

TUSCALOOSA COUNTY COMMISSION  
MEETING  
JULY 21, 2021

TUSCALOOSA COUNTY                   §  
STATE OF ALABAMA                   §

This being the date and hour to which the Tuscaloosa County Commission adjourned; the County Commission met pursuant to such adjournment with Probate Judge Rob Robertson presiding as Chairman. The following members were present:

Stan Acker  
Jerry Tingle  
Mark C. Nelson  
Reginald Murray

Commissioner Mark C. Nelson moved, seconded by Commissioner Jerry Tingle, the County Commission voted unanimously to approve the minutes of July 7, 2021.

Commissioner Stan Acker moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously to nominate Commissioner Jerry Tingle to serve as the Tuscaloosa County Commission legislative committee appointment to the Alabama County Commission Association.

Upon request by Assistant County Administrator David Howell, Commissioner Reginald Murray moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously to adopt the attached policies as the Standard Operating Procedure for the Emergency Rental Assistance Program.

Exhibit 7-1, Pages

Upon request by Grants Administrator London Jenkins, Commissioner Jerry Tingle moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously to authorize the Chair to execute grant agreement IAR-063-000-025 with the Alabama Department of Transportation for an Industrial Access Project in the amount of \$716,800.00.

Exhibit 7-2, Pages

Commissioner Jerry Tingle moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously to approve the warrants issued to cover Tuscaloosa County's expenditures for June 2021.

Exhibit 7-3, Page

Commissioner Stan Acker moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously approve the sale of a Sheriff's Office surplus vehicle, 2011 Tahoe with 142,000 miles, to the Coker Volunteer Fire Department for the amount of \$1,000.00.

Exhibit 7-4, Page

Commissioner Stan Acker moved, seconded by Commissioner Jerry Tingle, the County Commission voted unanimously to depart from the order of business set forth in the official agenda to consider funding to Coker VFD.

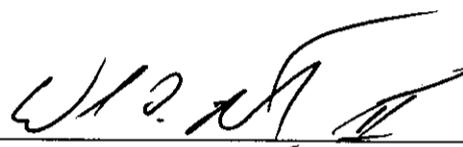
Commissioner Stan Acker moved, seconded by Commissioner Reginald Murray, the County Commission voted unanimously to approve an expenditure in the amount of \$500.00 each from the District I discretionary fund and the District IV discretionary fund (total of \$1,000.00) to Coker VFD for a transport equipment purchase.

Commissioner Jerry Tingle moved, seconded by Commissioner Mark C. Nelson, the County Commission voted unanimously to approve an expenditure in the amount of \$3,000.00 from the District II discretionary fund to Lake View Fire District for equipment expenses.

Commissioner Jerry Tingle moved, seconded by Commissioner Stan Acker, the County Commission voted unanimously to approve an expenditure in the amount of \$2,200.00 from the District II discretionary fund to Brookwood Elementary for the new Pre-K playground.

Commissioner Jerry Tingle moved, seconded by Commissioner Reginald Murray, the County Commission voted unanimously to approve an expenditure in the amount of \$3,648.87 from the District II discretionary fund for a grant match for the Town of Lake View's HMGP Outdoor Warning Siren grant application.

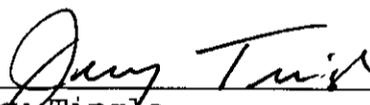
There being no further business to come before the Tuscaloosa County Commission, the meeting adjourned to Wednesday, August 4, 2021.



Rob Robertson  
Judge of Probate  
Chairman Tuscaloosa County Commission



Stan Acker  
Commissioner - District I



Jerry Tingle  
Commissioner - District II



Mark C. Nelson  
Commissioner - District III



Reginald Murray  
Commissioner - District IV



**Tuscaloosa County Emergency Rental Assistance Program  
Standard Operating Procedures (SOPs) – Eligibility Review  
Effective Date July 12, 2021**

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## Tuscaloosa County Emergency Rental Assistance Program Standard Operating Procedures (SOPs) – Eligibility Review Effective Date July 12, 2021

### SECTION 1: PURPOSE

The Eligibility and Payment Review is critical in properly implementing the Tuscaloosa County Emergency Rental Assistance Program (TCERAP). Eligibility Analyst and QA/QC Supervisors will be reviewing applications and recommending payments as the application, including pay requests, are submitted. The review will determine eligibility and amounts verified for payment disbursement.

### SECTION 2: SCOPE

To define the procedures on:

- How requests are prioritized
- How to assign requests
- How to complete an eligibility review
- How to determine approved payment amount

### SECTION 3: FORMS/RELATED DOCUMENTS

The following is a list of any attachments, forms, and workflows referenced throughout this SOP. Personnel implementing this SOP should refer to the form(s) and workflow(s) for additional guidance.

- Rental and Utilities Approved Assistance Worksheet
- Program Documents

### SECTION 4: ROLES/RESPONSIBILITIES

**Eligibility Analyst (EA):** A member of the Program's Eligibility Determination team. Responsible for reviewing applications, documents provided, and initial payment determinations for applicants of the TCERAP.

**Quality Assurance/Quality Control Supervisor (QA/QC):** A member of the Program's Eligibility Determination team. Responsible for performing final review to approve or deny applications for applicants of the TCERAP.

EX 7-1

**Customer Service Representatives (CSR):** Team members working on the call center and help desk teams that communicate with applicants for support in submitting applications and general program questions.

## SECTION 5: EQUIPMENT AND MATERIALS

- Password protected access to the TCERAP Neighborly software.
- Program guidelines and documents governed by TCERAP
- Firm issued computers including secure network
  - Please note the Neighborly software should only be accessed through the team member's firm issued computer with secure connection

## SECTION 6: DEFINITIONS

1. **AMI:** Area Median Income, defined by HUD annually. AMI is the midpoint of a region's income distribution – half of the families in a region earn more than the median and half earn less than the median.
2. **AGI:** Adjusted Gross Income, defined as gross income minus adjustments to income.
3. **Neighborly:** Web-based software system used to accept applications, process applications and facilitate data exchange for payment process.
4. **TCC:** Tuscaloosa County Commission – Agency responsible for administering the TCERAP.
5. **Customer Service Representative (CSR)** – Customer Service Representatives operate the Call Center and assist Tenant and Landlord applicants with initiating their application, answering program and Neighborly system questions and are responsible for each application until it has progressed from "Application in Progress" to "Application Submitted".
6. **TCERAP** – Tuscaloosa County Emergency Rental Assistance Program.
7. **Eligibility Analyst (EA)** - Eligibility Analysts are responsible for initiating Application analysis for Tenants and Landlords once the Application has reached the "Application Submitted" status in the Neighborly web-based software system and facilitate advancement of the application through eligibility confirmation processes until it reaches "Approved: Pending Final Review" status.
8. **QA/QC Supervisor** – The QA/QC Supervisors are responsible ensuring that all applications are managed in accordance with program guidelines and constitute the final stage of review and validation of all application components and compliance. They are responsible for applications that have reached "Approved: Pending Final Review" status until the application has achieved "Approved: Pending Payment" status. QA/QC Supervisors oversee compact teams of Eligibility Analysts.
9. **Review Team** – The Review Team is comprised of Customer Service Representatives (CSR), Eligibility Analysts (EA), and QA/QC Supervisors.

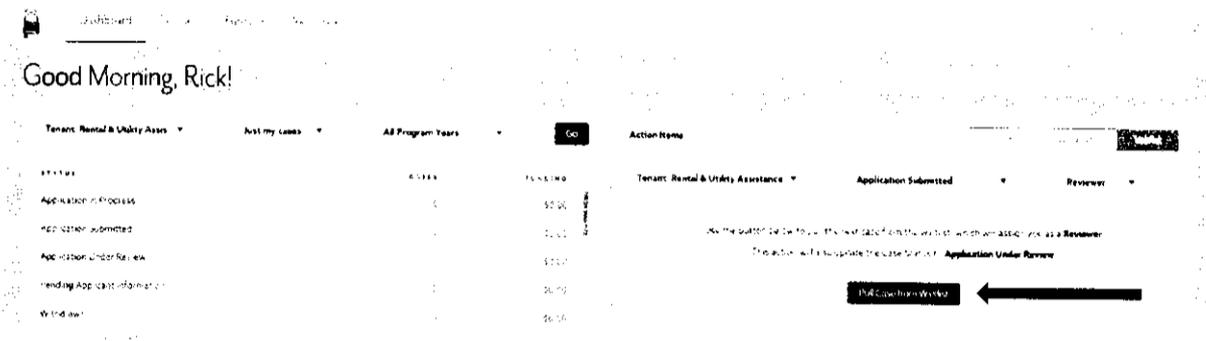
## SECTION 7: PRIORITIZATION (Overview)

Priority has been established by TCC (criteria noted in Section 8- Eligibility Prioritization below) and will be implemented by the Review Team. The system assists the review team in prioritization through the "Waitlist". Points are assigned to each application based on the results of answers within the application. Those Review Team members with Waitlist access will sort/filter the Waitlist based on the priority criteria determined by TCC.

EX 7-1

Once the Waitlist has been properly sorted/filtered, the EA will have the ability to pull an application from their dashboard and the applications will be pulled in the order in which they appear on the Waitlist.

- a) The EA will enter the system and push the Waitlist button in the upper right corner of the screen shown below.
- b) The EA will then click the "Pull Case from Waitlist" and the system will load the next available case for Review.



## SECTION 8: STANDARD OPERATION PROCEDURES

### EA ASSIGNMENT OF APPLICATIONS

**OVERVIEW:** Assigning applications from dashboard. Once a Tenant application is submitted, the case status will automatically change from "Application in Progress" to "Application Submitted." As applications are submitted, the review team will process those applications. To assign applications to work on, the EA should follow the steps below:

1. Click on the "Dashboard" tab at the top of the screen.
  - a. If there are active Tasks shown under action items, the EA will work these tasks first.
  - b. If all active tasks are in process and waiting response from applicants, the EA will use the Waitlist button and move to the application assignment activity.
2. In the dashboard, as shown below, ensure the following dropdowns are selected:
  - a. First dropdown should be on "Tenant: Rental & Utility Assistance"
  - b. Second dropdown should be on "Just my cases"
  - c. Third dropdown should be on "All Program Years"
3. Click "Go" to the righthand side of the third dropdown
4. Follow the guidance included in SECTION 7: PRIORITIZATION to identify the next available Application Submitted status case available.
5. Once the case has been selected following the system Prioritization methodology, the Eligibility Analyst will assign themselves to the role "Reviewer" from the Users tab in the case.
  - a. Select "Users" from the left side of the screen
  - b. Click "add a User"

ex 7-1

- c. Select Reviewer from the Role drop down menu
  - d. Select your name for the User drop down menu
  - e. Click "add"
6. Once a Reviewer is assigned, the system will automatically change the case status to "Application Under Review."

The screenshot displays a web application interface for case management. The top navigation bar includes 'Dashboard', 'Cases', 'Users', 'Reports', and 'Help'. The main content area shows details for a case with Program ID 58179, Status 'Applications Under Review', and County 'Montgomery County'. A table below lists cases with columns for CASE ID, NAME, STATUS, and REVIEWER. Annotations include callouts for 'Click on these icons to add the cases to the SAME table', 'This icon is the same as the map/legends icon... but has the word of 'add' in quick hearing...', 'Click on this icon to see the table', 'This icon shows for LEAF, Tenant and Landlord programs... previously you had to toggle between both', and 'Only Case Managers/Reviewers who get assigned to cases will see the filtered list. It has a feature to toggle and filter cases from the side bar.'

