

(1970) (codified as amended at 42 U.S.C. section 4321 et seq.) and the Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of NEPA, which require recipients to use all practicable means within their authority, and consistent with other essential considerations of national policy, to create and maintain conditions under which people and nature can exist in productive harmony and fulfill the social, economic, and other needs of present and future generations of Americans.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies.

Article XVI - Rehabilitation Act of 1973

Recipients must comply with the requirements of Section 504 of the Rehabilitation Act of 1973, Pub. L. No. 93-112 (1973), (codified as amended at 29 U.S.C. section 794,) which provides that no otherwise qualified handicapped individuals in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds] and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XVII - Limited English Proficiency (Civil Rights Act of 1964, Title VI)

Recipients must comply with Title VI of the Civil Rights Act of 1964, (42 U.S.C. section 2000d et seq.) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance: https://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access- people-limited and additional resources on http://www.lep.gov.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XVIII - Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. section 2225a, recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, (codified as amended at 15 U.S.C. section 2225.)

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Should SSAs, Local Boards, or LROs conduct conferences, meetings, or trainings for EFSP using any administrative funding from the EFSP, they must comply with this requirement.

Article XIX - Disposition of Equipment Acquired Under the Federal Award

When original or replacement equipment acquired under this award by the recipient or its subrecipients is no longer needed for the original project or program or for other activities currently or previously supported by DHS/FEMA, you must request instructions from DHS/FEMA to make proper disposition of the equipment pursuant to 2 C.F.R. Section 200.313.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. LROs may use up to $300 to purchase eligible equipment with EFSP funds and would generally fall beneath the $5,000 threshold. The statement contained in the Certification Forms –"Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XX - Trafficking Victims Protection Act of 2000 (TVPA)

Recipients must comply with the requirements of the government-wide financial assistance award term which implements Section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), codified as amended at 22 U.S.C. section 7104. The award term is located at 2 C.F.R. section 175.15, the full text of which is incorporated here by reference.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak

to this Grant Agreement Article.

Article XXI - Prior Approval for Modification of Approved Budget

Before making any change to the DHS/FEMA approved budget for this award, you must request prior written approval from DHS/FEMA where required by 2 C.F.R. Section 200.308. DHS/FEMA is also utilizing its discretion to impose an additional restriction under 2 C.F.R. Section 200.308(e) regarding the transfer of funds among direct cost categories, programs, functions, or activities. Therefore, for awards with an approved budget where the Federal share is greater than the simplified acquisition threshold (currently $250,000), you may not transfer funds among direct cost categories, programs, functions, or activities without prior written approval from DHS/FEMA where the cumulative amount of such transfers exceeds or is expected to exceed ten percent (10%) of the total budget DHS/FEMA last approved. You must report any deviations from your DHS/FEMA approved budget in the first Federal Financial Report (SF-425) you submit following any budget deviation, regardless of whether the budget deviation requires prior written approval.

EFSP Applicability: This article applies to the EFSP National Board. The budget submitted with the application in the ND Grant system generally remains the same. The scope and purpose of the program does not change, the guidelines are detailed in the EFSP Manual.

Article XXII - Reporting of Matters Related to Recipient Integrity and Performance

If the total value of any currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, then the recipients must comply with the requirements set forth in the government-wide Award Term and Condition for Recipient Integrity and Performance Matters located at 2 C.F.R. Part 200, Appendix XII, the full text of which is incorporated here by reference in the award terms and conditions.

EFSP Applicability: The reporting in this article applies to the recipient, the EFSP National Board. The EFSP is registered in the SAMS system. Any necessary updates to EFSP information in the system or required reporting related to the grant will be made appropriately.

Article XXIII - Assurances, Administrative Requirements, Cost Principles, Representations and Certifications

DHS financial assistance recipients must complete either the Office of Management and Budget (OMB) Standard Form 424B Assurances - Non-Construction Programs, or OMB Standard Form 424D Assurances - Construction Programs, as applicable. Certain assurances in these documents may not be applicable to your program, and the DHS financial assistance office (DHS FAO) may require applicants to certify additional assurances. Applicants are required to fill out the assurances applicable to their program as instructed by the awarding agency. Please contact the DHS FAO if you have any questions.

DHS financial assistance recipients are required to follow the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at Title 2, Code of Federal Regulations (C.F.R.) Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statements contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" as well as those regarding accounting systems, audits, and other financial matters and the Financial Terms and Conditions and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXIV - Whistleblower Protection Act

Recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C section 2409, 41 U.S.C. section 4712, and 10 U.S.C. section 2324, 41 U.S.C. sections 4304 and 4310.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The article speaks to employees and contractors with the Department of Defense and disallowed costs with funding. The statement contained in the Certification Forms –"Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXV - Patents and Intellectual Property Rights

Recipients are subject to the Bayh-Dole Act, 35 U.S.C. section 200 et seq, unless otherwise provided by law.

Recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from federal financial assistance awards located at 37 C.F.R. Part 401 and the standard patent rights clause located at 37 C.F.R. section 401.14.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and

activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that would be patented with EFSP funds. Any necessary materials for use in the EFSP would not generally be patented. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXVI - Energy Policy and Conservation Act

Recipients must comply with the requirements of the Energy Policy and Conservation Act, Pub. L. No. 94- 163 (1975) (codified as amended at 42 U.S.C. section 6201 et seq.), which contain policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of supplies and equipment purchases, up to $300 per item, and emergency rehabilitation costs/building code citations for mass shelter and mass feeding sites, there are no allowable activities that can be funded with EFSP funds. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXVII - Civil Rights Act of 1964 - Title VI

Recipients must comply with the requirements of Title VI of the Civil Rights Act of 1964 (codified as amended at 42 U.S.C. section 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. DHS implementing regulations for the Act are found at 6 C.F.R. Part 21 and 44 C.F.R. Part 7.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXVIII - Notice of Funding Opportunity Requirements

All the instructions, guidance, limitations, and other conditions set forth in the Notice of Funding Opportunity (NOFO) for this program are incorporated here by reference in the award terms and conditions. All recipients must comply with any such requirements set forth in the program NOFO.

EFSP Applicability: The requirements stated in this article applies to the recipient, the EFSP National Board. The NOFO and guidance is made available to the National Board via the ND Grants System. All terms and conditions of the award are agreed to when the National Board accepts the award in the ND Grants System.

Article XXIX - Lobbying Prohibitions

Recipients must comply with 31 U.S.C. section 1352, which provides that none of the funds provided under a federal financial assistance award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any federal action related to a federal award or contract, including any extension, continuation, renewal, amendment, or modification.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Will not use EFSP funding for any lobbying activities and if receiving $100,000, or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in advance with its instructions. The "Lobbying Prohibition and Reporting Requirements" sections in the EFSP Manual also speak to this Grant Agreement Article.

Article XXX - Terrorist Financing

Recipients must comply with E.O. 13224 and U.S. laws that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. Recipients are legally responsible to ensure compliance with the Order and laws.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXXI - Drug-Free Workplace Regulations

Recipients must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2

C.F.R. Part 3001, which adopts the Government-wide implementation (2 C.F.R. Part 182) of Sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (41 U.S.C. sections 8101-8106).

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs.

Article XXXII - Acknowledgement of Federal Funding from DHS

Recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposal, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The use of the Sample Advertisement in the EFSP Manual complies with this Grant Agreement Article for advertising purposes only. If the Sample Advertisement is not used, the Acknowledgement of Federal Funding from DHS must be included in the advertisement made by the Local Board. Please note: this acknowledgement is not just for the advertisement.

Article XXXIII - Age Discrimination Act of 1975

Recipients must comply with the requirements of the Age Discrimination Act of 1975, Pub. L. No. 94-135 (1975) (codified as amended at Title 42, U.S. Code, section 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving federal financial assistance.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXIV - Activities Conducted Abroad

Recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of

the EFSP Manual speak to this Grant Agreement Article.

Article XXXV - DHS Specific Acknowledgements and Assurances

All recipients, subrecipients, successors, transferees, and assignees must acknowledge and agree to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance reviews or compliance investigations conducted by DHS.

2. Recipients must give DHS access to, and the right to examine and copy, records, accounts, and other documents and sources of information related to the federal financial assistance award and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.

3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.

4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.

5. Recipients of federal financial assistance from DHS must complete the DHS Civil Rights Evaluation Tool within thirty (30) days of receipt of the Notice of Award or, for State Administering Agencies, thirty (30) days from receipt of the DHS Civil Rights Evaluation Tool from DHS or its awarding component agency. After the initial submission for the first award under which this term applies, recipients are required to provide this information once every two (2) years as long as they have an active award, not every time an award is made. Recipients should submit the completed tool, including supporting materials, to CivilRightsEvaluation@hq.dhs.gov. This tool clarifies the civil rights obligations and related reporting requirements contained in the DHS Standard Terms and Conditions. Subrecipients are not required to complete and submit this tool to DHS. The evaluation tool can be found at https://www.dhs.gov/publication/dhs-civil-rights-evaluation-tool.

6. The DHS Office for Civil Rights and Civil Liberties will consider, in its discretion, granting an extension if the recipient

identifies steps and a timeline for completing the tool. Recipients should request extensions by emailing the request to CivilRightsEvaluation@hq.dhs.gov prior to expiration of the 30-day deadline.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The Financial Terms and Conditions of the EFSP Manual speak to items 1 – 4 of this Grant Agreement Article.

Article XXXVI - Civil Rights Act of 1968

Recipients must comply with Title VIII of the Civil Rights Act of 1968, Pub. L. No. 90-284, as amended through Pub. L. 113-4, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (see 42 U.S.C. section 3601 et seq.), as implemented by the U.S. Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features. (See 24 C.F.R. Part 100, Subpart D.)

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious

proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXVII - Education Amendments of 1972 (Equal Opportunity in Education Act) - Title IX

Recipients must comply with the requirements of Title IX of the Education Amendments of 1972, Pub. L. No. 92-318 (1972) (codified as amended at 20 U.S.C. section 1681 et seq.), which provide that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving federal financial assistance. DHS implementing regulations are codified at 6 C.F.R. Part 17 and 44 C.F.R. Part 19.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Practices non-discrimination [those agencies with a religious affiliation must agree not to refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds]" and the Client Eligibility sections in the EFSP Manual speak to this Grant Agreement Article.

Article XXXVIII - Fly America Act of 1974

Recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. section 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974, 49 U.S.C. section 40118, and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B-138942.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. With the exception of the administrative allowance, there are no allowable activities that can be funded regarding air travel with EFSP funds. Any necessary air travel would be limited to travel necessary for the administration of the EFSP and would not include international travel. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Article XXXIX - Debarment and Suspension

Recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders (E.O.) 12549 and 12689, which are at 2 C.F.R. Part 180 as adopted by DHS at 2 C.F.R. Part 3000. These regulations restrict federal financial assistance awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Is not debarred or suspended from receiving Federal funds" and the Financial Terms and Conditions sections in the EFSP Manual speak to this requirement.

Article XL - Use of DHS Seal, Logo and Flags

Recipients must obtain permission from their DHS FAO prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or

likenesses of Coast Guard officials.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The use of any organization's marks, including those of DHS, must be approved through proper channels. EFSP does not approve the use of the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials including those of the Federal Emergency Management Agency (FEMA) or those of any other

National Board member agency. SSAs, Local Boards or LROs wishing to use the marks of any of these organizations must secure the individual agency's permission. Bank accounts used by agencies funded under the EFSP should be set up in the individual agency's name, not as FEMA.

Article XLI - Procurement of Recovered Materials

States, political subdivisions of states, and their contractors must comply with Section 6002 of the Solid Waste Disposal Act, Pub. L. No. 89-272 (1965), (codified as amended by the Resource Conservation and Recovery Act, 42 U.S.C. section 6962.) The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition.

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. While it may appear the types of programs and activities referenced in this article would not be consistent with the types of programs and activities funded by EFSP, the article still applies. The statement contained in the Certification Forms – "Will expend monies only on EFSP eligible costs" and the Costs Eligibility sections of the EFSP Manual speak to this Grant Agreement Article.

Financial Terms and Conditions

The National Board requires all participants to meet the requirements stated in this Manual regarding program compliance, reporting, documentation and submission of documentation.

1. Definitions
   a. "Jurisdiction" refers to the city, county or combination receiving funds through EFSP.
   b. "Local Recipient Organization" or "LRO" refers to the local private or public agency that will receive any award of funds from the National Board.
   c. "Award" refers to the award of funds made by the National Board to a local private or public agency on the recommendation of a Local Board.
   d. "End-of-program" refers to the jurisdiction's end date, as agreed by Local and National Board, by which all monies must be spent or returned to the National Board.
   e. "Begin Date" is the date LROs may begin expending funds.
   f. "End date" is the date by which all funds must be expended or returned to the National Board.

2. Amendments

An award may be amended at any time by a written modification. Amendments, which reflect the rights and obligations of either party, shall be executed by both the National Board and the LRO. ***Administrative amendments such as changes in accounting data may be issued unilaterally by the National Board.***

3. Local Board Authority Related to Local Recipient Organizations

The Local Board is responsible for monitoring expenditures of LROs receiving EFSP funds; authorizing the adjustment of funds between EFSP funded services; and, reallocating funds from one LRO to another.

Local Boards may not alter or change National Board cost eligibility or approve expenditures outside of the National Board's criteria without National Board permission. Local Boards may not alter or change the National Board's documentation requirements.

A Local Board can recall an award to an LRO and reallocate to another LRO in the case of gross negligence, inadequate use of funds, failure to use funds, failure to use funds for purposes intended, for any other violation of the National Board guidelines, or in cases of critical need in the community. **The Local Board must advise, in writing, all concerned LROs of any reallocation of their original award.**

In the event the Local Board discovers ineligible expenditures by an LRO, the Local Board must send to the LRO a written request for reimbursement of the amount. The National Board must also be notified. If the LRO is unwilling or unable to reimburse the National Board for the ineligible expenditure, the Local Board must refer the matter to the National Board. The National Board may ask the Local Board to take further action to see that reimbursement of **ineligible** expenditures is made to the National Board, or the National Board may refer the matter to FEMA.

If the Local Board suspects that fraud has been committed by an LRO, the Local Board must contact the DHS/Office of Inspector General with details of the suspected fraud or misuse of Federal funds. The OIG's preferred method for reporting fraud is to submit their online allegation form from their website **www.oig.dhs.gov.** The address for mailing information is DHS Office of Inspector General/MAIL STOP 0305, Attention: Office of Integrity & Quality Oversight – Hotline, Murray Lane SW, Washington, DC 20528-0305. See pages 34-35 in the Phase 35 Responsibilities and Requirements Manual for more details.

If an LRO received an award under previous phases (Public Laws 98-8, 98-151 and 98-181, 98-396, 99-88 and 99-160, 99-500 and 100-6, 100-71 and 100-120, 100-404 and 101-45, 101-100, 101-467, 102-139, 102-389, 103-124, 103-327, 104-91 and 104-134, 104-204, 105-65, 105-276, 106-74, 106-377, 107-73, 107-294 and 108-7, 108-90, 108-334, 109-90, 109-295,

110-161, 110-329 and 111-5, 111-83, 112-10, 112-74, 113-6, 113-76, 114-4, 114-113, or 115-31), it must not include those funds in any reporting for the current award. Reports should be confined to the amount granted by the National Board under the new appropriations legislation (Public Law 115-141).

4. Cash Depositories
    a. Any money advanced to the LRO under the terms of this award must be deposited in a checking account in a bank with Federal Deposit Insurance Corporation (FDIC) or Federal Savings & Loan Insurance Corporation (FSLIC) insurance coverage (whose responsibility has been taken over by FDIC), and the balance exceeding the FDIC or FSLIC coverage must be collaterally secured. Interest income earned on these funds must be put back into eligible program costs, not administration.
    b. LROs are encouraged to use minority-owned banks (a bank that is owned at least 51 percent by minority group members). This is consistent with the national goal of expanding the opportunities for minority business enterprises. A list of minority-owned banks can be obtained at the addresses below.
        i. www.federalreserve.gov/releases/mob/current/default.htm
        ii. www.fdic.gov/regulations/resources/minority/MDI.html

5. Retention and Custodial Requirements for Records
    a. Financial records, supporting documentation, statistical records, and all other records pertinent to the award shall be retained by the LRO for a period of three years from the end-of-program date with the following exceptions: See Annex 13, page 105-106 in the Phase 35 Responsibilities and Requirements Manual.
        i. If any litigation, claim, program compliance review, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims, program compliance problems, or audit findings involving the records have been resolved.
        ii. Records for non-expendable property, if any, acquired in part with EFSP funds shall be retained for three years after submission of the final financial report (Final Report). Non-expendable property is defined as tangible property having a useful life of more than one year and an acquisition cost of more than $300 per unit.
    b. The retention period starts from the date of the submission by the LRO of the final expenditure report (Final Report).
    c. The National Board may request transfer of certain records to its custody from the LRO when it determines that the records possess long-term retention value. The LRO shall make such transfers as requested.
    d. The Director of FEMA, the Comptroller General of the United States, and the National Board, or any of their duly authorized representatives, shall have access to any pertinent books, documents, papers, and records of the LRO, and its sub grantees, to make audits, examinations, excerpts, and transcripts.

6. Financial Management Systems

    The LRO/Fiscal Agent or Fiscal Conduit shall maintain a financial management system that provides for the following:
    a. Accurate, current and complete disclosures of the financial results of this program.
    b. Records that identify adequately the source and application of funds for federally supported activities. These records shall contain information pertaining to Federal awards, authorizations, obligations, non-obligated balances, assets, outlays, and incomes.
    c. Effective control over and accountability for all funds, property, and other assets.
    d. Procedures for determining eligibility of costs in accordance with this Manual.
    e. Accounting records that are supported by source documentation. The LRO must maintain and retain a register of cash receipts and disbursements and original supporting documentation such as purchase orders, invoices, canceled checks or documentation for other acceptable payment methods, sign-in logs and any other documentation that is necessary to support their costs under the program.
    f. A systematic method to assure timely and appropriate resolution of audit findings and recommendations.

g. In cases where more than one civil jurisdiction (e.g., a city and a balance of county, or several counties) recommends awards to the same LRO, the LRO can combine these funds in a single account. However, separate program records for each civil jurisdiction award must be kept.

7. Audit Requirements

If receiving $100,000 or more in EFSP funds, the LRO will be eligible to receive the funds if it arranges for an independent audit of funds to coincide with the next scheduled annual audit of its financial affairs. If receiving $50,000 to $99,999 in EFSP funds, the LRO will be eligible to receive the funds if it arranges for an annual accountant's review of funds to coincide with the next scheduled annual review of its financial affairs. An original copy of this audit or review will be provided to the National Board upon request. **It is not necessary to have a separate, independent audit/review for this award so long as program funds are treated as a separate element in the LRO's regular annual audit/review**. If the LRO does not have a certified annual audit/review, that audit/review must be provided by a Local Board designated Fiscal Agent for the LRO willing to account for the funds. **The audit submitted must be from the current year or one year prior. See Annex 12, page 103 in the Phase 35 Responsibilities and Requirements Manual.**

A webinar providing background on audit requirements is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

All EFSP funded LROs (both governmental and not-for-profit) that expend $750,000 or more in Federal funds must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance), Audits of States, Local Government, and Nonprofit Organizations, which requires a single organization-wide audit. This $750,000 could be exclusively EFSP funds or a combination of EFSP and other Federal funds that an agency might be receiving. **Note: A copy of the audit report must be forwarded to the National Board annually along with the regular audit. EFSP funds must be clearly identified by ID number in the audit/review and Schedule of Federal Awards.**

Audits of units of government shall be made annually unless the state or local government had, by January 1, 1987, a constitutional or statutory requirement for less frequent audits. **LROs receiving funds in a single or multiple jurisdictions must identify each award individually by their LRO ID number in each jurisdiction under the Pass-Through Grantors Number on the Schedule of Expenditures of Federal Awards.**

8. Payment

A first payment shall be made to the LRO upon recommendation of the Local Board and approval by the National Board. Second payment requests include an interim report to be submitted and signed by each LRO. The request is also signed by the Local Board chair, and submitted to the National Board. For each LRO funded in the previous phase, second installments will be held until the jurisdiction's final Local Board report and documentation for the previous year has been reviewed and found to be compliant.

9. Financial Reporting Requirements

The National Board shall provide the LRO, through the Local Board, with the necessary reporting requirements in advance of report deadlines.

LROs shall submit their final report to the Local Board that will then be forwarded to the National Board approximately 45 days after the jurisdiction's program ending date or the date designated by the National Board.