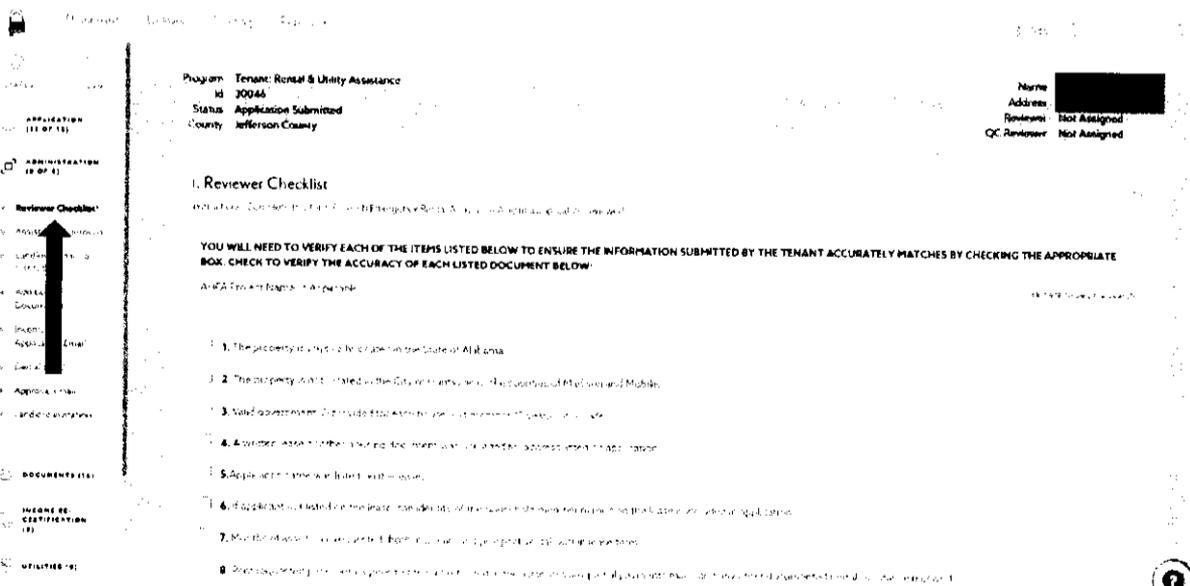
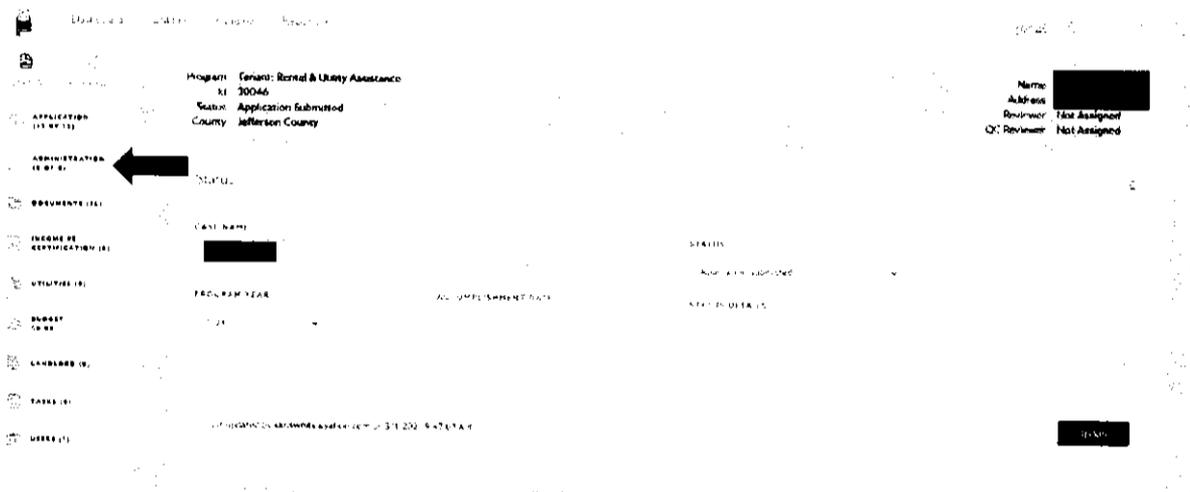
## ELIGIBILITY REVIEW OVERVIEW

Following the identification and assignment of a new case from the Waitlist, it is the EA's responsibility to review every element of information entry as well as to check each page of supporting documentation submitted to ensure that the documents include all relevant data necessary to support the assistance request. Applicants may or may not have fully understood the guidance and EA's should expect to encounter cases with missing documents, incomplete documentation, and occasionally documentation that is suspicious. This process is designed and intended to assist the applicants in completing the process

027-1

as quickly and efficiently as possible in the least amount of time. The details and associated sequences defined below must be followed along with the sub-processes associated with reviews that require additional steps to support the request. If any document is missing or does not clearly identify the owner and household member that matches the entries provided in the system, additional work may be required, or the case may be determined to be ineligible.

1. The EA will complete the "Reviewer Checklist" within the system and determine whether the application is: (1) eligible and meets requirements (2) missing information or (3) ineligible.
2. Ensure the ineligible reason(s) OR missing information options are completed in the Reviewer Checklist as these checkboxes populate both the Denial email and the Additional Information Needed Email.
3. To begin the "Reviewer Checklist" the Reviewer will click the "Administration" tab and then the "Reviewer Checklist"



EX 7-1

Perform the steps below to complete the Reviewer Checklist. The section headers and numbered steps below correspond exactly with the Reviewer Checklist, and the lettered steps below each detail the additional steps to be performed to complete the verification. If an item passes review, check the box to the left of the number in the Review Checklist within the system. If an item does not pass review, determine if additional documentation is needed from the Applicant or if the application is ineligible. Steps below will detail how to handle each situation.

APPLICATION (11 of 13)

Status: Application Submitted  
County: Tuscaloosa County

Reviewer: Not Assigned

**I. Reviewer Checklist**

Instructions: Complete this checklist for each Free person (Free) Associate (Assoc) Review

**YOU WILL NEED TO VERIFY EACH OF THE ITEMS LISTED IN THIS CHECKLIST. CHECK TO VERIFY THE ACCURACY OF EACH LISTED ITEM. IF THE INFORMATION SUBMITTED BY THE TENANT ACCURATELY MATCHES BY CHECKING THE APPROPRIATE BOX.**

1. The property is physically located in the Tuscaloosa County.
2. Valid government ID or visa provided for each household member 18 years of age or older.
3. Self-reported income accurately and thoroughly provided for all household members.
4. Documentation of income was provided for all members of the household less and except lease holders not residing on the property.
5. If any household members receive unemployment benefits, verification of assistance has been received during the program period of performance.
6. Household AMI is less than 80%.
7. One or more members of the household are qualified for unemployment benefits at the time of the application or have experienced a reduction in income or have incurred significant costs or have experienced other financial hardship, any or all of which can be documented.

**REVIEWER CHECKLIST (continued on next page):**

1. Property is physically located in Tuscaloosa County and the applicant has provided valid acceptable documentation
2. The EA has ensured that valid government IDs or valid issued visa have been uploaded for all household members that are 18 years of age or older.
3. The EA has checked the uploaded supporting documents for all self-reported income for all household members
4. The EA has verified that all documentation of income was provided for all members of the household less and except lease holders not residing on the property.
5. The EA has verified, through inspection of award letters or other documentation, receipt of unemployment benefits for all household members for which that assistance has been received during the program period of performance.
6. The EA has totaled all household member income and the combined amounts are <= 80% of the AMI for the county of residence.
7. The EA has verified that one or more members of the household are qualified for unemployment benefits at the time of the application or have experienced a reduction in income or have incurred significant costs or have experienced other financial hardship, any or all of which can be documented.
8. The EA has verified that, for unemployment assistance that began before March 13, 2021, the applicant has provided documentation demonstrating continued hardship due to COVID-19.
9. The EA has verified through inspection of supporting documents uploaded by the applicant that any eviction notice, past-due utility bill, or past due rent notice demonstrating risk of homelessness or housing stability are applicable and include the names of the relevant applicant and/or household members
10. The EA has checked and validated that a written and executed lease or other acceptable housing agreement document has been uploaded for the address listed on the application.

*Handwritten signature or initials*

11. The EA has reviewed the lease, rental agreement, rental ledger, or other applicable written agreement and has ensure that the Applicant's name is listed on the lease.
12. In the event the Applicant's name is not listed on the, the EA has matched the name on the lease with a household member specified in Section C of the Application
13. The EA has ensured that if multiple names on lease are included, they are listed as household members unless not living on the property.
14. The EA has ensured that the rental assistance requested falls within the lease term. This applies to both rent in arrears and future rent. In the event that sums requested fall within a period of month to month rent that is covered under the terms and conditions of the lease or other rental agreement, the EA has ensured that the amounts stipulated are accurately entered in the system.
15. The EA has verified that the rent requested per month in section F of the application agrees with the rent reflected in the lease or other rental agreement less any partials payments made, or other documented rental assistance received.
16. The EA has ensured that the amount requested for March 2020 does not exceed 61.2% of the monthly rent stipulated for that period.
17. The EA has verified that, if rental arrears began prior to March 13, 2021, the applicant provided documentation demonstrating continued hardship due to COVID-19
18. The EA has inspected all utility bills and verifies that the name on the bill is the name of the Applicant or a household member and that the address is accurate.
19. The EA has verified that the monthly amounts entered in Section G – Utility Assistance Requested – is equal to the amount shown on the utility bill less and except any partial payments made.
20. The EA has verified that any utility amounts requested for March 2020 do not exceed 61.2% of the amount billed for that period. If billing periods are not Month specific, the EA will calculate based on the analysis of the last two billing periods.
21. The EA has verified that none of the supporting documentation uploaded to the system indicates that household members live at a different address.
22. The EA has ensured that any rental relief from other state or local programs is properly noted and that duplicate benefits have not been requested. Adjustment of amounts requested against amounts already received must be noted in the system and in the Audit Log.
23. The EA has checked to see that household members have not requested assistance for the same property under their name(s)
24. The EA has checked to the that the subject address in not included in any other applications for assistance through this program for the time period requested.
25. The EA has ensured that the Applicant's assistance request does not exceed the maximum number of months of assistance allowed under program guidelines.
26. The EA ensures that applicants with household income is less than 50% Area Median Income OR Household member is unemployed at time of application and has been unemployed for the 90 days prior to application, then the application receives prioritization of assistance. Note: Neighborly facilitates this process through the prioritization methodology described below.

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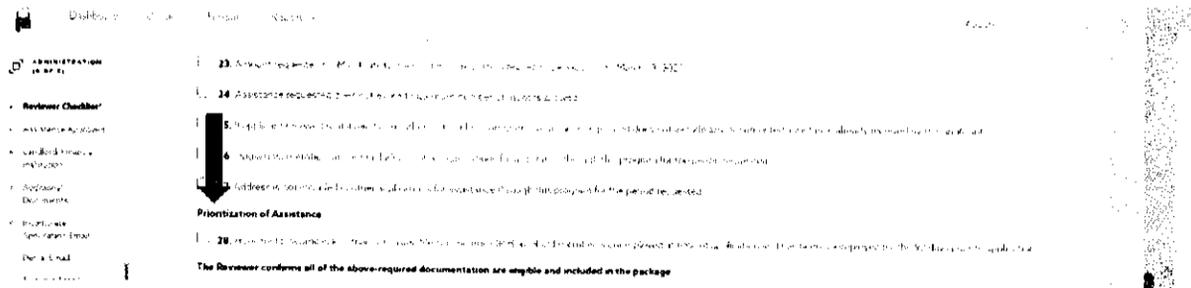
## **PRIORITIZATION**

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**OVERVIEW:** Applications must meet the criteria noted below based on self-reported information in order to be reviewed and to allow recognition of Prioritization of Assistance via #28 of the Reviewer Checklist.

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The criteria for Prioritization are outlined in SECTION 7: PRIORITIZATION above and as further detailed below.



**Prioritization and Review Phases:**

**Step 1:** Applicants meet the requirements for prioritization as defined by TCERAP as stated below:

- Application includes at least one of the following:
  - Household income is at or below 50% Area Median Income **OR**;
  - Household where one or more members are unemployed as of the date they applied for assistance, **AND** one or more household member (this can be the same household member) were unemployed for 90 days prior to the date of the application

**See steps below to verify prioritization and note within the Reviewer Checklist:**

1. Verify prioritization – Applicant must meet EITHER step “a” or step “b” to qualify.
  - a. Verify Household income is at or below 50% Area Median Income
    - i. Self-reported household income and AMI are found on the “Income” tab.
      1. Applicant meets the eligibility criteria if “Total Combined Income” results in a “Calculated % of AMI” at or below 50%. See screenshot below.
    - ii. *Note – if the applicant selected the incorrect county, it will still be reviewed as priority since the priority policy is based on self-reported. Sections below will guide the EA on adjusting necessary information based on validation review.*

See illustration on following page.

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- c. Verify applicant's name and address are listed on the lease or other acceptable supporting documentation provided and matches the applicant information in Section B.
  - d. Verify the address is located in Tuscaloosa County.
  - e. Verify that the lease period is stipulated and that references to terms and conditions of the lease or other rental agreement cover periods that extend beyond the lease termination date. This applies particularly to month-to-month provisions that extend beyond the least termination date.
2. Verify that the applicant does not have applications in to the state of Alabama ERAP program.
  3. Verify that the applicant checked "yes" on A.2 that the household income for all household members is at or below the 80% area median income level for the subject county selected in the box below.
  4. Verify that sections A.3 and A.4 are checked "yes".
  5. If A.5 is checked "yes" verify the application is only for time periods not covered by ERAA.
    - a. Verify the county provided in B.4. agrees to county listed in A.2.
    - b. Verify the county provided using the Alabama ZIP Code listing (link below) is not located in one of the counties or jurisdictions listed above.
      - i. <https://www.unitedstateszipcodes.org/al/>
      - ii. If counties do not agree in B.4. and A.2. override to the county verified by the EA.
  6. Verify that Section A.6 is checked "yes".
    - a. Compare the address listed in B.3 to the TCC project list found in the Appendix A – TCC Funded Multi Family Developments 3.1.2021, of this document
  7. Complete the verification of Screening Questions A.7 – A.11 and utilize the answers indicated in these sections as validation for documentation review and verification in the following sections.