10. Closeout

The following definitions shall apply:

a. "Closeout" is the process by which the National Board determines that all applicable administrative actions and all required work of the award have been completed.

b. "Disallowed costs" are those charges that the National Board determined to be unallowable in accordance with the legislation, National Board requirements and applicable Federal cost principles or other conditions contained in the award. The applicable cost principles are contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200 of the Office of Management and Budget (Uniform Guidance.) If you are unsure of where to find this circular check with your local Congressional Representative, contact the National Board staff, or visit the Office of Management and Budget's website: www.omb.gov.

11. Suspension and Termination Procedures

The following definitions shall apply:

a. Termination – termination of this award means the cancellation of EFSP assistance, in whole or in part, under the award at any time prior to the date of completion.
b. Suspension – the suspension of this award is an action by the Local Board or National Board that temporarily suspends EFSP assistance under the award pending corrective action by the LRO or pending a decision by the National Board to terminate the award.
c. Local Board Authority – authority to suspend/reallocate all or a portion of an LRO's award at its discretion for any cause (i.e., inability to deliver services, suspected fraud, violation of eligible costs, changing need in the community, etc.).

12. Lobbying

Pursuant to 31 U.S.C. §1352, an LRO is prohibited from using federally appropriated grant funds for lobbying activities. This condition bars the use of Federal money for political activities, but does not in any way restrict lobbying or political activities paid for with non-Federal funds. This condition prohibits the use of Federal grant funds for the following activities:

A webinar detailing the process for submitting Certification Forms is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

- Federal, state or local electioneering and support of such entities as campaign organizations and political action committees;
- Direct lobbying of the Congress and State Legislatures to influence legislation;
- Grassroots lobbying concerning either Federal or state legislation;
- Lobbying of the Executive Branch in connection with decisions to sign or veto enrolled legislation; and,
- Efforts to utilize state or local officials to lobby the Congressional or State Legislatures.

Any LRO that will receive more than $100,000 in EFSP funds is required to submit:

- a certification form that EFSP funds will not be used for lobbying activities; and,
- a disclosure of lobbying activities (if applicable).

This certification and disclosure must be submitted prior to grant payment. See Annex 5, page 42 for certification and disclosure forms.

13. Debarment and Suspension Regarding Funding

Pursuant to Executive Order 12549, Debarment and Suspension, all LROs, including Fiscal Agents, Fiscal Conduits, and agencies benefiting from EFSP funding under the Fiscal Conduit, must certify that they have not been debarred or suspended from receiving funds from or doing business with the Federal government. Each LRO will make this certification by signing the LRO certification Form which states the requirement. Each Local Board must certify they have received the LRO Certification Form from the LRO which state the requirements. Additionally, the Local Board will return each LRO Certification Form with the Local Board Plan.

Other Terms and Conditions

Non-Supplanting Requirement

Grant funds will not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Applicants or grantees may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. EFSP is not intended to make up for budget shortfalls or to be considered a line item in an annual budget. EFSP is supplemental (non-disaster) funding. The Preamble and the statement contained in the Certification Forms – "Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services" speak to this requirement.

Hatch Act

The Hatch Act restricts the political activity of individuals principally employed by state or local executive agencies and who work in connection with programs financed in whole or in part by Federal loans or grants. All recipients of financial assistance will comply with the regulations, as applicable, to States and Local Governments, of the Hatch Act, 5 U.S.C. § 1501 – 1508, as amended.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs (both governmental and non-profit). These entities are responsible for determining the applicability of this requirement to the employees of their agency/organization as this requirement is fact-dependent and needs to be compared to the work of the individual employee.

False Claims Act and Program Fraud Civil Remedies

All recipients of financial assistance will comply with the requirements of 31 U.S.C. § 3729 which sets forth that no recipient of Federal payments shall submit a false claim for payment. Further, 38 U.S.C. § 3801 – 3812 contains administrative remedies for false claims and statements made.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. Generally, this act provides for criminal penalties if false claims are filed.

Debarment and Suspension

Executive Orders 12549 and 12689 provide protection against waste, fraud and abuse by debarring or suspending those persons/agencies deemed irresponsible in their dealings with the Federal government. The recipient agency must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 2 CFR Part §3000 (Uniform Guidance.) *See also Appendix B. Certifications and Assurances*

EFSP Applicability: This article applies to all State Set-Aside Committees, Local Boards and LROs. The statement contained in the Certification Forms – "Is not debarred or suspended from receiving Federal funds" and the Financial Terms and Conditions sections in the EFSP Manual speak to this requirement.

Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS recommends that all grantees who collect PII have a publicly-available privacy policy that describes what PII they collect, how they use the PII, whether they share the PII with third parties, and how individuals may have their PII corrected where appropriate. Grantees may also find as a useful resource the DHS Privacy Impact Assessments: The Privacy Office Official Guidance and the Privacy Impact Assessment Template (available on the DHS Privacy Office website at:

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and
http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf.

EFSP Applicability: This applies to all State Set-Aside Committees, Local Boards and LROs. In order to meet the documentation requirements of the EFSP in certain program categories, it is necessary to obtain, retain, and provide, if requested, PII for clients served with EFSP funding. Additionally, there must be a system in place to ensure there is no duplication of service in the specific categories of rent/mortgage and utility assistance which may require the sharing of PII for this purpose. The National Board does not require and does not expect to receive PII beyond what is noted in the EFSP Documentation Requirements as stated in the Manual. Items that should not be submitted to EFSP as documentation include, but are not limited to, drivers' licenses, Social Security Numbers or cards, pay stubs, etc.

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASES 37 AND CARES ADDENDUM

ANNEXES

701 North Fairfax Street
Alexandria, Virginia 22314

p. 703-706-9660
f. 703-706-9677

efsp@uww.unitedway.org
www.efsp.unitedway.org

Required Forms

The following pages include samples of the required forms that must be used by participants of the EFSP. *These forms may not be altered.* Copies of the spreadsheet templates are available under Forms on the EFSP Website. All certification forms will be sent to the required signers as part of the e-signing process. Please direct any questions regarding the forms to the National Board staff.

Annex 1: Spreadsheets

Spreadsheets are required as part of the documentation requirements to support all expenditures made with EFSP funds. Samples of the required spreadsheets and elements for each category are included in this Manual and can be found on the EFSP website under **Forms**. The following is a list of the elements required for the spreadsheets.

A webinar providing guidance on preparing spreadsheets is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Required Elements with Explanation

1. **Billing Period Covered with Payment**: service period paid for client's utility bill; if a non-metered utility bill is paid, indicate not applicable (N/A) on the spreadsheet. The required date format is MM/DD/YY-MM/DD/YY. If an LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the spreadsheet. Enter "N/A" in the column labeled "billing period covered".
2. **Building Code Citation Date**: date the agency (feeding or shelter site) received the citation from the local city/county government indicating required work needed on building where services are provided. The required date format is MM/DD/YY.
3. **Client First Name**: legal name of the individual seeking assistance (this only applies to other shelter, rent/mortgage and utility categories.)
4. **Client Last Name**: legal name of the individual seeking assistance (this only applies to other shelter, rent/mortgage and utility categories.)
5. **Client Street Address**: the physical residence of the individual seeking assistance; the individual must be responsible for the service at the address (this only applies to rent/mortgage and utility categories.) P.O. Boxes are not allowed.
6. **Dates of Stay**: for assistance made in the Other Shelter category, indicate the dates the clients stayed in the motel, hotel, etc. The required date format is MM/DD/YY-MM/DD/YY.
7. **Due Date**: date the client's rent/mortgage and/or utility bills had to be paid (this only applies to rent/mortgage and utility categories.) For rent please use the due date per the lease, not the due date listed on the eviction notice. The required date format is MM/DD/YY.
8. **Delivery Date**: if a non-metered utility bill (propane, firewood, coal, kerosene) is paid, indicate the date of delivery to the client. The required date format is MM/DD/YY.
9. **EFSP Portion of Invoice Amount**: portion of the purchase paid with EFSP funds; the column must be totaled on each page if multiple pages are required for the category. The total amount must be provided for the category on the last page, if multiple pages are required.
10. **Invoice/Receipt Amount**: total cost of purchase as listed on the invoice or receipt.
11. **Invoice/Receipt Date**: date the vendor prints on the invoice or receipt. The required date format is MM/DD/YY.
12. **Invoice/Receipt Number**: preprinted number on the invoice/receipt from vendors; if there is no invoice number, indicate not applicable (N/A) on the spreadsheet.
13. **Landlord/Mortgage Company Name**: individual or company that a client is required to pay their rent or mortgage payment to each month

14. **Member Agency Name**: food banks must provide the name of the agency(ies) that received food when using a shared maintenance fee.
15. **Month Covered with Payment**: service period paid for client's rent/mortgage or utility (month paid.) The required date format is MM/DD/YY-MM/DD/YY, should indicate the month of coverage provided by the payment.
16. **Monthly Rent/Mortgage**: a client's regular/usual rent or mortgage (principal and interest only) (**no deposits, late fees or other fees**) for one month as listed on the client's lease or mortgage papers.
17. **Page Numbers**: number all pages of the spreadsheets, when multiple pages are required for a category.
18. **Payment/Check Clear Date**: date the payment/check goes through banking system (also known as cancellation date of a check); EFSP generally references the check or the bank statement for this information. If an agency's debit/credit card is used, the date will be the same as the purchase date. The required date format is MM/DD/YY.
19. **Payment/Check Date**: date the payment/check is issued (date printed on the check, money order, etc.) to pay vendors; if an agency's credit/debit card is used, indicate the date of the purchase (**do not include the card number.**) The required date format is MM/DD/YY.
20. **Payment/Check Number**: preprinted number on check, money order, etc. used to pay vendors for service; if an agency's credit/debit card is used, indicate credit card or debit card in the spreadsheet (**do not include the card number.**)
21. **Payroll Registers**: payroll registers from the LRO's system for all employees who worked on the EFSP and the percentage of time charged to EFSP.
22. **Phase and LRO Identification (Name and Number)**: provide the Phase number and the LRO's name and 9-digit ID number.
23. **Total Check Amount**: cost paid to vendors for services provided for agency or clients (can include partial or total EFSP payment.)
24. **Type of Repair**: for expenditures made in the REHABILITATION category, briefly explain the type of repair.
25. **Type of Service**: for utility payments, indicate if the assistance was for gas, electric, water, propane, kerosene, firewood or coal.
26. **Vendor Name**: company or individual that provided services for agency or clients.