**A. Eligibility**

1. Do you or your family have any other state or federal public housing or rental assistance programs?

A.1. Are you currently receiving public housing or rental assistance from any other program?

Yes  
No

A.2. Is your household's annual income at or below the 80% area median income level for your county?

Yes  
No

Household County: \_\_\_\_\_

Household Size	1	2	3	4	5	6	7	8
Income limit	\$14,760.00	\$22,140.00	\$28,860.00	\$35,580.00	\$42,300.00	\$49,020.00	\$55,740.00	\$62,460.00

A.3. Are you or any other household member currently receiving any form of public housing or rental assistance from any other program?

Yes  
No

A.4. Are you or any other household member currently receiving any form of public housing or rental assistance from any other program?

- Rental assistance
- Homeless services
- Direct financial assistance
- Local public housing or rental assistance (Public Housing)

Yes  
No

A.5. Are you or any other household member currently receiving any form of public housing or rental assistance from any other program?

Yes  
No

Section A Eligibility Determination

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<b>Eligible</b>	If the steps performed above indicate that property is located in Tuscaloosa County, check all boxes in Section A complete on the eligibility checklist.
<b>Ineligible</b>	If the steps performed above indicate that the property is not located in Tuscaloosa County, OR, is not a TCC fund project, DO NOT PROCEED with review of application. Application shall be forwarded to a QA/QC Reviewer for Denial consideration.
<b>Additional Documentation Needed</b>	If application lacks the documentation required to complete this section, the EA should go to the Eligibility Checklist and scroll down to the reasons for insufficient documentation and select all boxes that apply. The EA will then continue through the checklist to determine if any other documentation is missing in other sections.

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## **B. APPLICANT INFORMATION**

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**OVERVIEW:** This section is utilized to determine the primary applicant's name and home address as a basis for validating eligibility. The EA will use this information to ensure that the property for which emergency rental assistance has been requested is located in jurisdictions covered under the current program guidelines.

1. In Section B.1 and B.2, the applicant's must enter their legal name that can be verified against stipulated government identification forms detailed further in this document. This name, or the name of another verified household member, should be the same name(s) that exists on the various documentation supporting rental and utility assistance requests. Copies of government approved identification forms must be uploaded for all household members.
2. In Sections B.3 and B.4, the street address, apartment number (if applicable), city, state and county must be entered correctly. This address will be the address used to verify all requests for rental and utility assistance and must be present on the lease and supporting utility bills.
3. In Section B.5, the applicant must specify whether the subject property is a single-family home or an apartment.
4. The EA will verify that Sections B.6 through B-10 are completed and that the E-mail address and phone number are consistent throughout the application. Where corrections are required, the EA will submit a Task to the applicant with specific instructions on how to correct the errors or omissions. The EA may re-open the specific application section to allow new data to be entered by the applicant.

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## **C. HOUSEHOLD MEMBERS**

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**OVERVIEW:** This section requires the identification by legal name and social security number of all household members living at the subject address and further identifies employment status, and demographics for each member. This critical data is used by Eligibility Analysts and QA/QC Reviewers throughout the process to maintain consistency and compliance with program guidelines. To be eligible for assistance under this program, the applicant must indicate that 1 or more individuals in the applicant's

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household are unemployed, under-employed, or have experienced a reduction in household income, incurred significant costs, or experienced other financial hardship associated directly or indirectly with COVID-19. This section provides the applicant the first opportunity to identify any household members that qualify under this criterion.

1. The EA will check that the applicant has listed the PRIMARY household member in Section C.1 and that the birth date and Social Security Number have been provided.
2. The EA will ensure that all household members that are employed have included the name of their employer, their start date and other requested information
3. THE EA will note applicant that have checked the box on the right side of this section as Unemployed.
4. The EA will check to ensure that are household members are listed with their birthdate, SSAN, and employment status if applicable.

**C. Household Members**

1. PRIMARY HOUSEHOLD MEMBER

Birthdate: 04/01/1967 SSN: [REDACTED]

EMPLOYMENT: Unemployed

2. HOUSEHOLD MEMBER

Birthdate: 01/01/1967 SSN: [REDACTED]

EMPLOYMENT: Employed

Check here if not employed

Section C Eligibility Determination	
<b>Eligible</b>	If the steps performed above indicate that 1 or more individuals in the applicant's household are either unemployed, under-employed at the time of the application, check all applicable boxes complete on the eligibility checklist.
<b>Ineligible</b>	If the steps performed above DO NOT indicate that 1 or more individuals in the applicant's household are either unemployed at the time of the

ex 7-1

	<p>application OR have experienced a reduction in household income, incurred significant costs, or experienced other financial hardship due, directly or indirectly to COVID-19, the EA should go to the Eligibility Checklist and scroll down to the reasons the applicant does not qualify and select the appropriate reason. The EA will then continue through the checklist to determine if the applicant is ineligible in any other sections through Section D. Application shall be forwarded to a QA/QC Reviewer for Denial consideration if review confirms failure to provide suitable documentation.</p>
<p><b>Additional Documentation Needed</b></p>	<p>If application lacks the documentation required to complete this section, the EA should go to the Eligibility Checklist and scroll down to the reasons for insufficient documentation and select all boxes that apply. The EA will then continue through the checklist to determine if any other documentation is missing in other sections.</p>

## D. INCOME

**OVERVIEW:** To be eligible for assistance under this program, the applicant must indicate that the applicant's household Area Median Income is below 80% AMI amount listed for the county in which the property is located. The total household income must be reported in this section. There are two methods for reporting and entering household income.

- Option 1: Enter the Adjusted Gross Income from your 2020 tax returned filed with the IRS and Upload the first four pages of the Tax Return
- Option 2: Enter income information for every household member for each type of income Following the instructions included in the system

1. Verify valid government issued ID provided for all household members 18 years of age and older.
  - a. This could include driver's license, state issued ID, passport, military ID, Employment Authorization Document (Work Visa), Permanent Resident Card (Green Card) or other government-issued identification and will be uploaded in Section J.
  - b. If Social Security cards are uploaded as identification, verify the SSAN matches that the number(s) included with IRS 1040 and /or other specified income reports
2. Verify all individuals listed on the lease and utility bill, as applicable, are listed as household members in the application unless the applicant certifies that individual does not reside in the household.
  - a. Household members are included in the application in Section C.
  - b. If applicant indicates that an individual listed on the lease does not reside in the household at **B.3.**, verify that the reason for excluding that individual from the household is provided.
  - c. This step is to further ensure all household members are listed for income purposes. If individual(s) listed on utility bill(s) are not included in listing of household members provided, verify the Tenant has certified the individual does not reside in the household (as evidenced by **B.6.**) and provided an explanation.
  - d. Verify the Primary Household Member listed is not one of the household members under 18 years old.

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3. Ensure applicant is included in list of household members.
4. Verify documentation of income was provided for all household members 18 years old and older listed in application.
  - a. If applicant provided 2020 Federal Income Tax Return(s), the tax returns for all household members will be uploaded in Section D under the "Household Income Certification Method" field. Tax Returns are no longer required to include signatures of the household members. (amended 5.5.21\_RR)
    - i. Verify SSN(s) listed in section C are included on the tax return for all household members.
    - ii. If household member is not included, provide that communication from the applicant and related reason. (EX: Separate tax return(s))
    - iii. If additional information is required, ensure that all communication is included in the Audit Log and clearly defines tasks required to satisfy the requirement.

Failure to provide ALL income information for every household member may prevent assistance from being provided OR you may be required to REPAY assistance if you are found to be ineligible after assistance is granted.

APPLICATION (12 OF 13)

- Program Overview
- A. Eligibility
- B. Applicant Information
- C. Household Members
- D. Income\***
- E. COVID-19 Impact

HOUSEHOLD INCOME CERTIFICATION METHOD

I will certify my household annual income by using my 2020 Federal Income Tax Return (upload required)

Enter the Household Adjusted Annual Income from your 2020 Federal Income Tax Return: **\$ 22,725.00**

I DO NOT have my 2020 Federal Income Tax Return and will certify my household annual income by documenting each household members income source(s)

2020 Tax Return (Required) 2020 Tax Return (Required)

- b. If applicant did not provide 2020 Federal Income Tax Return, income documentation for the 60 days prior to the date of the application is provided under each household member 18 years of age or older listed in Section D.

Failure to provide ALL income information for every household member may prevent assistance from being provided OR you may be required to REPAY assistance if you are found to be ineligible after assistance is granted.

APPLICATION (12 OF 13)

- Program Overview
- A. Eligibility
- B. Applicant Information
- C. Household Members
- D. Income\***
- E. COVID-19 Impact
- F. Rent Assistance Requested
- G. Utility Assistance Requested

HOUSEHOLD INCOME CERTIFICATION METHOD

I will certify my household annual income by using my 2020 Federal Income Tax Return (upload required)

I DO NOT have my 2020 Federal Income Tax Return and will certify my household annual income by documenting each household members income source(s)

HOUSEHOLD MEMBER

Source	Additional Information	Annual Income
Child Support		\$ 508.00
Documentation	Court ordered Child Support statements Required	
		<b>Total Income: \$ 508.00</b>

5. Verify documents provided are complete and valid.

EX 7-1

- a. i.e., Paystubs appear to come from legitimate employer; documentation does not appear to be manually altered; certifications from employers regarding hours and pay are provided on letterhead and signed; etc.
- 6. Verify total amount of self-reported household income.
  - a. If income from 2020 tax return was provided, the applicant’s annual income listed should equal the Adjusted Gross Income from Line 11 on the tax return(s).
  - b. If pay stubs for the 60 days prior to the date of the application were submitted, gross pay (NOT net pay) should be used to calculate annual income.
    - i. Utilize calculator tool in Neighborly to assist in calculating annual income.
  - c. If household member receives unemployment compensation, ensure amounts reported agree with the benefits award letter and statement provided by the state.
  - d. If household member selects no income, ensure we have received the Zero Income form required.
  - e. If self-reported income numbers were not correct, override amounts entered by the applicant and enter the correct amounts obtained from supporting documents into system. See override section for direction on all overrides. ANY override should be properly tracked.
- 7. If applicable, ensure verification of unemployment assistance has been received from the Alabama Department of Labor.
- 8. Verify correct county is selected from Income Limits dropdown.
  - a. County selected from the Income limits dropdown should agree to the county that was verified in **B.4**.
    - i. If incorrect county is listed, override selection and update with verified county. See override section for direction on all overrides. ANY override should be properly tracked.
  - b. Once total combined income is verified and correct county is selected, ensure Total Combined Income is no greater than 80% of Area Median Income for the household size (number of individuals listed in Section C).
  - c. If applicable, ensure the applicant still meets the 50% AMI prioritization criteria based on VERIFIED income. If not, the application should not proceed to QC review. See steps below.

<b>Section D Income Eligibility Determination</b>	
<b>Eligible</b>	If the steps performed above indicate that household income does not exceed 80% of AMI, check all applicable boxes complete on the eligibility checklist.
<b>Ineligible</b>	If the steps performed above indicate that household income exceeds 80% of AMI, go to the Eligibility Checklist and scroll down to the reasons the applicant does not qualify and select the appropriate reason. See “Overall Ineligible Determination Sections B-D” below for further instruction.
<b>Additional Documentation Needed</b>	If application lacks the documentation required to complete this section, go to the Eligibility Checklist and scroll down to the reasons for insufficient documentation and select all boxes that apply. The EA will then continue through the checklist to determine if any other documentation is missing in other sections.

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<b>Prioritization Review</b>	If the applicant is determined to be eligible based on Sections A-D above, the EA should reassess prioritization using verified income amount instead of amounts self-reported by the applicant. Refer to prioritization section above for prioritization criteria. If applicant meets prioritization criteria after income has been verified, proceed with review of application. If applicant does not meet prioritization criteria after income has been verified, cease review and return the application to the Waitlist. To return the application to the Waitlist, update the status of the file to "Application Submitted".
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**Overall Ineligible Determination Sections B-D**

If applicant is determined to be ineligible based on Sections B-D of this checklist, follow the steps listed in "Denial of Application" section of this document, and do not proceed with the remaining sections below.

## E. COVID-19 IMPACT

**OVERVIEW:** To be eligible for assistance under this program, the applicant must indicate that 1 or more individuals in the applicant's household are either unemployed at the time of the application OR have experienced a reduction in household income, incurred significant costs, or experienced other financial hardship due, directly or indirectly, to COVID-19. Follow the steps below to determine if the applicant meets this criterion:

1. Question E.1 – The EA will verify that the applicant has checked this box “yes”. If the box is checked “no” the applicant is deemed not eligible for assistance under the program.
  - a. In cases where the EA identifies through document submission or other data entry that the applicant may have incorrectly answered question E.1, the EA can communicate via

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Task with the applicant and, if appropriate, will re-open this section to allow the applicant to correct their response.