Served Meals

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Served Meals** category (**when not using the per meal allowance**) with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Ensure that your agency's name is included on the page along with your LRO 9-digit ID number and the Phase number.

A spreadsheet is required when not using the per meal allowance. The per meal schedule replaces the spreadsheets.

Phase Number: 37
LRO Name: Sample LRO
LRO ID (9 digits): 123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

SERVED MEALS EXPENDITURES - DIRECT COST

(A spreadsheet is required when not using the per meal allowance. The per meal log replaces the spreadsheet.)

Payment/Check Number	Payment/Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
1234567	06/01/19	06/05/19	05/12/19	INV123	Sample Vendor	150.00	150.00	150.00
7654321	07/01/19	07/08/19	06/15/19	INV155	Other Vendor	850.00	850.00	500.00
							Total	650.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Sample Daily Per Meal Log

DAILY PER MEAL LOG

Phase Number: 37
LRO ID Number: 123456789
(9 digits)

Sample LRO
LRO Name
123 Sample Street
Street Address
City, State, Zip
City, State, Zip

Date (Month/Date/Year)	Number of Meals Served	Per Meal Rate ($2.00)	Total
06/01/19	100	$ 2.00	$ 200.00
06/02/19	75	$ 2.00	$ 150.00
06/03/19	80	$ 2.00	$ 160.00
06/04/19	90	$ 2.00	$ 180.00
Total Number of Meals	345	**Grand Total**	$ 690.00

Per meal log must show a **daily** count. Sample per meal log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Other Food

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Other Food** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	37	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

OTHER FOOD EXPENDITURES

Payment/Check Number	Payment /Check Date (MM/DD/YY)	Payment /Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
963	08/05/19	08/28/19	08/01/19	INV12345	Other Food Supplier	895.00	895.00	895.00
1012	10/04/19	12/13/19	08/01/19	ABC985	Sample Vendor	594.00	594.00	235.00
							Total	1,130.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Mass Shelter

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Mass Shelter** category (**when not using a per diem allowance**) with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

A spreadsheet is required when not using the per diem allowance. The per diem schedule replaces the spreadsheets.

Phase Number:	37	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

MASS SHELTER EXPENDITURES - DIRECT COST

(A spreadsheet is required when not using the per diem allowance. The per diem log replaces the spreadsheet.)

Payment/Check Number	Payment /Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
145	09/15/19	10/04/19	07/29/19	INV951	Sample Vendor	847.00	847.00	450.00
Credit Card	10/04/19	10/04/19	10/04/19	284539	Sample Supplier	975.00	975.00	975.00
							Total	1,425.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Sample Daily Per Diem Log

DAILY PER DIEM LOG			
Phase Number:	37		
LRO ID Number: (9 digits)	123456789		
	Sample LRO		
	LRO Name		
	123 Saple Street		
	Street Address		
	City, State, Zip		
	City, State, Zip		
Date (Month/Date/Year)	Number of Clients Served	Per Diem Rate (exactly $7.50 or $12.50 as approved by Local Board)	Total
03/01/19	25	12.50	312.50
03/02/19	24	12.50	300.00
03/03/19	24	12.50	300.00
03/04/19	25	12.50	312.50
Total Number of Clients	98	Grand Total	1,225.00

Per diem log must show a daily count. Sample per diem log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Other Shelter

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Other Shelter** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

Phase Number:	37
LRO Name:	Sample LRO
LRO ID (9 digits):	123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

OTHER SHELTER EXPENDITURES

Client Last Name (In Alphabetic Order)	Client First Name	Start Date of Stay (MM/DD/YY)	End Date of Stay (MM/DD/YY)	Vendor Name	Invoice Date (MM/DD/YY)	Invoice Amount	Invoice Number (if no invoice number, enter N/A)	Payment/ Check Number	Payment/ Check Date (MM/DD/YY)	Payment/ Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Doe	Jane	05/02/19	05/13/19	Sample Hotel	05/13/19	935.00	45636	Credit	05/13/19	05/13/19	935.00	935.00
Smith	John	07/25/19	07/28/19	Sample Motel	07/28/19	225.00	964735	Credit	07/28/19	07/28/19	255.00	255.00
											Total	1,190.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

If the client's name cannot be provided because of confidentiality, please provide the supporting statute and provide the unique identifier on the spreadsheet for each

Supplies and Equipment

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Supplies and Equipment** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	37	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

SUPPLIES AND EQUIPMENT EXPENDITURES

Payment/Check Number	Payment /Check Date (MM/DD/YY)	Payment /Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
Credit	11/02/19	11/02/19	11/02/19	8825473	Sample Vendor	625.00	625.00	625.00
3358	11/18/19	11/20/19	11/18/19	INV774	Sample Supplier	1,565.00	1,565.00	1,075.00
							Total	**1,700.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Rehabilitation (Emergency Repairs/Building Code)

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Rehabilitation (Emergency Repairs/Building Code)** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	37	Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.
LRO Name:	Sample LRO	
LRO ID (9 digits):	123456789	

REHABILITATION (EMERGENCY REPAIRS/BUILDING CODE) EXPENDITURES

Payment/Check Number	Payment/ Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Building Code Citation Date (MM/DD/YY)	Invoice/ Receipt Date (MM/DD/YY)	Invoice/ Receipt Number (If no number, enter N/A)	Type of Repair	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
8547	02/15/19	03/01/19	02/05/19	02/14/19	99824	Emergency Exit	Sample Vendor	450.00	450.00	250.00
									Total	**250.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Expenditures in this category require both Local Board and National Board written approval. For building code items, a copy of the building code citation is required. All of these items must be obtained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. If documentation is required to be reviewed by EFSP or other appropriate entities, these documents must be provided in the documentation for review to support the expenditures reported on the Final Report.

Rent/Mortgage

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Rent/Mortgage** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

Phase Number: 37
LRO Name: Sample LRO
LRO ID (9 digits): 123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

RENT/MORTGAGE EXPENDITURES

Client Last Name (In Alphabetic Order)	Client First Name	Client Street Address (No PO Box)	Landlord/Mortgage Company Name	Monthly Rent/Mortgage Amount	Due Date (MM/DD/YY)	Month Covered w/Payment (MM/YYYY)	Payment/ Check Number	Payment/ Check Date (MM/DD/YY)	Payment/ Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Brown	Jane	777 Sample Street, City, State Zip	John Landlord	950.00	07/01/19	07/2019	564	06/30/19	07/01/19	950.00	950.00
Doe	John	9501 Sample Street, City, State Zip	Mary Landlord	880.00	08/10/19	09/2019	958	08/20/19	08/21/19	880.00	880.00
										Total	1,830.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Utilities

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Utilities** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **alphabetical order by the clients' last names**. The documentation provided to support the expenditures attributable to EFSP should also be in order by clients' last names following the schedule, if required to be submitted.

Phase Number: 37
LRO Name: Sample LRO
LRO ID (9 digits): 123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

UTILITY EXPENDITURES

Client Last Name (In Alphabetic Order)	Client First Name	Client Street Address (No PO Box)	Vendor Name	Type of Serivce	Due Date/ Delivery Date* (MM/DD/YY)	Billing Period Begin Date (MM/DD/YY)	Billing Period End Date (MM/DD/YY)	Payment/ Check Number	Payment / Check Date (MM/DD/YY)	Payment / Check Clear Date (MM/DD/YY)	Total Check Amount	EFSP Portion of Invoice Amount
Doe	Jane	123 Sample Street, City, State Zip	Electricity Company	Electric	05/15/19	03/01/19	03/31/19	539	05/20/19	06/01/19	245.00	245.00
Smith	John	467 Sample Street, City, State Zip	Gas Company	Gas	06/01/19	04/01/19	04/30/19	852	05/30/19	06/01/19	185.00	185.00
											Total	430.00

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

**For NON-METERED UTILITIES (propane, firewood, coal, kerosene), provide the date of delivery to client. If paying from disconnect/shutoff notice, enter the date from the notice.*

**Reminder - If an LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the*

***For NON-METERED UTILITIES (propane, firewood, coal, kerosene), provide the date of delivery to client. If paying from disconnect/shutoff notice, enter the date from the notice.**

Reminder - If an LRO pays $100 or less for a client from a past due balance of disconnect/cutoff/shutoff notice from the utility company, the "billing period covered" information is not required on the spreadsheet. Enter "N/A" in the column labeled "billing period covered".

Administration

Below is a sample spreadsheet of the elements that must be included in the spreadsheet provided to the National Board to support ALL expenditures made in the **Administration** category with Emergency Food and Shelter Program (EFSP) funds. The spreadsheet must be presented to the National Board in **order by payment/check number**. The documentation provided to support the

expenditures attributable to EFSP should also be in payment/check number order following the schedule, if required to be submitted.

Phase Number:	37
LRO Name:	Sample LRO
LRO ID (9 digits):	123456789

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

ADMINISTRATION EXPENDITURES - DIRECT COST

Payment/Check Number	Payment/Check Date (MM/DD/YY)	Payment/Check Clear Date (MM/DD/YY)	Invoice/Receipt Date (MM/DD/YY)	Invoice/Receipt Number (If no number, enter N/A)	Vendor Name	Invoice/ Receipt Amount	Total Check Amount	EFSP Portion of Invoice Amount
87364	04/15/19	04/15/19	04/15/19	842086	Local Newspaper	250.00	250.00	250.00
Credit Card	06/01/19	06/01/19	06/01/19	789134	Office Supplies	50.00	50.00	50.00
							Total	**300.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Spreadsheets only have to be provided with the Final Report for administrative expenses for EFSP comliance review. Documentation for administrative costs must be maintained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. This documentation may be requested at any time.

Note: Submit the following in a separate schedule if payroll information (from LRO's system) is provided to support EFSP expenditures.

Phase Number:	37
LRO Name:	**Sample LRO**
LRO ID (9 digits):	**12345678**

Spreadsheets alone are not sufficient. Documentation must be obtained, maintained, retained and submitted to EFSP (if required) to support all expenditures made with EFSP funds.

ADMINISTRATION EXPENDITURES - PAYROLL

Payroll registers for all employees who worked on the EFSP and the percentage of time charged to EFSP

Employee Name	Payroll Date (MM/DD/YY)	Percentage	Payroll Amount	EFSP Portion of Payroll Amount
Smith, Mary	04/01/19	5.00%	2,000.00	100.00
Smith, Mary	04/15/19	5.00%	2,000.00	100.00
			Total	**200.00**

Sample Spreadsheets and Guidance are available on EFSP website under Forms and listed on the dashboard under Final Report

Spreadsheets only have to be provided with the Final Report for administrative expenses for EFSP comliance review. Documentation for administrative costs must be maintained and retained per documentation retention requirements in the EFSP Responsibilities and Requirements Manual. This documentation may be requested at any time.