2. Question E.2 - Verify applicant checked at least 1 box or provided description indicating loss of income or increased costs related to COVID-19.
  - a. The EA will review each box checked in this section and verify that documentation accurately describing the claim has been uploaded and references the relevant household member and their specific event.
  - b. If applicant selected other, utilize Section E.3 to characterize in detail the situation described indicated loss of income or increased costs related to COVID-19 .

**E COVID-19 Impact**

E.1. Are you the head of the household? (check one)  Yes  No

E.2. Please check each condition that applies to the household member(s) who is/are impacted by the COVID-19 pandemic. (check all that apply)

**REDUCTION IN INCOME**

Loss of job or reduced hours of work

Loss of business or other income

Loss of retirement benefits

Reduction in hours of work

Must stay home to care for COVID-19 infected or exposed household member

Unable to work or business temporarily shut down due to COVID-19

Other (describe in detail):

**INCREASED COSTS**

Rent or mortgage payments (or approval support)

Health care expenses (e.g., costs of medical or funeral expenses)

Child or Adult dependent care expenses increased due to COVID-19

Other significant costs

Other significant costs or financial hardships experienced due to COVID-19 (describe in detail):

Please describe in detail: (please describe in detail)

3. Question E.3 - Verify the situation described indicates financial hardship due to COVID-19.

Ex 7-1

<ul style="list-style-type: none"> <li>• E. COVID-19 Impact Requested</li> </ul>	<p>E.3. Please provide a short description of your COVID-19 Income Loss.</p>
<ul style="list-style-type: none"> <li>• F. Rent Assistance Requested</li> </ul>	<div style="background-color: black; height: 20px; width: 100%;"></div>
<ul style="list-style-type: none"> <li>• G. Utility Assistance Requested</li> </ul>	<p>Supporting Documentation</p>
<ul style="list-style-type: none"> <li>• H. Internet or Other Assistance Requested</li> </ul>	<p>Please upload COVID-19 Loss of Income documentation such as letter from employer, description of loss of self-employment income, letter showing reduction in hours. Upload past due utility notice, past due rent notice(s), or proof of incurring and holding debt to pay rent. <sup>1</sup>Required</p>

**It is mandatory that documentation supporting the qualifying conditions checked are uploaded to this page.**

4. Verify documentation provided supports financial hardship due to COVID-19.
  - a. Review documents uploaded in Section E and ensure validity of documentation provided.
    - i. Documentation may include items such as letter from employer noting reduction in hours, description of loss of self-employment income, or other relevant documents demonstrating loss of income, significant costs incurred due to COVID-19, or documentation of unemployment benefits.
5. If applicable, verify for applicants that indicated someone in the household is receiving unemployment assistance, that at least one household member has unemployment compensation listed as a source of income in the Section D.
  - a. In verifying the validity of documents submitted to show proof of unemployment compensation, report suspicious submissions to QA/QC.
  - b. Document that appears to have been altered in any way shall be considered suspicious and will require approval by QA/QC before advancing action on the Application.
    - i. If further review results in the determination that the case may require investigation before advancing, the case will be moved to Audit: Pending Status in the system.

Section E Eligibility Determination	
<b>Eligible</b>	If the steps performed above indicate that 1 or more individuals in the applicant's household are either unemployed at the time of the application OR have experienced a reduction in household income, incurred significant costs, or experienced other financial hardship due, directly or indirectly, to COVID-19, check all applicable boxes complete on the eligibility checklist.
<b>Ineligible</b>	If the steps performed above DO NOT indicate that 1 or more individuals in the applicant's household are either unemployed at the time of the application OR have experienced a reduction in household income, incurred significant costs, or experienced other financial hardship due, directly or indirectly to COVID-19, the EA should go to the Eligibility Checklist and scroll down to the reasons the applicant does not qualify and select the appropriate reason. The EA will then continue through the checklist to determine if the applicant is ineligible in any other sections through Section D. Application shall be forwarded to a QA/QC Reviewer for Denial consideration if review confirms failure to provide suitable documentation.

7-1

<p><b>Additional Documentation Needed</b></p>	<p>If application lacks the documentation required to complete this section, the EA should go to the Eligibility Checklist and scroll down to the reasons for insufficient documentation and select all boxes that apply. The EA will then continue through the checklist to determine if any other documentation is missing in other sections.</p>
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## F. RENT ASSISTANCE REQUESTED

**OVERVIEW:** Follow the steps below to determine the amount of rent assistance recommended for approval. This step is critical and requires careful review and analysis. In the event that document submissions are incomplete or not in compliance with program requirements, the EA will diligently work with the applicant to ensure a successful and complete application. When submitting Tasks and communicating with the applicant, the EA will ensure that all tasks are annotated accurately and included in the audit log. The activities required in this section have the single greatest impact of all the steps in the eligibility analysis and subsequent approval. Applicants are required to upload eviction notices in the step and should also ensure that copies of the lease and rent ledgers are uploaded to Section J: Required documents.

1. If the applicant has not requested rent assistance, check the box in the Reviewer Checklist to indicate this section and remaining steps are not applicable and continue to the next section.
  - a. Before determining that no rent assistance is requested, review all documents submitted to ensure that the Tenant has not misunderstood the system instructions. If rental ledgers or eviction notices, or other documentation that suggests that the applicant may be eligible for rental assistance are uploaded, continue the review process and override the system if necessary.

ex 7-1

2. Verify the rent requested per month agrees to the rent reflected in the lease less any partial payments and any other documented rental assistance received.
  - a. Verify rent requested agrees to most recent rent statement uploaded in Section J, Required Documents.
    - i. Payments made during the eligible period should be applied to oldest balance first, including any beginning balance, when determining eligible benefit months. For example, the applicants' rent is \$1,500 in April, May, and June 2020. The Tenant made partial payments of \$500 in all three months. Eligible rent would be \$1,500 for May and \$1,500 for June as the three partial payments made would all apply to the rent due for the month of April.
  - b. Using late rent notice, rental ledgers, rent receipts, or rent roll (provided by the Landlord or the Tenant), verify the months of assistance requested that have not already been paid to the Landlord.
  - c. If applicable, verify late rent fees are not lumped into the rent request by month and are instead included in total in field F.4. Verify amount of late fees against most recent rent statement.
    - i. Verify all fees charged to the Tenant are included in the lease agreement. Fees not listed in the lease agreement are not eligible.
  - d. If assistance for all three (3) months of prospective future rent authorized by TCERAP is requested, verify that any rental arrears are requested as well. Assistance for prospective future rent may only be granted after all arrears have been covered. Ensure that the total months of rental assistance requested, prior and future, does not exceed fifteen months.
  - e. If applicable, verify utility payments to Landlords are reported correctly.
    - i. If utility costs are included in the specified monthly lease amount, and not listed as separate costs over and above the specified monthly lease amount, note that the specific type of included utility is not eligible for inclusion in the Utility Assistance Requested category.
      1. Example: The lease states that the monthly rent is \$1200, and that Water, Sewer and Trash Pickup are included.
      2. Other utility costs for gas or internet would be eligible to claim under Utility Assistance Requested.
      3. The total amount of the rent stated in the lease would be eligible for rental assistance.
    - ii. If utility costs are stipulated in the lease as a separate amount, either fixed or variable as specified, and that the Landlord is collecting these amounts as a third party on behalf of a qualified named utility provider, but are paid to the Landlord, the combined total of rent and utilities would be included as rental assistance requested for that period.
      1. Example: The lease states that the monthly rent is \$1200; water is an additional \$30; sewer is an additional \$50; and trash pickup is an additional \$20.
      2. The total for rent, water, sewer and trash of \$1300 would be considered rent and eligible for rental assistance.
    - iii. If any utility costs are included in rent per the lease, verify the applicant is not claiming those utility expenses in addition to rent assistance.

Ex 7-1

- f. If rental assistance requested by applicant is entered incorrectly in system, the EA will refer the application to the appropriate QA/QC Supervisor for resolution. Any subsequent tasks and communication should be properly tracked and noted in the Audit Log.
          - i. If it appears that rental assistance needs to be increased or decreased, the proposed changes will need to be resolved by the referred QA/QC Supervisor.
          - ii. Ensure that any adjustments made to the request are noted and explained in the Audit Log.
3. Legal Fees and Court Costs may be eligible under Program guidelines under certain conditions. TCERAP has set initial threshold approvals at approval amounts not to exceed 25% of the current arrears shown in the rental ledger. Reviewers will require the following as a requirement for approving these costs (This provision added 5.5.21\_RR):
  - a. Official receipts from attorneys' offices, courts of jurisdiction, and/or other supporting documents that clearly show costs associated with the tenant, the specific property noted in the application, and the time period specific to the claim.
  - b. The rental ledger provided by the landlord should show the costs associated with the month(s) for which the costs were incurred.
  - c. The Reviewer will determine the justification for charging legal fees and court costs through an examination of the lease terms and conditions.
  - d. If there is no provision within the lease authorizing collection of fees expended for court or legal costs, the Reviewer will disallow these fees and annotate the audit log in Neighborly to clearly explain the denial.
  - e. If the total of the request for repayment of legal and/or court costs exceeds the 25% limit defined above, the Reviewer will move the Case to the Selected for Follow Up status in the Neighborly system and immediately notify QA/QC to conduct further review.
  - f. QA/QC will conduct a review of the circumstances immediately and provide guidance to the Reviewer and will communicate with the landlord to advise them of the final determination of eligibility.
  - g. If further examination reveals that the landlord's intent following receipt of assistance funds, including legal fees and court costs is to evict the tenant, the QA/QC will move the file status to Selected for Follow Up and advise team leadership of the circumstances.
  - h. Upon team leadership's review of the case and supporting documentation, including emails and notes between the applicant, landlord and TCERAP, it's determined that the landlord does intend to evict the tenant upon receipt of assistance funds, the case may be denied as ineligible.
    - i. In the event the case is Denied, the QA/QC will set the status in the Neighborly System to Denied, annotate the Audit Log accordingly, and notify the Landlord through the system.
    - ii. The Landlord has the opportunity to Complete a Request for Reconsideration in the TCERAP system.
4. If applicable, verify amount requested for March rent does not include the portion related to period prior to March 13, 2020. If full month of rent for March was requested, March rent must be pro-rated.
  - a. If rental period is March 1 – March 31, rent should be prorated at a rate of 19/31 (multiply total rent for the month by 19 and then divide by 31). For example, assistance for March when the total rent for the month is \$1,000 would need to be prorated to \$612.90.

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- b. If total assistance requested by applicant is not correct, utilize the Approved Assistance Worksheet (Sample included in Exhibit A) to determine the pro-rated amount.
  - c. Ensure that any adjustments made to the assistance requested by the applicant are explained and justified in the notes of the Assistance Worksheet.
  - d. Upload the completed Approved Assistance Worksheet following completion of all Assistance Requests calculations.
5. Verify the months of assistance requested (both in arrears and prospective) fall within lease term or written agreement. Some leases require adjustments to monthly extensions at a higher rate than the original lease term.
6. Verify total number of months requested does not exceed 12 months (plus an additional three months of prospective future rent if necessary, to ensure housing stability for the household, subject to the availability of funds).
7. Enter approved amounts in Administration Section 2. Please list approved amounts for each month and do not aggregate into one month.  
\*NOTE: See Appendix B for guidance and examples on adjusting rental assistance to correctly associate requested amounts by month to cover qualified rental arrears noted in rental ledgers, logs or other supporting documentation and on how to utilize the Approved Assistance Worksheet Template.

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## **G. UTILITY ASSISTANCE REQUESTED**

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**OVERVIEW:** Follow the steps below to determine the amount of utility assistance recommended for approval. The steps listed below should be completed in both Section G and Section H. It is important to understand that not all utility companies are currently included in the drop down menus available to our applicants. This selection list is growing in proportion to the number of applicants and in relation to their particular location. The system will be updated as TCERAP and our team are provided contact information and work through the enrollment process with each provider.

1. If the applicant has not requested utility assistance, check the box in the Reviewer Checklist to indicate this section and remaining steps are not applicable and continue to the next section.
2. The applicant is required to upload copies of all relevant utility bills for each qualified utility to the system. The EA will review the statements and ensure that statements are provided for each period for which assistance is requested. It is essential that "balances carried forward", or "arrears", are identified and associated with the correct month for which the assistance is eligible. The EA may need to request that the applicant provide statements for each utility for every month for which assistance is required.
3. Verify the address listed on utility bill matches address provided in the application and the names on the account are associated with the applicant or household member.
4. Ensure that the account numbers for each utility for which assistance is requested are accurately listed in Sections G.2; G.7; and G.12 respectively for the three qualifying utility types.
5. The EA will verify utility assistance requested for each month and match the request to the statement.

ex 7-1

**G. Utility Assistance**

WATER/SEWER, TRASH REMOVAL, & SUSTAINABLE ENERGY SYSTEMS

1. G.1. Water Utility

2. G.2. Account Number

3. G.3. Water Assistance Request

4. G.4. Water/Sewer Late Fees/Reconnection

5. G.5. If you are requesting assistance for a period prior to March 13, 2020, you must provide water/sewer utility statements for the period requested.

6. G.6. Gas Assistance Request

7. G.7. Gas Account Number

8. G.8. Gas Assistance Request

9. G.9. If you are requesting assistance for a period prior to March 13, 2020, you must provide gas utility statements for the period requested.

10. G.10. If you are requesting assistance for a period prior to March 13, 2020, you must provide gas utility statements for the period requested.

11. G.11. Electric Assistance Requested

12. G.12. Electric Account Number

13. G.13. Electric Assistance Request

14. G.14. Total Electric Request

15. G.15. If you are requesting assistance for a period prior to March 13, 2020, you must provide electric utility statements for the period requested.

16. G.16. If you are requesting assistance for a period prior to March 13, 2020, you must provide electric utility statements for the period requested.

Month	Water/Sewer	Gas/Propane	Electric
April 2020	Not Requested	Not Requested	Not Requested
May 2020	Not Requested	Not Requested	Not Requested
June 2020	Not Requested	Not Requested	Not Requested

- a. Ensure that amounts on each statement associated with late fees or reconnection fees, if applicable, are listed separately in Sections G.4; G.9; and G.14 respectively for the three qualifying utility types in this section.

**G. Utility Assistance**

Month	Total Water/Sewer Request	Total Gas/Propane Request	Total Electric Request
September 2019	\$0.00	\$0.00	\$0.00
October 2019	\$0.00	\$0.00	\$0.00
November 2019	\$0.00	\$0.00	\$0.00
December 2019	\$0.00	\$0.00	\$0.00

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- b. Verify utility assistance requested for prospective future months does not exceed the most recent month's cost as verified on uploaded utility company statements, less late fees.
- c. If requested assistance was not entered correctly by the applicant, utilize the Approved Assistance Worksheet to calculate and justify corrected eligible amounts for each period.
6. If applicable, verify the amount requested for March utility does not include portion related to period prior to March 13, 2020. If full month of assistance is requested for March, the assistance requested must be pro-rated utilizing the method referenced above in Section 2.a.

Ex 7-1

- a. If utility assistance requested by applicant is entered incorrectly in system, utilize the Approved Assistance Worksheet to calculate and justify corrected eligible amounts for each period.
  - i. If utility assistance needs to be increased or decreased, update to the correct amount.

## H. INTERNET OR OTHER ASSISTANCE REQUESTED

**OVERVIEW:** Follow the steps below to determine the amount of utility assistance recommended for approval. The steps listed below should be completed in Section H. It is important to understand that not all internet providers are currently included in the drop-down menus available to our applicants. This selection list is growing in proportion to the number of applicants and in relation to their particular location. The system will be updated as TCERAP and our team are provided contact information and work through the enrollment process with each provider. It is important to remember that Internet services are often bundled with telephone and cable TV service which are excluded from eligibility for assistance under this program.

**INTERNET SERVICE OR OTHER ASSISTANCE REQUESTED**

**H.1. Internet Service Provider**

Vendor

**H.2. Internet Service Provider Account Number**

March 2020

April 2020

May 2020

June 2020

**INTERNET SERVICE OR OTHER ASSISTANCE REQUESTED**

**H.4. Monthly Assistance Requested**

March 2020

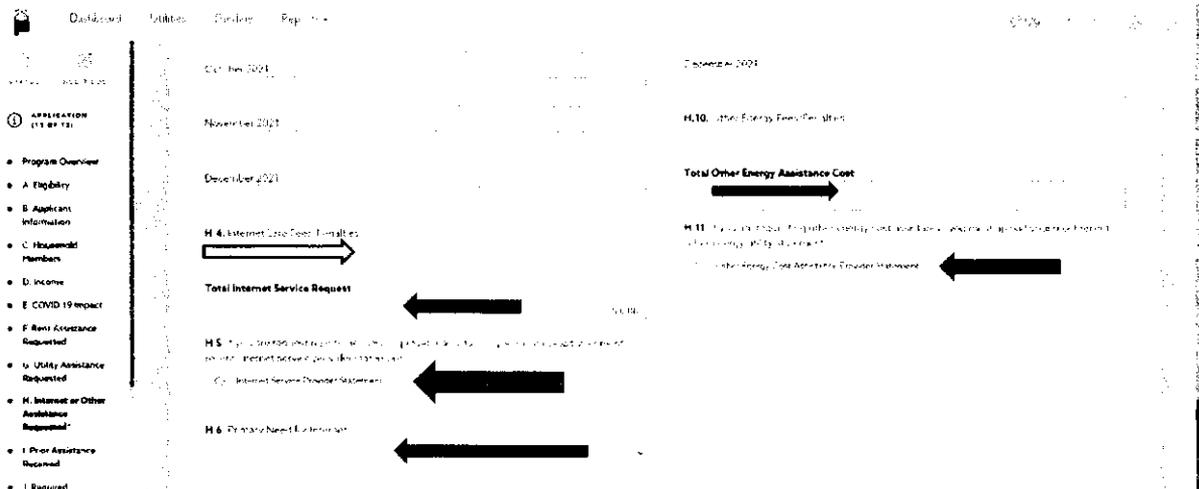
April 2020

May 2020

June 2020

July 2020

EX 7-1



1. If the applicant has not requested Internet assistance, check the box in the Reviewer Checklist to indicate this section and remaining steps are not applicable and continue to the next section.
2. The applicant is required to upload copies of all relevant internet bills for each qualified provider to the system. The EA will review the statements and ensure that statements are provided for each period for which assistance is requested. It is essential that “balances carried forward”, or “arrears”, are identified and associated with the correct month for which the assistance is eligible. The EA may need to request that the applicant provide statements for each internet provider for every month for which assistance is required.
3. Verify the address listed on utility bill matches address provided in the application and the names on the account are associated with the applicant or household member.
4. Ensure that the account numbers for each Internet provider for which assistance is requested are accurately listed in Sections H.2 and H.8, if applicable, respectively for the qualifying Internet provider
5. The EA will ensure that late fees or reconnection fees are entered in section H.4.
6. The EA will ensure that the applicant has filled in section H.6 explaining the need for Internet at their home.
7. In the event the applicant has listed “Other Energy Cost Assistance Requested”, ensure the applicant has inserted the company name and account information in H.7 and H.8 respectively.
8. For both Internet Assistance Requested and Other Energy Cost Assistance Requested, ensure that the applicant has uploaded all statements covering all months for which assistance has been requested.
9. For prospective future months requested, the EA will verify that the amount entered is based on the base cost of the most recent month of service, less and except late fees.
10. The EA will verify utility assistance requested for each month and match the request to the statement.
11. In reviewing statements for Internet service, the EA will ensure that cable TV, telephone, or other entertainment services are excluded from the request.

## I. PRIOR ASSISTANCE RECEIVED

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**OVERVIEW:** Follow the steps below to verify any prior assistance received by the applicant and ensure no duplication of benefits with the total amount requested above. If the applicant has been or will be reimbursed by any other local, state, or federal funding program or through a non-profit program funded by a federal funding source, they may not be eligible for relief under this program. The governing guideline is that assistance provided under this TCERAP may not exceed a household's monthly unmet housing cost needs. It is important to identify and report any addition assistance received and record it in the month it was received.

1. If the applicant has not indicated other assistance, check the box in the Reviewer Checklist to indicate this section and remaining steps are not applicable and continue to the next section.
2. If the applicant has received other assistance, the Reviewer will ensure that the assistance received is documented and qualifies under program guidelines.
  - a. The Reviewer will review documentation provided and ensure that other assistance provided is entered in the month it was received.
  - b. The Reviewer will compare the assistance received from the other provider to the rental assistance requested for each month.
    - i. The total amount of rental assistance provided by the program cannot exceed the total monthly rental costs associated with the lease or rental agreement amount.

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## **J. REQUIRED DOCUMENTS**

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**OVERVIEW:** The EA will ensure that all required documentation is uploaded in section J. The list below represents the bare minimum of documentation required to support a rapid successful processing of the Assistance requests. Communication with the applicant early in the process will facilitate success on the first try.

1. The EA will ensure that valid government issued identification for all household members 18 years of age and older have been submitted and verified.
  - a. Driver's License
  - b. Passport
  - c. Social Security Card
  - d. Green Card
  - e. Others as included in the program guidelines
  - f. Visa or other alien status documentation
2. The EA will ensure that the most recent rent statement showing name, address and rental amount due have been uploaded
3. The EA will ensure that an executed copy of the rent or lease agreement; OR rent ledgers; OR rent roll; OR written agreement; OR rent receipt(s) supporting the assistance request have been uploaded
4. The EA will check all other sections of the application to ensure that other supporting documents required to facilitate approval of the requests have been provided in those sections or in this section.

077

5. The EA will ensure that this final step was completed and submitted by the applicant and is ready for submission and QC review.

The screenshot displays a web application interface for the 'J. Required Documents' section. On the left, a vertical navigation menu lists steps from 'A. Eligibility' to 'J. Required Documents', with 'J. Required Documents' highlighted. The main content area shows a checklist with three items: '1. Take photos of the unit, interior and exterior, including the unit's condition, for the unit', '2. Provide an affidavit of ownership and a copy of the lease agreement', and '3. Complete the required forms and upload them to the system'. Each item has a corresponding checkbox. At the bottom right, there is a 'Submit' button. The interface also shows a timestamp: 'This step was last accessed on 10/25/2021 at 10:09:07 AM'.

## TENANT SUBMISSION

**OVERVIEW:** The "SUBMIT" tab following Section J., Required Documents is a checklist provided for the Tenant that provides them an opportunity to verify that they have completed every step in the Application process and have uploaded supporting documentation required to facilitate approval of the Assistance Request. It is the responsibility of the Applicant to review this checklist and to functionally check each box signifying their compliance with all program requirements. Following their confirmation of completion of the checklist, the applicant will electronically sign this document and press SUBMIT. The system will time stamp and electronically identify the IP address from which it was submitted. This step is the condition precedent to initiating Review of the application.

Following selection of a case, the EA will initiate action to complete the eight (8) Administration steps required to complete the Review and move the application to one of the Approved statuses. The Sections below cover the activities required to complete this process.

Ex 7-1

Dashboard Home Funding Reports 74954

**Submit**

Once an application is submitted, it can only be "Reopened" by an administrator. If the user does not see their case for an update, they can not receive any email from Neighborly.

**I certify each of the following on behalf of myself and the other members of my household:**

- I have occupied the unit for which I am seeking assistance as my principal residence during the time for which the rental or utility arrears assistance is requested and will occupy the unit as my principal residence through out the remaining months for which the assistance is provided.
- I have disclosed all Housing Choice Voucher or Project-Based Rental Assistance, if not public housing, and is not receiving any other form of government or charitable assistance for the tenant portion for the same month or months of rent for which this assistance is requested, such as tenant-based voucher assistance (such as Section 8) or project-based assistance.
- I do not seek to obtain rental or utility assistance in the event of a current status of rental arrears, utility arrears, or utility covered by this assistance. If I receive such assistance assistance I will request it to landlord as soon as I am able and the contract information, lease or utility bill statement, and to the Emergency Rental Assistance Alabama Program.
- I have provided a current written lease as part of the application and I have not provided a current written lease. I have provided documentation of residence which may include evidence of paying utilities for the residential unit, an affidavit by a landlord who can be identified as the verified owner or management agent of the unit, or other reasonable documentation as determined by the program.
- I understand that I determine if to be ineligible if I can appeal the decision by following the appeal instructions at [www.tcrap.alabama.gov](http://www.tcrap.alabama.gov).
- I acknowledge that all information collected, assembled, or maintained by the Emergency Rental Assistance Alabama Program pertaining to their application, except records made confidential by law or court order, are subject to the Alabama Open Records Act under the Act Emergency Rental Assistance Alabama Program must provide any interested person with reasonable access to all records pertaining to the application unless that person's personally identifiable information protected by law.
- I will provide the U.S. Department of the Treasury, the U.S. Inspector General, the U.S. General Accounting Office, the Alabama Comptroller, the Alabama State Auditor's Office, the Office of Court Administration and the Alabama Housing Finance Authority (AHFA), or a duly authorized representative, access to and the right to examine and copy records related to a payment made as a result of this application. If funds are paid directly to me, I agree to keep records of my payment to the landlord for the later of five years, or such records will be kept for the longer of five years after notice of a financial audit or litigation has been provided and the matter has been final disposition.
- I have been provided a copy of this certification.
- I may remain responsible for charges presented with my utility bill such as the late assessment or cooperative fees that are presented separately from the charges for utility service.
- I may remain responsible for charges authorized under the lease other than rent going forward, including but not limited to pet rent or trash pickup fees.