Mileage

Below is a sample mileage log provided to the National Board to support mileage expenditures made in the **Served Meals, Other Food, or Mass Shelter** categories with Emergency Food and Shelter Program (EFSP) funds.

MILEAGE LOG

Phase Number	37			
LRO ID Number (9 digits)	123456789			
	Sample LRO			
	LRO Name			
	123 Sample Street			
	Street Address			
	City, State, Zip			
	City, State, Zip			
Date (Month/Date/Year)	**Departure, destination, purpose of trip (each roundtrip)**	**Number of Miles**	**Mileage Rate (per mile)***	**Total**
05/01/19	Shelter, Church, Client Transportation	15.00	0.545	8.18
05/03/19	Shelter, Church, Client Transportation	15.00	0.545	8.18
05/02/19	Shelter, Church, Client Transportation	15.00	0.545	8.18
	Total Number of Miles	**45.00**	**Grand Total**	**24.53**

**** Reference the EFSP Responsibilities and Requirements Manual/Addendum to the Manual for the approved mileage rate.***

Sample mileage log and guidance are available on EFSP website under Forms and listed on the dashboard under Final Report.

Annex 2: Local Board Plan Certification

A webinar detailing the process for submitting the Local Board Plan is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

Local Board ID#

www.efsp.unitedway.org

Emergency Food and Shelter Program
701 North Fairfax Street
Alexandria, VA 22314-2064
Phone 703-706-9660 Fax 703-706-9677

37-0000-00 DIRECT 1

Phase 37 Local Board Plan

Due date for submission: May 29, 2020

Jurisdiction: I

Local Board ID#

Award Amount: $

Phase 37 start date: 01/01/2020

The administrative allowance of $ is included in the award

Spending Period Extension Request If extension date is not selected, the end date for this spending period will be 05/31/2021.

☐ January 31, 2020	☐ February 28, 2020	☐ March 31, 2020	☐ April 30, 2020
☐ May 31, 2020	☐ June 30, 2020	☐ July 31, 2020	☐ August 31, 2020
☐ September 30, 2020	☐ October 31, 2020	☐ November 30, 2020	☐ December 31, 2020
☐ January 31, 2021	☐ February 28, 2021	☐ March 31, 2021	☐ April 30, 2021
☐ May 31, 2021			

The Local Board certifies that public notice of availability of these funds appeared in print in the _____ _____ (local newspaper) on _____, 20____.
The advertisement appeared at least 5 business days prior to our Local Board's allocation decision.
The Local Board will meet: ____ quarterly or ____ semiannually (select one). We understand that if meeting semiannually, copies of meeting minutes must be included with the Phase 37 Final Report.
Our Local Board _____ does (copy attached) _____ does not have additional requirements beyond those of the National Board (select one).

As the chair of the Local Board, I certify that the Local Board meets the requirements as stated on the Local Board Certification Form and that the above information and all information provided on the attached forms and via the EFSP website are correct. Our Local Board understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program, including those not specifically stated in the Manual and the accompanying Phase 37 Responsibilities and Requirements Manual.

Signature of Local Board Chair:_____ Date: _____

Print Name of Local Board Chair: _____

NOTE: Indicate below at least one alternate authorized signature which is acceptable for the processing of your jurisdiction's paperwork, i.e., Local Board Plans, Second Payment Requests, etc., to be used in the absence of the Local Board Chair. Alternate signatories must be members of the Local Board or the Local Board contact. Submission of any type of documentation from an unauthorized signer will not be processed.

Print Name	Print Name
Signature	Signature
Position with Local Board	Position with Local Board

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM
PHASE 37 LOCAL BOARD PLAN CERTIFICATION

By signing the Local Board Certification Form, our Local Board certifies we have thoroughly read and understand the Phase 35 Responsibilities and Requirements Manual, Phase 36 Addendum and Phases 37 and CARES Addendum. We agree to administer the Emergency Food and Shelter Program (EFSP) as required. Additionally, we certify that the local private non-profit or governmental agencies selected as LROs reflected on the Local Board Plan have read and understand the Phase 35 Responsibilities and Requirements Manual, Phase 36 Addendum and the Phases 37 and CARES Addendum, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. The agencies understand that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. They have certified this by completing and signing the Phase 37 Local Recipient Organization (LRO) Certification Form and/or the Fiscal Agent/Fiscal Conduit Agency Certification, as necessary. This form has been forwarded by the Local Board with the Local Board Certification Form as part of the Local Board Plan. The Local Board and each LRO have retained a copy for their records.

The Local Board certifies it has selected agencies that meet the EFSP requirements, including but not limited to the items noted and each agency:

- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement or expand existing programs and services.
- Is nonprofit or an agency of government.
- Has an accounting system, and will pay all vendors by an approved method of payment.
- Understands that **cash payments** (including petty cash) are **not eligible** under EFSP.
- Conducts an independent annual review if receiving $50,000-$99,999;an independent annual audit if receiving $100,000 or more in EFSP funds, and follows OMB's Uniformed Guidance if receiving $750,000 or more in Federal funding.
- Is not debarred or suspended from receiving Federal funds.
- **Has not received an adverse or no opinion audit.**
- Practices nondiscrimination (agencies with a religious affiliation will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling with Federal funds).
- Does not charge any client a fee for services funded by EFSP.
- Has a private, not-for-profit voluntary board.
- Will provide all required reports and documentation, as requested, to the Local Board in a timely manner.
- Will expend monies only on EFSP eligible costs and keep complete documentation (and provide, if requested) on all expenditures for a minimum of three years after end-of-program date and for compliance issues, until resolved.
- Will spend all funds and close out the program by the jurisdiction's selected end-of-program deadline.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will not use EFSP funds as a cost-match for other Federal funds or programs.
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun and Bradstreet (D&B) and required associated information to EFSP.

This also certifies that the Local Board agrees to or has complied with the following roles and responsibilities:

1. Invited National Board agencies and/or their local affiliates to participate on the Local Board. **Has included a homeless or formerly homeless person as a member of the Local Board**. Has included an American Indian to participate on the Local Board where a federally recognized reservation lies in or encompasses the jurisdiction. Has considered adding additional board members to broaden community representation including special emphasis groups (e.g., elderly, families with children, American Indians, veterans, and mentally and physically disabled).
2. Has elected a chair.
3. Has advertised locally via print media, the availability of funds, including the acknowledgement of the Federal funding source and has waited 5 business days before allocating funds.
4. Has promoted the program to all agencies with the capacity to provide emergency food and/or shelter assistance, including those on Tribal lands, not just those represented on the Local Board.
5. Has held meetings to decide which local private or public agencies should receive grants and determined the amount of grant funds to each, will monitor expenditures of funds and eligible cost compliance at the local level, and will ensure all funds are properly spent before the jurisdiction's end-of-program date.
6. Has established a written appeals process for participation or funding by funded or non-funded agencies.
7. Has submitted the Local Board Certification with the Local Board Plan, Board Roster, LRO Certification forms and Certification Regarding Lobbying forms (as needed) to the National Board by the specified deadline.
8. Will provide technical assistance on EFSP guidelines and requirements to LROs.
9. Will coordinate with state agencies that administer food, utility, and other Federal assistance programs.
10. Will reallocate funds within a jurisdiction or LRO, as necessary, (e.g., from food to shelter). If funds are transferred from one LRO to another, will notify the National Board using the EFSP website and affected LROs in writing as promptly as possible or before the specified deadline.
11. **Understands that if deadline dates given by the National Board to Local Boards and LROs for the submission of second payments, EFT forms and reallocations and resolution of compliance problems are not met, the remaining unpaid funds for the jurisdiction may be forfeited and reclaimed by the National Board.**
12. **Will submit Final Reports to the National Board on expenditures and LROs' programs after jurisdiction's selected end-of-program date as required.**
13. Will ensure that any funds unspent ($5.00 or more) at end-of-program are promptly returned to the National Board.
14. Will obtain and review for accuracy all Final Reports and spreadsheets for LROs and documentation for specified LROs and will forward to the National Board. Will require fund reimbursements from LROs in the event of expenditures violating the eligible costs under this award.
15. **Will remain in operation until all program and compliance requirements of the National Board have been satisfied.**
16. Will retain all records related to the program for three years from the end-of-program date; more than three years, if necessary, until compliance issues are resolved.

Please do not alter the Local Board Certification form; any questions regarding the form should be directed to EFSP staff.

Annex 3: Local Recipient Organization (LRO) Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 37 LOCAL RECIPIENT ORGANIZATION CERTIFICATION

By signing this Local Recipient Organization (LRO) Certification Form, our agency certifies we have read and understand the Emergency Food and Shelter Program (EFSP) Phase 35 Responsibilities and Requirements Manual, Phase 36 Addendum, and the Phases 37 and CARES Addendum, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. Our agency understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. All appropriate staff and volunteers have been informed of EFSP requirements. The Local Board has been provided and we have retained a copy of this form for our records.

I certify that my public or private agency:

- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement/extend existing resources and not to substitute or reimburse ongoing programs and services.
- Is nonprofit or an agency of government.
- Will not use EFSP funds as a cost-match for other Federal funds or programs.
- Has an accounting system and will pay all vendors by an approved method of payment.
- Understands that **cash payments** (including petty cash) are **not eligible** under EFSP.
- Conducts an independent annual review if receiving $50,000-$99,999/an independent annual audit if receiving $100,000 or more in EFSP funds, and follows OMB's Uniformed Guidance if receiving $750,000 or more in Federal funding.
- **Has not received an adverse or no opinion audit.**
- Is not debarred or suspended from receiving Federal funds.
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP.
- Practices non-discrimination (agencies with a religious affiliation, will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling in any program receiving Federal funds).
- Will not charge a fee to clients for EFSP funded services.
- Has a voluntary board if private, not-for-profit.
- Will provide all required reports to the Local Board in a timely manner; (i.e., Second Payment/Interim Request and Final Reports).
- Will expend monies only on eligible costs and keep complete documentation (copies of canceled LRO checks – front and back, other proof of payment, invoices, receipts, etc.) on all expenditures for a minimum of three years after end-of-program date, and for compliance issues until resolved.
- Will spend all funds and close-out the program by my jurisdiction's selected end-of-program date and return any unused funds ($5.00 or more) to the National Board.
- Will provide complete, accurate documentation of expenses to the Local Board, if requested, following my jurisdiction's selected end-of-program date.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Will not and will ensure its employees, volunteers or other individuals associated with the program will not engage in any trafficking of persons during the period this award is in effect.
- Will not and will ensure its employees, volunteers or other individuals associated with the program will not use EFSP funds to support access to classified national security information.

PLEASE ENSURE THIS INFORMATION IS ACCURATE BEFORE SIGNING.

LRO ID #: [Insert]
FEIN #: [Insert]
DUNS#: [Insert]
LRO Legal Name: [Insert]
Address: [Insert Street, City, State Zip Code]
Phone #: [Insert]
Fax #: [Insert]
Email: [Insert]
LRO Contact: [Insert]

Signature:_____ Date: [Insert]

Annex 4: Fiscal Agent/Fiscal Conduit Agency Relationship Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 37 FISCAL AGENT/FISCAL CONDUIT AGENCY RELATIONSHIP

This certification must be signed by each agency receiving funds through a Fiscal Agent/Fiscal Conduit Agency at the beginning of the funding cycle.

By signing this Fiscal Agent/Fiscal Conduit Agency Relationship Certification Form, our agency certifies we have read and understand the Emergency Food and Shelter Program (EFSP) Phase 35 Responsibilities and Requirements Manual, the Phase 36 Addendum, and the Phase 37 and CARES Addendum, including the Grant Agreement Articles, Financial Terms and Conditions, and Other Terms and Conditions as well as the Eligible and Ineligible Costs and Documentation sections and agree to comply with all program requirements. Our agency understands that all parties will be held accountable for complying with the provisions of the grant as well as full compliance with applicable requirements of all other Federal laws, Executive Orders, regulations, and policies governing this program including those not specifically stated in the Manual. All appropriate staff and volunteers have been informed of EFSP requirements. The Local Board, Fiscal Agent/Fiscal Conduit and the agency(ies) benefitting through the relationship have retained a copy of this form for their records.

As a **recipient agency** (through the Fiscal Agent/Fiscal Conduit noted below) of Emergency Food and Shelter National Board Program (EFSP) funds made available for Phase 37 and as the duly authorized representative of

_____,

(NAME OF AGENCY/SUB-RECIPIENT)

I certify that my public or private agency:

- **Has a Fiscal Agent/Fiscal Conduit approved by the Local Board:** _____
  (LRO Name and LRO ID Number)
- Is not debarred or suspended from receiving Federal funds.
- Has the capability to provide emergency food and/or shelter services.
- Will use funds to supplement and extend existing resources and not to substitute or reimburse ongoing programs and services.
- Is nonprofit or an agency of government.
- Will not use EFSP funds as a cost match for other Federal funds or programs.
- Practices non-discrimination (agencies with a religious affiliation, will not refuse service to an applicant based on religion, nor engage in religious proselytizing or religious counseling in any program receiving Federal funds).
- Has provided a Federal Employer Identification Number (FEIN) to EFSP.
- Has provided a Data Universal Number System (DUNS) number issued by Dun & Bradstreet (D&B) and required associated information to EFSP.
- Will not charge a fee to clients for EFSP funded services.
- Has a voluntary board if private, not-for-profit.
- **Understands that cash payments (including petty cash) are not eligible under EFSP.**
- Will provide all required information to the Fiscal Agent/Fiscal Conduit.
- Will expend monies only on eligible costs and keep complete, accurate documentation (copies of canceled LRO checks – front and back, other proof of payment, invoices, receipts, etc.) on all expenditures for a minimum of three years after end-of-program date, and for compliance issues until resolved.
- Will provide complete, accurate documentation to the Fiscal Agent/Fiscal Conduit Agency for payment to the vendor.
- Will not use EFSP funding for any lobbying activities and if receiving $100,000 or more, will provide the "Certification Regarding Lobbying" and, if applicable, will complete Standard Form LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- Has certified that our employees, volunteers, or other individuals associated with the program understand they will not engage in any trafficking of persons during the period this award is in effect.
- Has certified that our employees, volunteers, or other individuals associated with the program understand they will not use EFSP funds to support access to classified national security information during the period this award is in effect.
- Has no known EFSP compliance exceptions in this or any other jurisdiction.
- Will spend all funds and close-out the program by the jurisdiction's selected end-of-program date, and return any unused funds ($5.00 or more) to the National Board.

This form must be completed in its entirety. Please do not alter this form; any questions regarding the form should be directed to EFSP staff.

Agency Name (Sub-recipient):_____

FEIN# (Sub-recipient):_____ **DUNS # (Sub-recipient):**_____

Street Address/City/State/Zip:_____

Phone #:_____ **Fax #:**_____ **Email:**_____

Contact Name: _____

Signature: _____ **Date: [Insert]**

Annex 5: Lobbying Certification

A webinar detailing the process for submitting LRO Certifications is available on the EFSP website under ***Training Workshops*** *on the left-hand menu after you login.*

EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

PHASE 37 CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on the behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, contribution, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Title 31 U.S.C. §1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

This form must be completed in its entirety. Please do not alter this form; any questions regarding the form should be directed to EFSP staff.

LRO Name	**LRO ID Number (9 digits)**
Representative Name	
Representative Signature	**Date (month/day/year)**

NOTE: Standard Form LLL and instructions are available at www.grants.gov

EFSP

Quick Reference Guide for

ADMINISTRATION

Emergency Food and Shelter National Board Program

Description: The administrative allowance for the EFSP was established by the National Board for use by Local Boards and Local Recipient Organizations (LROs) to help defray the costs of administering this program.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the ***EFSP Responsibilities and Requirements Manual (EFSP Manual)***. For more complete information on this category, please reference the **EFSP Manual**.

Administrative Allowance

The Local Board decides the awarding of administrative funds to agencies. Agencies are encouraged to apply for funds for administration within their award. EFSP's administrative allowance may only be spent on the costs associated with administering this program. The current administrative allowances are:

Local Boards: 2% of the entire jurisdiction's award; this is part of the award and is not an addition to the award.

- The 2% may be used by the Local Board, OR
- The Local Board may award portions of this 2% to funded agencies for administrative costs.
- No LRO may use more than 2% of their own award for administration.

State Set-Aside Committees (SSAs): One-half of 1% of the SSA's award; this is part of the award and is not an addition to the award.

- The one-half of 1% may be used by the SSA, OR
- SSAs acting as Local Boards funding agencies directly may either use the 2% Local Board allowance OR the one-half of 1% allowance for SSAs–they cannot use both.

Eligible Items:

- Portions of salaries and benefits for employees directly associated with the administration of the EFSP
- Office supplies
- Office equipment
- Mailing costs
- Advertising expenses

Ineligible Items:

- Expenses not directly related to the administration of the EFSP
- Administrative costs exceeding 2% of the total award amount for the jurisdiction
- Lobbying costs
- All food costs/Meals for the Local Board meetings

Documentation Required:

Examples of the types of documentation that must be retained includes (but is not limited to):

- Itemized receipts and invoices
- Receipts must be vendor-generated, must be dated, and must list specific items purchased
- Payroll registers for employees directly involved with EFSP administration

Proof of Payment:
Proof of payment must be attached to all receipts and invoices.

- Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements.
- Check images included in bank statements are accepted.
- Debit card or electronic payments require bank statement that identifies the vendor by name.
- Credit card payments require canceled check payable to the credit card company.
- Debit and credit cards must be in agency's name.

Spreadsheet for expenditures in this category:

A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

NOTE: Although documentation of administrative expenses does not have to be submitted with the LRO Final Report, this documentation must be accessible for submission and/or review on-site or as requested.

The review of administrative documentation may be necessary to comply with audit requirements of the program, including government audits. Per EFSP requirements, all documentation must be retained for three years after the Final Report has been submitted and accepted by the National Board. Please redact (black out) personally identifiable information (i.e., Social Security Number) on registers or other documentation, as necessary.

EFSP

Quick Reference Guide for

MASS SHELTER

Emergency Food and Shelter National Board Program

Description: The Mass Shelter category is intended to allow mass shelter providers (five beds or more in one location) to provide on-site housing for clients. An agency must be awarded funds under mass shelter by the Local Board in order to have expenditures under the Mass Shelter category.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**.

For more complete information on this category, please reference the **EFSP Manual**.

Mass Shelter

For mass shelter providers, there are **TWO** options for eligible costs. One option must be selected at the beginning of the program year by the Local Board; eligible LROs must then use only one method throughout the entire spending phase. The two options are:

Option 1: Direct Costs

Agencies may use EFSP funds to purchase supplies essential to shelter individuals in a mass shelter.

Eligible costs include cots, mattresses, soap, linens, blankets, cleaning supplies. Clothing expenses are limited to diapers and underwear only. Limited amounts of personal care products and first aid supplies for use in the shelter are eligible. Certain transportation costs related to the sheltering of a client are eligible. Shelter operational costs and food expenditures are not eligible under this option.

NOTE: All cash payments and payments that are reimbursements to individuals (staff or volunteers) are INELIGIBLE. Agencies may not operate as vendors for themselves or other LROs; self-billing is not eligible with this funding.

Option 2: Per Diem Allowance

Agencies may use the per diem allowance to cover operational costs as well as direct expenditures. A per diem allowance of **exactly $7.50 or $12.50** per person may be used by mass shelter providers if:

- The rate is approved by the Local Board
- LRO's total mass shelter expenditure is accounted for using this method.

The Local Board may vary the rate between agencies depending on the level of services provided to clients.

Eligible costs within the per diem allowance include operational costs such as the shelter's rent/mortgage, utilities, and staff salaries. Shelter supplies eligible under *Option 1* are also eligible. Expenditures such as maintenance agreements and food expenditures are not eligible.

For a more complete listing of eligible costs under both options, please reference the **EFSP Manual**.

Documentation Required:

NOTE: Local Boards must allocate funds for either the direct expense method (receipts and proof of payment) or the per diem. LROs can use one method to account for all expenditures in this category. Both methods cannot be used.