**The information I have provided is true, accurate, and complete, and if requested, I am able to provide documentation to prove my household's loss of income or additional expenses. I understand that providing false, incomplete, or inaccurate information on application forms or seeking assistance for months in which assistance has been or will be provided, may result in termination of participation in the Program and possible criminal liability.**

Authorized Signature  
  
 Electronically signed by  on 07/19/2024 at 07:49 PM  


This step was completed and submitted on 07/19/2024 at 07:49 PM

**ADMINISTRATION: SECTION 1 – REVIEWER CHECKLIST**

**OVERVIEW:** The Reviewer checklist is the companion management document that provides the EA and QA/QC Supervisors the sequenced checklist for ensuring that all steps required to complete a full submission have been met and that the supporting documentation and data entries for each application are compliant and accurate representations of the final assistance request. The checklist and each activity is defined under Eligibility Review on pages 6-10 of this document.

**ADMINISTRATION: SECTION 2 – RENTAL ASSISTANCE APPROVED**

0771

**OVERVIEW:** This administrative section is of prime importance and serves as the Audit and Compliance worksheet to determine the accuracy of the request using program guidelines and standards. It is not unusual for applicants, both landlord and tenants, to input data or values that are incorrect or incomplete. It is the job of the EAs and QA/QC Supervisors to evaluate each application to ensure the data input is correct and supportable. The Approved Assistance Worksheet is a tool the EAs utilize to calculate values entered against allowable assistance values.

1. The EA is required to transfer the values for Rental Assistance requested and Prior Rental Assistance Received entered from Section F. and Section I respectively of the Tenant Application into the applicable tables shown below.

**2. Rental Assistance Approved**

RENTAL ASSISTANCE REQUESTED	APPROVED RENTAL ASSISTANCE RECEIVED	APPROVED RENTAL ASSISTANCE
March 2020	March 2020	March 2020
April 2020	April 2020	April 2020
May 2020	May 2020	May 2020
June 2020	June 2020	June 2020
July 2020	July 2020	July 2020
August 2020	August 2020	August 2020
September 2020	September 2020	September 2020
October 2020	October 2020	October 2020

Arrows indicate data flow from the 'RENTAL ASSISTANCE REQUESTED' column to the 'APPROVED RENTAL ASSISTANCE RECEIVED' column, and from the 'APPROVED RENTAL ASSISTANCE RECEIVED' column to the 'APPROVED RENTAL ASSISTANCE' column.

2. The EA is required to utilize the Approved Assistance Worksheet in coordination with review of rental ledgers, leases, rent receipts or other supporting documents to verify allowable values in each reporting period in each category as shown above. A separate Standard Operating Procedure for utilizing the Approved Assistance Worksheet is included in Exhibit B of this document.
  - a. The EA will transfer Applicant entered values in each category
  - b. The EA will use the supporting documentation to enter allowable amounts in the Approved Assistance Worksheet to calculate the amounts approved for each reporting period.
  - c. The EA will calculate the totals for each column and ensure the system has accurately reported the totals at the bottom of each column.
  - d. During the review of supporting documentation, the EA will verify that all allowable late fees have been entered at the bottom of the Rental Assistance Request column and have not been included in the rent period.
3. Following verification that the Approved Rental Assistance amounts for each period have been accurately input and totaled, the EA will finalize the Approve Assistance Worksheet and upload it to the system.
4. The EA will press the Complete & Continue button at the bottom of this page to move on the next step.

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	August 2020	September 2020	October 2020	November 2020	December 2020	January 2021	February 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021	September 2021	October 2021	November 2021	December 2021
Utilities																	

**ADMINISTRATION: SECTION 3 – UTILITY ASSISTANCE APPROVED**

5. The EA is required to transfer the values for Utility Assistance Requested from Section G. of the Application into the applicable tables shown below.

	April 2020	May 2020	June 2020	July 2020	August 2020	September 2020	October 2020	November 2020	December 2020	January 2021	February 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021	September 2021	October 2021	November 2021	December 2021	
Utilities Assistance Approved																						

6. The EA is required to utilize the Reconciliation Worksheet in coordination with review of utility statements, bills, notices and/or other supporting documents to verify allowable values in each reporting period in each category as shown above. A separate Standard Operating Procedure for utilizing the Reconciliation Worksheet is included in Exhibit B of this document.

a. The EA will transfer Applicant entered values in each category

Ex 7-1

- b. The EA will use the supporting documentation to enter allowable amounts in the Reconciliation Worksheet to calculate the amounts approved for each reporting period.
  - c. The EA will calculate the totals for each column and ensure the system has accurately reported the totals at the bottom of each column.
  - d. During the review of supporting documentation, the EA will verify that all allowable late fees have been entered at the bottom of the Utility Assistance Request column and have not been included in the rent period.
7. Following verification that the Approved Utility Assistance amounts for each period have been accurately input and totaled, the EA will finalize the Reconciliation Worksheet and upload it to the system.
  8. The EA will press the Complete & Continue button at the bottom of this page to move on the next step.

**ADMINISTRATION: SECTION 4 – OTHER UTILITY ASSISTANCE  
APPROVED**

9. The EA is required to transfer the values for Other Utility Assistance Requested from Section H. of the Application into the applicable tables shown below.

Category	APPROVED AMOUNTS	TOTALS
Other Utility Assistance Approved	March 2021	7835.00
Limited Thermal Distribution	April 2021	544.00
Additional Excesses	May 2021	746.00
Strength to Push into Grid	June 2021	254.00
Energy Storage	July 2021	750.00
Storage of Energy	August 2021	1675.00
Other Utility Assistance Approved	September 2021	4297.00
Other Utility Assistance Approved	October 2021	1154.00
Other Utility Assistance Approved	November 2021	765.00
Other Utility Assistance Approved	December 2021	1224.00

10. The EA is required to utilize the Reconciliation Worksheet in coordination with review of other utility statements, bills, notices and/or other supporting documents to verify allowable values in each reporting period in each category as shown above. This sheet relates primarily to Internet Costs and other related energy costs. A separate Standard Operating Procedure for utilizing the Reconciliation Worksheet is included in Exhibit B of this document.
  - a. The EA will transfer Applicant entered values in each category
  - b. The EA will use the supporting documentation to enter allowable amounts in the Reconciliation Worksheet to calculate the amounts approved for each reporting period.

EX 7-1

- c. The EA will calculate the totals for each column and ensure the system has accurately reported the totals at the bottom of each column.
  - d. During the review of supporting documentation, the EA will verify that all allowable late fees have been entered at the bottom of the Utility Assistance Request column and have not been included in the rent period.
11. Following verification that the Other Utility Assistance amounts for each period have been accurately input and totaled, the EA will finalize the Reconciliation Worksheet and upload it to the system.
12. The EA will press the Complete & Continue button at the bottom of this page to move on the next step.

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## **ADMINISTRATION: SECTION 5 – LANDLORD and FINANCIAL INFORMATION**

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**OVERVIEW:** The objective of this Section is to identify the Landlord and obtain their financial and contact information to facilitate delivery of the Rental Assistance amounts approved for the subject application. In cases where the Tenant has applied and the Landlord has yet to respond to the email invitation, the EA may expedite the process by submitting the email invitation via the system.

1. The Landlord or Entity Name has been provided by the Tenant and is entered by the EA in the first block of this form.
2. The EA will also enter the Entity Address if available or will search the system to determine the the Landlord has also started an application.
  - a. In cases where both applicants have initiated applications, the EA will connect the cases as is described later in the document.
3. The EA will enter the phone number obtained from Section F.7.
4. The EA will enter the email address of the Landlord obtained from Section F.8
5. If the Taxpayer Number was already provided in Section F, the EA will enter it here.
6. If the Landlord has initiated an application and uploaded the W-9 identifying his entity, the EA will enter the data here.

Ex 7-1

7. Following entry of all required data, the EA will press the Complete and Continue button and move to the next step.

## ADMINISTRATION: SECTION 6 – ADDITIONAL DOCUMENTS

**OVERVIEW:** This section allows for uploading of three specific documents that support the advancement, or, in some case, denial of an Application Request.

1. The EA will upload or facilitate upload of an Award Letter, Denial Letter, or Grant Agreement

EX-7-1

## ADMINISTRATION: SECTION 7 – INCOMPLETE APPLICATION EMAIL

**OVERVIEW:** In the event that documentation or action required by the Applicant is still outstanding and preventing the advancement of the application, the EA shall generate the notification email as shown below. Following entry of the relevant data, the EA will press the Complete and Continue button at the bottom of the screen and advance to the next section.

## ADMINISTRATION: SECTION 8 – DENIAL EMAIL

**OVERVIEW:** In the event that documentation submitted by the Applicant reveals factors that deem the application ineligible, the EA will notify the QA/QC Supervisor for confirmation to generate the notification email as shown below. Following entry of the relevant data, the EA will press the Complete and Continue button at the bottom of the screen and advance to the next section.

See illustration on following page:

07-1

**Create Email**

Use the form below to generate the email. Once the email is generated, click on the 'Complete & Continue' button to proceed.

To: [Redacted]

Subject: Denial - Emergency Rental Assistance Alabama - Case ID 24054

Body: Denial - [Redacted]

We regret to inform you that your application was denied due to the following:

[Redacted]

We understand the urgency of your housing situation, especially during these difficult times. If your request was denied due to the eligibility and you believe that you are eligible, then you may appeal your denial electronically. To appeal, please contact the Alabama Emergency Rental Assistance Authority (AERA) at 1-800-368-7263 or visit our website at [www.alera.org](http://www.alera.org).

Please include your case ID, contact information, reason for appeal, and justify how the requirements were met in error.

[Redacted]

No save history

Save Complete & Continue

## ADMINISTRATION: SECTION 9 – APPROVAL EMAIL

**OVERVIEW:** In the event that documentation submitted by the Tenant and the Landlord meets all criteria established by the program, the QA/QC Supervisor shall generate the Approval notification email as shown below. Following entry of the relevant data, the QA/QC Supervisor will press the Complete and Continue button at the bottom of the screen and advance to the next section.

**Create Email**

Use the form below to generate the email. Once the email is generated, click on the 'Complete & Continue' button to proceed.

To: [Redacted]

Subject: Approved - Emergency Rental Assistance Alabama - Case ID 24054

Body: [Redacted]

Congratulations! You have been approved for the Emergency Rental Assistance Program. Your application has been forwarded to the accounting department for payment processing. Payment of shall be in the form of an ACH transaction (direct deposit) which will be made directly to you. Landlord or Utility Provider: Your landlord or utility provider will receive an email from the supplier portal requesting a bank information (direct deposit). If your landlord or utility provider declines to participate, you will receive an email from the supplier portal requesting your ACH information. Please allow at least up to 14 business days for payment processing.

You are encouraged to download and print your Application for your records and reference regarding the terms and conditions to which you and your Landlord agreed in order to be approved for funding. Such documents are currently available for download and printing on the online portal and shall continue to be available for at least 90 days from your receipt of this approval email. Please reference the terms and conditions to which you and your Landlord agreed in order to be approved for funding.

If you have any questions or concerns, please call [Redacted].