- **Direct Costs:**
  - Itemized receipts and invoices are required.
  - Receipts must have vendor's name, must be dated, and must list specific items purchased. Vouchers are not sufficient.
- **Per Diem Allowance:**
  - A per diem schedule is required. Mass Shelter rates must be listed at the rate of either **$7.50** or **$12.50** per day.
  - Per diem schedule must show a **DAILY** count.
  - Dates covered must be within the spending period.
  - Agencies are strongly encouraged to use the per diem sample format in the **EFSP Manual.**
- **Proof of Payment:**
  Proof of payment must be attached to all receipts and invoices.
  - Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements.
  - Check images included in bank statements are accepted.
  - Debit card or electronic payments require bank statement that identifies the vendor by name.
  - Credit card payments require canceled check payable to the credit card company and a credit card statement.
  - Debit and credit cards must be in agency's name.

NOTE: Receipts and proof of payment do not have to be submitted to the National Board if your agency is using the per diem method. These must be maintained by your agency.

Spreadsheet for expenditures in this category:
A summary spreadsheet of all expenditures in this category must be provided when using the direct cost method. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

A spreadsheet is not required when using the daily per diem allowance; see option 2 of this document.

EFSP

Quick Reference Guide for

OTHER FOOD

Emergency Food and Shelter National Board Program

Description: The Other Food category is intended to allow agencies such as food pantries and food banks to pay for the purchase of food items, food vouchers and food gift cards/certificates to assist in the feeding of eligible clients.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**. For more complete information on this category, please reference the **EFSP Manual**.

OTHER FOOD

Eligible items:

- All food items
- Diapers and feminine hygiene products
- Gift cards/certificates
- Food Vouchers
- Boxes and plastic storage bags
- Maintenance fees charged by food banks
- Transportation costs:
  - Local transportation expenses for pickup and delivery of food, and for transporting clients to a feeding site.
  - Mileage log must be provided at the published rate in the EFSP Manual.
  - Public transportation

Ineligible items:

- Items used in serving food, such as eating utensils
- Paper products
- Cleaning products
- Personal care products
- Vitamins and first aid products
- Pet foods and products
- Excessive snacks and sweets
- Purchases for staff events/functions
- Food purchases for holiday dinners/events
- Per diem or meal allowance spreadsheets are not allowable in this category

NOTE: Cash payments and payments that are reimbursements to individuals (staff or volunteers) are ***INELIGIBLE***.

Documentation Required:

- **Itemized receipts and invoices:**
  Receipts must have vendor's name, must be dated, and must list specific items purchased. Summarized billing statements and purchase orders are not sufficient.

- **Food Vouchers:**
  All vouchers must list the exact amount of purchase, list purchase restrictions, and must be signed by the purchaser, an agency representative, and the vendor representative. Agencies are strongly urged to use the voucher sample format in the **EFSP Manual**.

  NOTE: Itemized receipts are not required for correctly completed food vouchers.

- **Gift cards/certificates:**
  All gift cards/certificates must have restrictions stated limiting purchases to "food only", or "food, diapers and feminine hygiene products only"; no non-food items, alcohol, cigarettes or lottery purchases, and no cash back.

  Agencies must submit a dated receipt or invoice for the purchase of the gift cards/certificates, and must also submit one copy of the front and back of a single gift card/certificate indicating restrictions.

- **Proof of Payment:**
  Proof of payment must be attached to all receipts, invoices, gift card purchases and vouchers.
  - Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements.
  - Check images included in bank statements are accepted.
  - Debit card or electronic payments require bank statement that identifies the vendor by name.
  - Credit card payments require canceled check payable to the credit card company and credit card statement.
  - Debit and credit cards must be in agency's name.

Spreadsheet for expenditures in this category:

A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

EFSP

Quick Reference Guide for

OTHER SHELTER

Emergency Food and Shelter National Board Program

Description: The Other Shelter category is intended to allow agencies to provide off-site emergency housing for clients. Agencies may not operate as vendors for themselves or other LROs; self-billing is not eligible with EFSP funding.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**. For more complete information on this category, please reference the **EFSP Manual**.

OTHER SHELTER

Eligible Items:

- Lodging charges from a hotel or motel
- Lodging charges from a non-profit facility acting as a vendor (cannot be from your own agency or another LRO funded by EFSP)
- LROs may cover stays up to a total of 30 days (see the EFSP Manual for more information)
- Local taxes added to the bill are allowable
- Transportation costs:
  Certain transportation costs related to the sheltering of a client are eligible, such as bus tokens needed to get to a facility. See the **EFSP Manual** for additional information.

Ineligible Items:

- Any stays dated outside of the spending period
- All payments made in advance; all payments must be dated after the end of the client's stay.
- Any stays exceeding 30 days
- Telephone calls
- Deposits for keys, damage and other deposits
- Transportation costs unrelated to sheltering a client, such as bus tickets, car repairs, gasoline or any client-owned transportation expenses
- Per diem schedules are not allowable in this category

Documentation Required:

- Hotel or motel invoices:
  Receipts must be vendor-generated, have vendor's name and address, must be dated and must list client's name, the dates of stay and cost per night. Non-profit agencies acting as vendors must also generate invoices. Payment receipts and vouchers are not sufficient unless all of the above information is on the documentation and must be signed by a vendor representative.

  NOTE: If your agency is required by statute to keep client's names confidential, you must submit a copy of the state- authorized statute and assign unique identifiers to all clients served. Please reference the **EFSP Manual**.

- **Proof of Payment:**
  Proof of payment must be attached to all receipts and invoices.
  - Copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements.
  - Check images included in bank statements are accepted.
  - Debit card or electronic payments require bank statement that identifies the vendor by name.
  - Credit card payments require canceled check payable to the credit card company.
  - Debit and credit cards must be in agency's name.

  NOTE: All cash payments, advance payments and payments that are reimbursements to individuals (staff or volunteers) are INELIGIBLE.

  Spreadsheet for expenditures in this category:
  A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

EFSP

Quick Reference Guide for

RENT/MORTGAGE

Emergency Food and Shelter National Board Program

Description: The Rent/Mortgage category is intended to allow agencies to pay up to a one-month amount of rent or mortgage for qualifying clients. Each household may receive this assistance only one time per spending period.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**. For more complete information on this category, please reference the **EFSP Manual**.

RENT/MORTGAGE

Eligible Items:

- One month of past due balance of rent or mortgage
- One month of current balance of rent or mortgage
- First month's rent

NOTE: When paying on rent or mortgage for mobile homes, agencies may include the cost of lot fees in the payment.

Ineligible Items:

- More than one month's rent or mortgage payment
- First month of new mortgage
- Deposits
- Escrow payments, taxes and insurance
- All fees, including late fees, condo fees, homeowner association fees/dues
- Rent or mortgage on an agency's own facility is not eligible

The following conditions must be met before payment is made:

- ***Current rent*** - payment due within 10 calendar days
- ***First month's rent*** - payment may be made up to 30 days prior to the move-in date
- ***Past due rent*** - amount paid must be totally outstanding at the time of payment
- All other resources have been exhausted
- The home/apartment is the client's primary residence
- Client must be the one responsible for the payment
- Payment is limited to one month of assistance per spending period
- Payment must guarantee 30 days of additional service
- Assistance can be provided to the client by only one LRO in the jurisdiction

NOTE: Agencies are strongly encouraged to use the Rent/Mortgage verification form in the EFSP Manual.

Documentation Requirements – RENT:

- **First month's rent:**
  - Dated and signed lease, complete with all pages **OR**
  - Landlord letter (dated and signed by landlord) with client's name and address, the move-in date, and monthly rent amount

  NOTE: Leases are only accepted as stand-alone documentation only for cases of first month's rent.

- **Current month's rent:**
  Landlord letter or rent verification form (dated and signed by landlord) with client's name and address, the specific month being covered, rent due date and monthly rent amount.

- **Past due month's rent:**
  Landlord letter or rent verification form (dated and signed by landlord) with client's name and address, the specific month being covered, monthly rent amount, rent due date and the total rent amount outstanding at the time of payment.

Documentation Requirements - MORTGAGE

Mortgage assistance is limited to principal and interest only; escrow, taxes, insurance and late fees cannot be included in the payment. Only mortgages on principal residences are eligible; payments on 2nd mortgages and lines of credit are not eligible. Forbearance loans and loan modification fees are also ineligible.

- **Current month's mortgage:**
  Mortgage statement, rent verification form or letter from mortgagor showing the client's name and address, the mortgagor name, account number, monthly amount of principal and interest, and date due.

- **Past due month's mortgage:**
  Mortgage statement, rent verification form or letter from mortgagor showing the client's name and address, the mortgagor name, account number, monthly amount of principal and interest, due date and the amount outstanding at the time of payment.

Proof of Payment for all RENTS/MORTGAGES:

Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements. Check images included in bank statements are accepted. Debit card or electronic payments require bank statement that identifies the vendor by name. Credit card payments require canceled check payable to the credit card company. Debit and credit cards must be in agency's name.

Spreadsheet for expenditures in this category:

A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

SPECIAL NOTES:

1. Cash payments, money orders and reimbursements to individuals who are not the landlords or mortgagors are **ineligible**.
2. Agencies may pay up to **$250.00** on any past due balance and not be required to present verification of monthly rent amount. However, the documentation must show that the entire amount was outstanding at the time of payment and other required information.

EFSP

Quick Reference Guide for

SERVED MEALS

Emergency Food and Shelter National Board Program

Description: The Served Meals category is intended to allow mass feeding facilities to pay for the purchase of food items, items used to prepare and serve food, and other food-related items to assist in the mass feeding of eligible clients. Your agency must be awarded funds under mass feeding by your Local Board in order to have expenditures under the Served Meals category.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the ***EFSP Responsibilities and Requirements Manual (EFSP Manual)***. For more complete information on this category, please reference the ***EFSP Manual***.

Served Meals

For mass feeding facilities, there are **TWO** options for eligible costs. One option must be selected at the beginning of the program year by the Local Board; eligible LROs must then use only one method throughout the entire spending phase. The two options are:

Option 1: Direct Costs

Agencies may use EFSP funds to purchase food items and supplies essential to prepare meals onsite in a mass feeding facility.

Eligible Items:

- Any food used in served meals (cold or hot)
- Paper products (paper plates, towels, toilet tissue)
- Items and utensils used to prepare food (forks, pots, pans, gloves, etc.)
- Cleaning products
- Limited amounts of first-aid supplies
- Transportation costs:
  - Local transportation expenses for pickup and delivery of food, and for transporting clients to a feeding site.
  - Mileage log must be provided at the published rate in the **EFSP Manual**.
  - Public transportation

Ineligible Items:

- Any items not related to the serving of food
- Pet foods and products
- Excessive snacks and sweets
- Purchases for staff events/functions
- Holiday dinners/events

NOTE: Cash payments and payments that are reimbursements to individuals (staff or volunteers) are INELIGIBLE.