Sincerely,  
[Redacted]

No save history

Save Complete & Continue

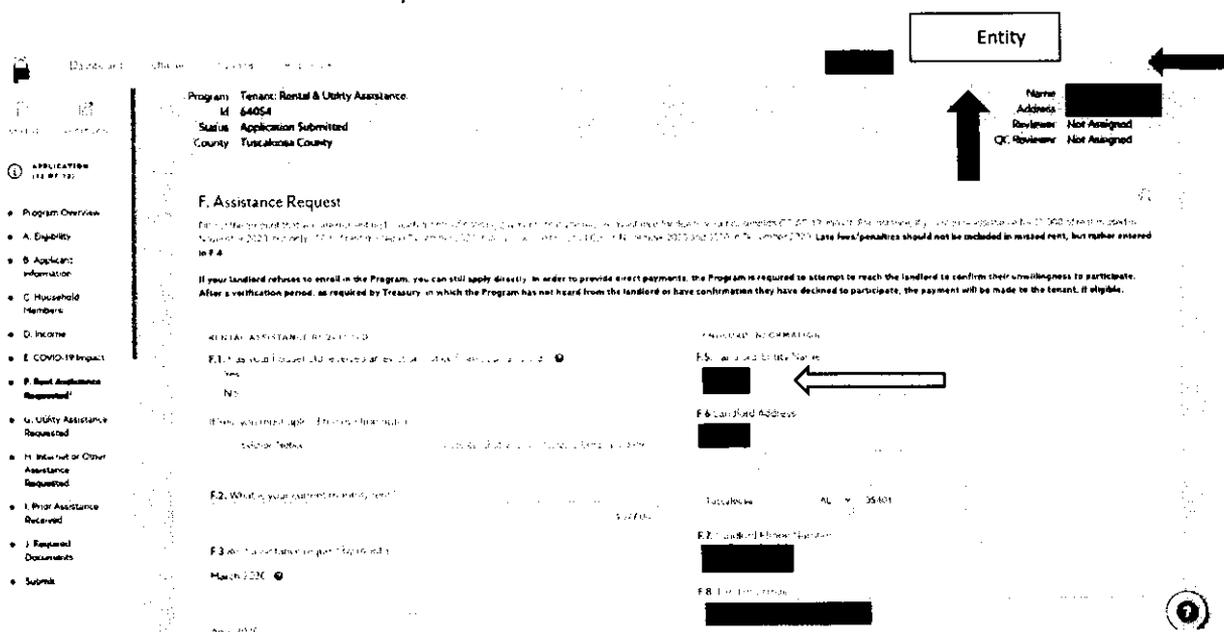
## ADMINISTRATION: SECTION 10 – LANDLORD INVITATION

ex 7-1

**OVERVIEW:** Upon completion of all tenant activities required in Section A and Section B of the application, the EA will prepare and deliver the following Invitation to the subject Landlord providing the Tenant Case Number, Name and property address as well as a brief description of the benefits of this program to the Landlord. Upon input of the relevant data, the EA will push the Complete and Continue button at the bottom of the screen and move to the next activity. This action generates the next level of effort in completing the Landlord Application.

It is the Landlord's responsibility and for his benefit that he follows the guidance on the Program Overview page. Two options exist at this point in the process of determining eligibility and advancing the Application.

1. Option 1: The Landlord has already initiated an Application
  - a. The EA will search the system to determine if the Landlord has initiated an Application
  - b. The EA will go to Section F. Rental Assistance Requested in the Tenant Application and capture the information in F.5 Landlord/Entity Name; F.6 Landlord Address; F.7 Landlord Phone Number; and F.8 Landlord Email.
    - i. Press the magnifying glass at the top right corner of the Application Section F: Rental Assistance Requested.
    - ii. Enter the Entity Name from Section F.5 in the Search Field



- iii. Press Enter.
- iv. If the Landlord has initiated an Application, his Case number and status of his Application will be on screen

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Dashboard | Utilities | Funding | Reports | Tenant

### Search Results

(LANDLORD: RENTAL ASSISTANCE CASES (2))

ID	NAME	ADDRESS	STATUS	PROGRAM YEAR	AMOUNT	FINAL REVIEW	CASE MANAGER
60551	[REDACTED]	[REDACTED]	Application in Progress	2020	\$0.00		
61614	[REDACTED]	[REDACTED]	Provide Landlord information	2020	\$0.00		Ryan Musbauer

*Note: An arrow points to the ID 61614, and another arrow points to the 'Provide Landlord information' status.*

2. Option 2: The Landlord receives the Landlord Invitation email and initiates an Application

Dashboard | Utilities | Funding | Reports | Tenant

County: Tuscaloosa County

QC Reviewer: Not Assigned

3. Required Documents

Submit

### Create Email

Use the link below to generate the email. Once the email has been sent, click "Mail" Complete to proceed.

Generate Email

To: [REDACTED]

Subject: Invitation: Emergency Rental Assistance Alabama

Body: Tenant Case Number: 60254

Dear [REDACTED],

Your current tenant [REDACTED] for the property located at [REDACTED], Tuscaloosa, AL 35401, has applied to participate in the Emergency Rental Assistance Alabama Program. This is a program designed to pay past due rent and/or utility assistance. This program is as an alternative to eviction for non-payment of rent due to a documented COVID-19 impact.

To be eligible to benefit from this program, you must complete a Landlord Application in the 14 day period starting on the date of this email (regardless of the neighborhood you are in Alabama/Participant). If you already have an account in the portal, please respond to this email with your Landlord Case ID number (5 digits). You do not need to create a new application.

Thank you.

No save history

Save | Complete & Continue

*Note: An arrow points to the 'Complete & Continue' button.*

**LANDLORD APPLICATION REVIEW**

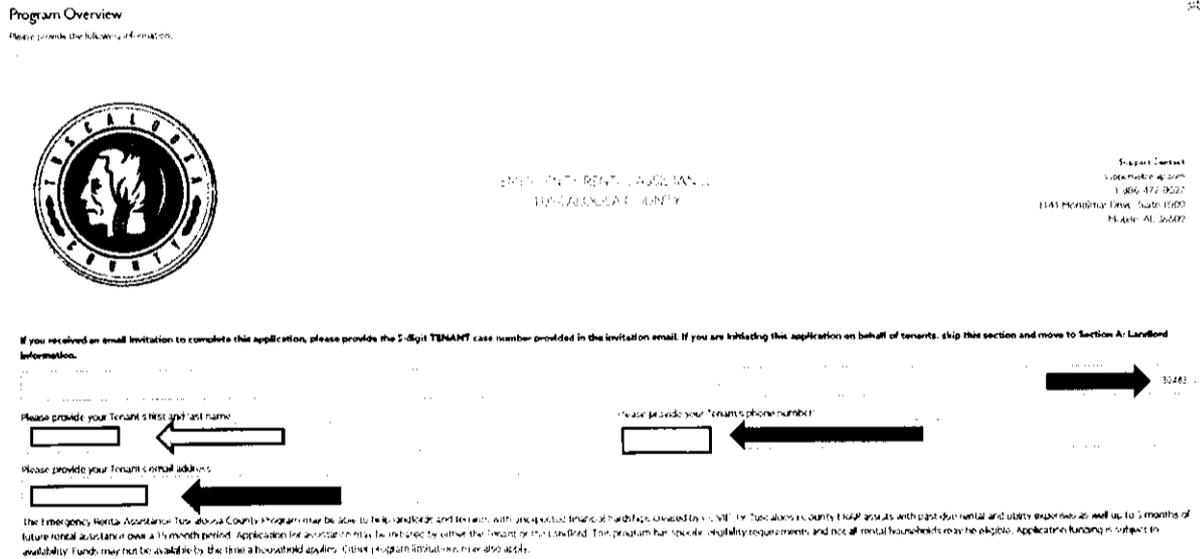
**OVERVIEW:** The EA has now completed review of information provided by the Tenant. The EA will proceed to complete the review of the application submitted by the Landlord as well as the Landlord Verification section listed below. See steps below to navigate to the Landlord application. Once steps below are complete, the section will continue with "Landlord Verification", which is the next section on the Eligibility Checklist.

807-1

## LANDLORD APPLICATION REVIEW SECTION 1 – PROGRAM OVERVIEW

In the Program Overview Section of the Landlord Application, the opening statement informs the Landlord that they may have received an email invitation to complete the application in our system. This email invitation includes a 5-digit Tenant Case Number associated with the Tenants application. As indicated in prior sections, the Landlord Application and the Tenant Application can be initiated by both parties without the other being aware. When this situation exists, it is the responsibility of the assigned EA to Associate the two cases together, a benefit to all parties. The information below presents guidance for both circumstances.

1. The Landlord has initiated an Application in the system and the EA has followed the steps to accept assignment of the next available case.
2. The EA proceed to the Application Section of the Case and initiates processing by pressing the Program Overview icon opening the page shown below.



3. The EA proceeds to Section A. Landlord Information and verify that all required data has been entered.
  - a. Ensure that the required W-9 document has been uploaded to the system
  - b. Review the information on the W-9 and validate that the data on this document matches what is entered in the associated fields of the Section A form
  - c. Ensure that the required Proof of Ownership documentation has been uploaded to the system. (Proof of Ownership is no longer a requirement of the Program-Amended 5.5.21\_RR)
    - i. Proof of ownership can be provided in the form of a deed or a current tax statement.
    - ii. The EA will review the forms and ensure that the street addresses, names of owners, entity names, and other relevant identification data align with the Application entries.

207-1

1. Where property tax statements are provided as proof of ownership, the EA may be required to validate a parcel number description with the relevant county tax assessor's records available online.
- d. In Section A.10, the EA will check the Project Name to determine if it has been identified as a TCERAP funded Project by pressing the "Click here to begin a search" button located above the right-hand side of the grayed-out box.
  - i. If the Property is included on the list, enter the Project Name in the box.
- e. When the EA has completed the review of all data and documentation, they will press the Complete and Continue button to proceed to the next step.

The screenshot displays the 'A. Landlord General Information' section of the application form. The form is divided into two main columns: 'PRIMARY LANDLORD' and 'ATTORNEY LANDLORD CERTIFICATE'. Red arrows point to various input fields and buttons:

- PRIMARY LANDLORD:**
  - A.1. Landlord Name (as appears on W-9)
  - A.2. Landlord Address (as appears on W-9)
  - A.3. Landlord Telephone Number
  - A.4. Landlord Email
  - A.5. DUNS Number (if applicable)
  - A.6. EIN (EIN is only for businesses that are a separate W-9 company)
  - A.7. Did you provide an EIN, TIN, or SSAN?
- ATTORNEY LANDLORD CERTIFICATE:**
  - A.11. Are you a Licensed Real Estate Broker, Licensed Property Management Firm, or Licensed Real Estate Agent?
  - A.12. Attorney Contact Telephone Number
  - A.13. Attorney Contact Email Address
- Bottom Section:**
  - A.8. Please upload all documents supporting the information provided in the project information section.
  - A.9. Please upload all documents supporting the information provided in the project information section.
  - A.10. AMI A Project Name (if applicable)
  - Buttons: 'Back', 'Complete and Continue', and 'Cancel'.

txc7-1

4. The EA will proceed to Section B. Tenant(s) Information. It is important to note that the Landlord has the opportunity to enter ALL his tenants in this section and each will be associated with the specific Tenant case# when initiated.

It is essential that all data entered is complete and matches

- a. The EA will insure that for every Tenant listed in the Section that the Landlord has uploaded a rental statement, ledger dating back to when Tenants were unable to make rental payments, and an executed lease covering the dates from March 2020 forward.

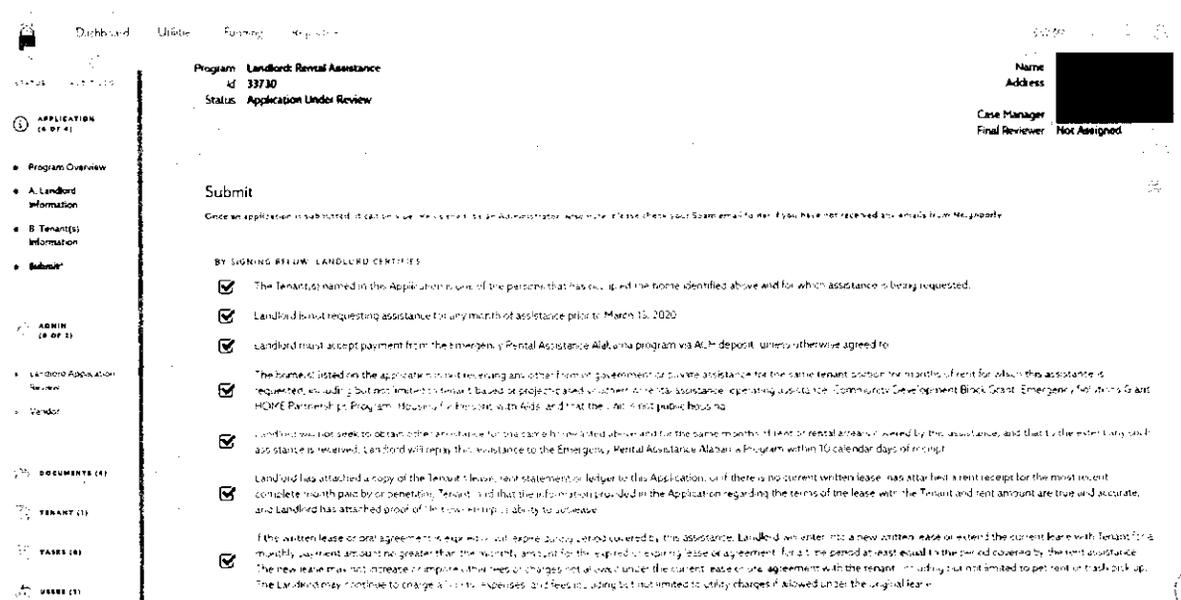
Absent full rental ledgers and a lease, it is difficult to associate rent and late fees per month in the system. Encourage Landlords to provide extensive supporting documents

- b. The EA will review all uploaded documents to ensure that the documents provide necessary information to support claims for Assistance under program guidelines. Early identification of missing information will expedite the approval process.