Option 2: Per Meal Allowance

Agencies may use the per meal allowance to cover operational costs as well as direct expenditures. A per meal allowance of exactly **$2.00** per meal may be used if approved by the Local Board, **AND** if the LRO's total expenditures are accounted for using this method. Eligible costs within the per meal allowance include operational costs such as the agency's rent/mortgage, utilities and staff salaries. Supplies eligible under Option 1 are also eligible.

Documentation Required:

NOTE: Local Boards must allocate funds for either the direct expense method (receipts and proof of payment) or the per meal method and use one method to account for all expenditures in this category. Both methods cannot be used.

- ***Itemized receipts and invoices:***
  Receipts must have vendor's name, must be dated within the spending period, and must be itemized (specific items purchased must be listed). LRO purchase orders and summarized billing statements are **not** accepted.

- ***Per Meal Allowance:***
  - A per meal schedule is required. Allowance must be listed as **$2.00** per meal
  - Per meal schedule must show a DAILY count
  - Dates covered must be within the spending period
  - Agencies are strongly urged to use the per meal schedule sample format in the **EFSP Manual**.

- ***Proof of Payment:***
  Proof of payment must be attached to all receipts, invoices, gift card purchases and vouchers.
  - Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements.
  - Check images included in bank statements are accepted.
  - Debit card or electronic payments require bank statement that identifies the vendor by name.
  - Credit card payments require canceled check payable to the credit card company and a credit card statement.
  - Debit and credit cards must be in agency's name.

NOTE: Receipts and proof of payment do not have to be submitted to the National Board, if your agency is using the per meal allowance method. These must be maintained by your agency.

Spreadsheet for expenditures in this category:
A summary spreadsheet of all expenditures in this category must be provided. The direct cost spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheet and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.

NOTE: A spreadsheet is not required when using the daily per meal allowance; see option 2 of this document.

EFSP

Quick Reference Guide for

SUPPLIES & EQUIPMENT

Emergency Food and Shelter National Board Program

Description: The Supplies and Equipment category is intended to allow agencies including served meal facilities, mass shelter facilities, food pantries and food banks to purchase supplies and equipment necessary for the provision of food and/or shelter. Agencies may not operate as vendors for themselves or other LROs; self-billing is not eligible with this funding.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the EFSP Responsibilities and Requirements Manual (EFSP Manual).

For more complete information on this category, please reference the EFSP Manual.

Supplies and Equipment

Served meal and mass shelter providers, food pantries, and food banks must note the following rules when claiming expenditures under the Supplies and Equipment category:

- Agencies cannot claim any expenditure under the Supplies and Equipment category if the agency is using the per diem or per meal method of providing documentation for either Served Meals or Mass Shelter. This is not allowed as these expenditures would be covered by the per meal/per diem allowance.
- Expenditures under this category are limited to a maximum amount of $300.00 per item.

  Purchases in the Supplies category must correspond to the category funded:
  - If claiming expenditures under Served Meals, all purchases must be related to the providing or serving of food.
  - If claiming expenditures under Mass Shelter, all purchases must be related to providing shelter.

Eligible items:

- Food Pantries and Food Banks: plastic bags for repackaging food, boxes for storing and distributing food, shelving, hand truck; freezer; items essential to making purchased or donated food available to clients.
- Mass feeding facilities: pots and other cooking utensils, small or large appliances, paper products, shelving, plates and other serving utensils, cleaning products; any item essential to the serving of food.
- Mass shelter facilities: cots, beds, blankets, pillows, limited amounts of personal products such as toothpaste and toothbrushes, soap, cleaning materials, limited first-aid supplies, underwear.

Ineligible items:

- Any items or equipment costs over $300.00 per item.
- Curtains, carpet, clothing other than underwear, TV's, computer/electronic equipment, office supplies and equipment, bedroom furniture other than beds (lamps, nightstands, etc.), prescriptions and medical equipment, decorative items, purchases of supplies or equipment meant for an individual's home or private use, and a canopy/tent to cover an area.

  Expenditures such as facility repairs, maintenance agreements for equipment and the food expenditures themselves are not eligible under this category.

Special Note: All agencies, regardless of the category of funding, are allowed to purchase diapers and feminine hygiene products to provide clients with a minimal emergency supply. Expenditures for diapers should be reported under the Supplies and Equipment category.

Documentation Required:

- ***Itemized receipts and invoices:***
  Receipts must have vendor's name, must be dated, and must list specific items purchased.
- ***Proof of Payment:***
  Proof of payment must be attached to all receipts and invoices.

  Submit a copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements. Check images included in bank statements are accepted. Debit card or electronic payments require bank statement that identifies the vendor by name. Credit card payments require canceled check payable to the credit card company. Debit and credit cards must be in agency's name.

  Spreadsheet for expenditures in this category:
  A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website.

EFSP

Quick Reference Guide for

UTILITIES METERED BILLS

Emergency Food and Shelter National Board Program

Description: The Utilities category is intended to allow agencies to pay up to a one-month billed amount of a metered (electric, gas, water) or non-metered (propane, firewood, coal) utility bill for qualifying clients. Each household may receive this assistance only one time per spending period.

This Quick Reference Guide lists information on metered payments only; see **Utilities: Non-Metered Bills** for information on non-metered utility bill payments.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**. For more complete information on this category, please reference the **EFSP Manual**.

METERED BILLS

- **Electric**
- **Gas**
- **Water**
- **Sewer**

Eligible Items:

- Past due utility bills or
- Current utility bill - When paying on current bill, LROs can pay either the actual usage amount reflected on the bill, or the current "budget" amount.

NOTE: Agencies may include the cost of "reconnection" fees in the payment.

Ineligible Items:

- Payments made on agency's own utility bills
- Payment for metered utilities exceeding a single one-month billed amount
- Any current utility payment dated more than 10 calendar days prior to the utility due date
- Payment on closed accounts
- Payments on TV cable, satellite, internet, and phone bills
- Payments for any type of fuel for automobiles
- Late fees, deposits or any other fees
- Any payments not made directly to the vendor

When paying on past due metered bills:

If you are paying on a cut-off/shut-off notice **OR** paying on a past due balance listed on a current bill, the agency must verify the 1-month billed amount of the total outstanding at the time of payment.
The verification must be with the vendor and must list the following:

- The month being covered (or 30-day period covered)
- The amount billed for that month of actual usage only
- The date that the payment was due that month
- The total amount outstanding at the time of payment

- All of the amount paid by the LRO must be outstanding at the time of payment (the date the payment is made). It is strongly recommended that the agency obtain and attach a billing and payment history from the utility company.

NOTE: Some utility bills cover more than one month of usage. Agencies must only pay a verified one-month billed portion. Do not use averaging.

NOTE: Door hangers will not be accepted in lieu of a bill.

Agencies are strongly urged to use the Metered Utility Verification Form in the EFSP Manual to confirm the 1-month billed amounts of past due balances.

When paying on current metered bills:

- All of the amount paid by the LRO must be outstanding at the time of payment (the date the payment is made).
- The payment cannot be made more than 10 calendar days prior to the utility bill due date.

Documentation Required:

***Past due bills*:** Attach the bill or cut-off/shut-off notice, a Metered Utility Verification Form, or billing and payment history from the vendor. Also attach proof of payment: copy of canceled checks (front and back), or copy of uncanceled fronts of checks and bank statements. Check images included in bank statements are accepted. Debit card or electronic payments require bank statement that identifies the vendor by name. Credit card payments require canceled check payable to the credit card company. Debit and credit cards must be in agency's name. Payment receipts and check stubs are not sufficient.

***Current bills*:** Attach the current bill (or billing and payment history) and proof of payment.

Spreadsheet for expenditures in this category:
A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions are available on the EFSP website, **efsp.unitedway.org**.

SPECIAL NOTE: Agencies may pay up to $100.00 on any past due balance and not be required to present any verification of the billing period. However, the documentation must show that the entire payment amount was outstanding at the time of payment and other required information.

Quick Reference Guide for

EFSP UTILITIES NON-METERED BILLS

Emergency Food and Shelter National Board Program

Description: The Utilities category is intended to allow agencies to pay a one-month billed amount of a metered (electric, gas, water) or non-metered (propane, firewood, coal) utility bill for qualifying clients. Each household may receive this assistance only once per spending period.

This Quick Reference Guide lists information on non-metered payments only; see **Utilities: Metered Bills** for information on metered utility bill payments.

This Quick Reference Guide is provided to assist in the understanding of allowable costs and documentation requirements at a glance; it is not a substitute for the **EFSP Responsibilities and Requirements Manual (EFSP Manual)**. For more complete information on this category, please reference the **EFSP Manual**.

NON-METERED BILLS

- **Propane**
- **Firewood**
- **Coal**

Eligible Items:

- Agencies may pay for a one-time delivery of a non-metered product used to heat homes
- Payments are limited to one delivery per household and only once per phase (spending period)
- Delivery fees can be included in the payment
- Agencies cannot pay in advance for deliveries

Ineligible Items:

- Payments made on agency's own utility bills
- Any payment exceeding the cost of one delivery
- Payments made on account
- Payments on TV cable, satellite, internet, and phone bills
- Payments for any type of fuel for automobiles
- Late fees or deposits
- Any payments not made directly to the vendor.

NOTE: Agencies may not pay on a client's non-metered account to help bring down the balance when there has been no delivery.

Documentation Required:

The current delivery receipt (LROs must show proof that the product was delivered), and proof of payment. Price quotes, purchase orders, payment receipts and check stubs are not sufficient. The delivery receipt must be vendor-originated and must list the following:

- Name and address of vendor
- Client name, address and account number (if applicable)
- Type of product and amount delivered
- Date of delivery and amount billed

- ***Proof of Payment:***
  Proof of payment must be attached to all delivery receipts.
  - Submit a copy of canceled checks (front and back) or copy of uncanceled fronts of checks and bank statements.
  - Check images included in bank statements are accepted.
  - Debit card or electronic payments require bank statement that identifies the vendor by name.
  - Credit card payments require canceled check payable to the credit card company and a credit card statement.
  - Debit and credit cards must be in agency's name.

Spreadsheet for expenditures in this category:
A summary spreadsheet of all expenditures in this category must be provided. The spreadsheet must indicate specific criteria such as check number, check amount, EFSP amount, etc. Sample spreadsheets and instructions for all program categories are available on the EFSP website, **efsp.unitedway.org**.