607-1



- Following verification that all required information is present in the system and compliant, the EA will advance to the Submit Section of the Landlord Application. During this step, the Applicant has validated, by checking each box, that all required actions and submission of documents has been completed in accordance with program guidelines. The system will not allow the submission to be completed until all boxes are checked and the Landlord Applicant has electronically signed the Submission block at the bottom of the Screen. Successful submission will show the time, date and IP address when the Application is processed and changes status to Application Submitted.



47-1

Dashboard Applications Requests

APPLICATION (10/97/4)

- Program Overview
- A. Landlord Information
- B. Tenant(s) Information
- Submit

Documents (4)

Tenant (1)

Task (1)

I agree  I do not agree

Landlord hereby releases the Tenant and Tenant's household from payment liability for any rent for the time period covered by the assistance received by the Landlord, as well as any fees related to that rent. The Landlord will not evict the tenant for any reason that pre-dates the acceptance of the funds or for any reason related to rent or fees during the time period covered by the funds and will not evict the tenant for a non-monetary default during the time period covered by the rental assistance actually received, except for actions or breaches of the lease that are related to criminal activity, property damage or physical harm to others. Notwithstanding this certification, the Landlord shall waive a Landlord's right to file an eviction based on a non-monetary default that occurs after the expiration of the time period covered by the rental assistance actually received.

Landlord acknowledges that all information collected, assembled, or maintained by the Emergency Rental Assistance Alabama program pertaining to this certification (except records made confidential by law or court order) are subject to the Alabama Open Records Act and must provide any interested person with reasonable access to all records pertaining to this application.

Landlord shall provide the U.S. Department of the Treasury, the U.S. Inspector General, the U.S. General Accounting Office, the Alabama Comptroller or the Alabama State Auditor's Office, the Office of Court Administration and the Alabama Housing Finance Authority, or any of their duly authorized representatives, access to and the right to examine and copy records related to a payment made as a result of this certification. Such records will be kept for the longer of five years, or until after the end of a monitoring, audit, or litigation has been provided and the matter has had a final disposition.

If the Owner is a different legal entity than the Landlord, Landlord or Landlord's Agent certifies it has the legal authority to enter into this agreement, and if an Agent is executing this form, documentation of agency is attached.

Notwithstanding anything to the contrary in this certification, the Landlord shall have the right to terminate participation in the program at any time prior to receiving assistance.

The information provided in this application is accurate and complete, and I requested Landlord to provide further documentation to support any representations.

In signing this "Application" (including electronic signature), you are acknowledging that fabrication of documents or any material falsehoods or omissions in the Application, including knowingly seeking qualitative benefits, is subject to state and federal criminal penalties. You are particularly put on notice that 18 U.S.C. §1001 provides, among other things, that whoever knowingly and willingly makes or uses a document or writing containing any false, fictitious, or fraudulent statement or entry, in any matter within the jurisdiction of any department or agency of the United States may result in possible criminal liability.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Electronically signed by \_\_\_\_\_ on 3/4/2021 2:07 PM (P) \_\_\_\_\_

03/04/2021

## ADMINISTRATION – LANDLORD APPLICATION REVIEW

**OVERVIEW:** The Administration of the Landlord Application requires the EA to tie the documents and data provided by the Tenant with the supporting documents and data uploaded or entered by the Landlord. While there are relatively few steps in the process, the attention to detail and matching data points is critical to a successful approval process. At this point, it is important for the EA to maintain vigilance in communication with the parties to ensure a “one time and done” process if possible. Communications in the form of Tasks are often required to assist the Applicants in getting the right information uploaded. The EA is responsible for providing oversight to the process and ensuring the Applicants understand the benefits of quick response to requests for the EA.

As stated in the Landlord Application process, reliance on validating documents and ensuring compliance are key elements of the review process.

1. The EA will review the documentation for three (3) categories of documentation and identification.
  - a. Item 1. All contact information with the EIN and/or SSN number for payment validation
  - b. Item 2. The EA will check the signed W9 form to ensure the TIN matches the data entered in the general information section.
    - i. If the data doesn't match, the EA will be required to re-open the application and “task” one of the applicants to correct and re-upload the documents or the data entry.
  - c. Item 3. The EA will check to see that the Landlord or Entity name on Line #1 of the W9 matches the entry in the system.
    - i. If the data doesn't match, the EA will be required to red-open the application and “task” one of the applicants to correct the errors.

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- The EA, following verification of accuracy or completion of corrections to inaccurate entries, will check the four (4) boxes on the screen and then click the blue outlined box to electronically sign the certification.
- The EA will press the Complete and Continue button to complete the Review.

## ADMINISTRATION – ASSOCIATE TENANT AND LANDLORD CASES

**OVERVIEW:** The Neighborly system allows both the Landlord and Tenant to initiate applications. This often occurs as independent actions resulting in two cases being generated without the other necessarily being aware. The following guidance allows the EA to connect the Tenant and the Landlord applications together through the system and email communication.

The following examples and guidance illustrate Tenant and Landlord case association initiated from each applicant's portal.

- From the Tenant Application portal, the EA will determine if a Landlord application has been submitted.
  - Step 1: Open up the selected Tenant case file and click on the tab for Landlord at the bottom left of your screen.

ex 7-1

Program: Tenant Rental and Utility Assistance  
Id: 30020  
Status: Application in Progress  
County: County

Name: Landlord Example  
Address: No Property Address  
Reviewer: [Redacted]  
QC Reviewer: [Redacted]

Program Overview  
Please review the following information:

THE TENANT RENTAL ASSISTANCE  
COUNTY OF CALIFORNIA

Emergency Rental Assistance: San Diego County is here to help COVID-19 impacted residents across the county who have temporary funds available to help. Montgomery County residents can rent and utility bills (including past due rent and utilities).  
Tulare County can help residents with the following requirements and income limits: 200% the state's annual per capita household income for up to 18 months of past due bills.  
\* Past due current and up to 18 months of past due bills.

b. Step 2: Click on the Landlord tab.

Program: Tenant Rental & Utility Assistance  
Id: 30099  
Status: Application Submitted  
County: County

Name: [Redacted]  
Address: [Redacted]  
Reviewer: [Redacted]  
QC Reviewer: [Redacted]

Landlord

TO: [Redacted] FROM: [Redacted] PROGRAM: [Redacted] STATUS: [Redacted] ADDRESS: [Redacted]

LANDLORD

c. Step 3: If the screen above does not show an associated case created by a Landlord Applicant, the EA shall return to the Application section of the program menu and click on F. Rent Assistance Requested.

Program: Tenant Rental & Utility Assistance  
Id: 30099  
Status: Application Submitted  
County: County

Name: [Redacted]  
Address: [Redacted]  
Reviewer: [Redacted]  
QC Reviewer: [Redacted]

F. Assistance Request

RENTAL ASSISTANCE REQUESTED

F1: Has your household received a rental assistance payment since 3/1/2020?  
Yes  
No

If Yes, you must include the exact amount

F2: What is your household's monthly rent?  
[Redacted]

F3: Rent assistance requested by month:  
March 2020: [Redacted]

LANDLORD INFORMATION

F5: Current Utility Name  
[Redacted]

F6: Current Address  
[Redacted]

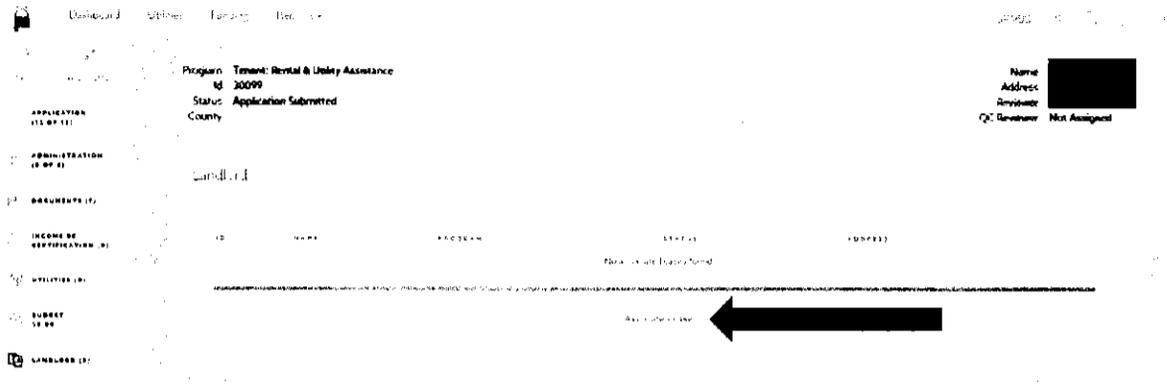
App: [Redacted]

Phone: [Redacted]

F7: Date of Previous Month:  
[Redacted]

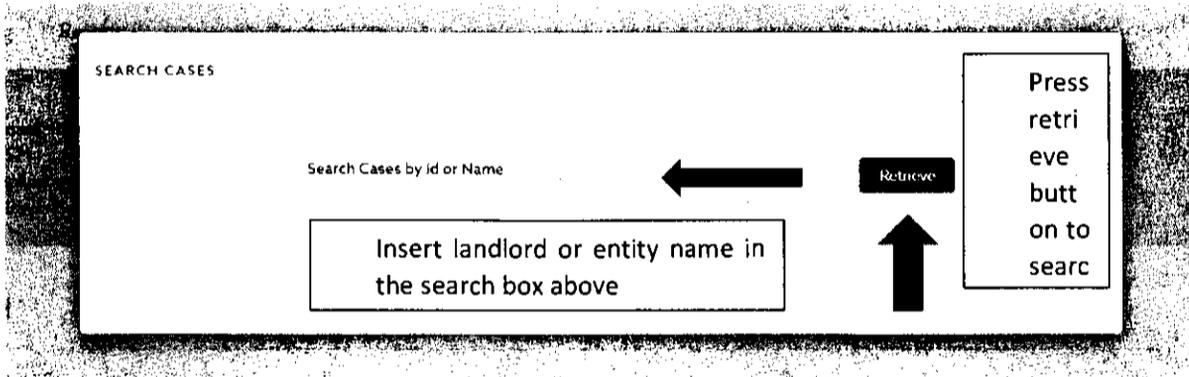
607-1

- d. Step 4: The EA will note the Landlord and/or Entity Name and Address to utilize in the next step.
- e. Step 5: The EA will return to the Landlord menu item and click the Associate a Case button at the bottom of the screen.



- f. Step 6: The screen illustrated below will appear and request either a case number or the name of the Landlord or entity. The EA will not have a case number yet, so insert the name of the Landlord noted in Step 4 when reviewing Application section F. Rental Assistance Requested.

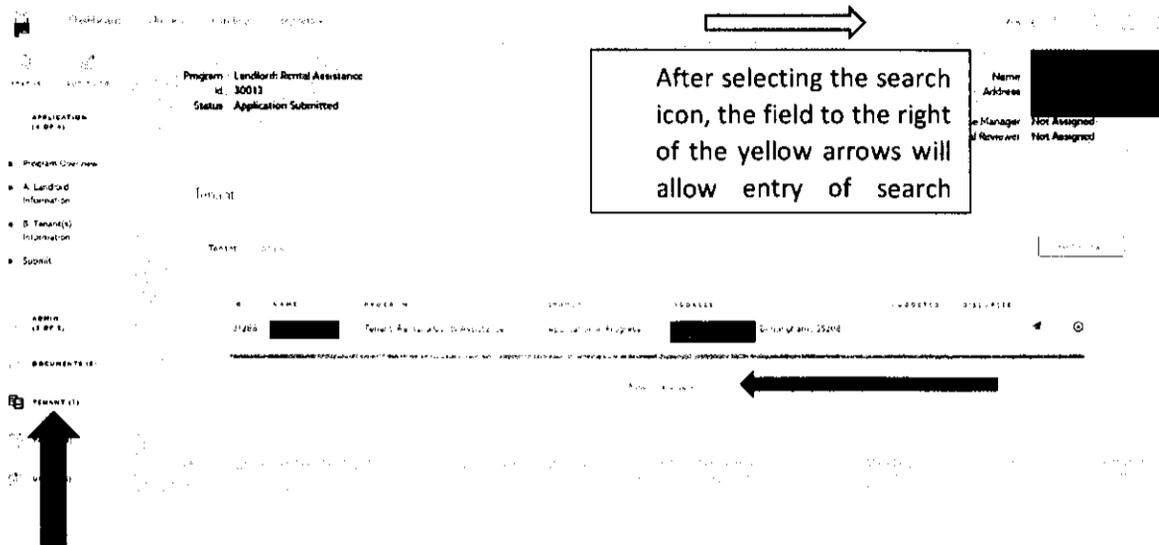
See illustration on following page:



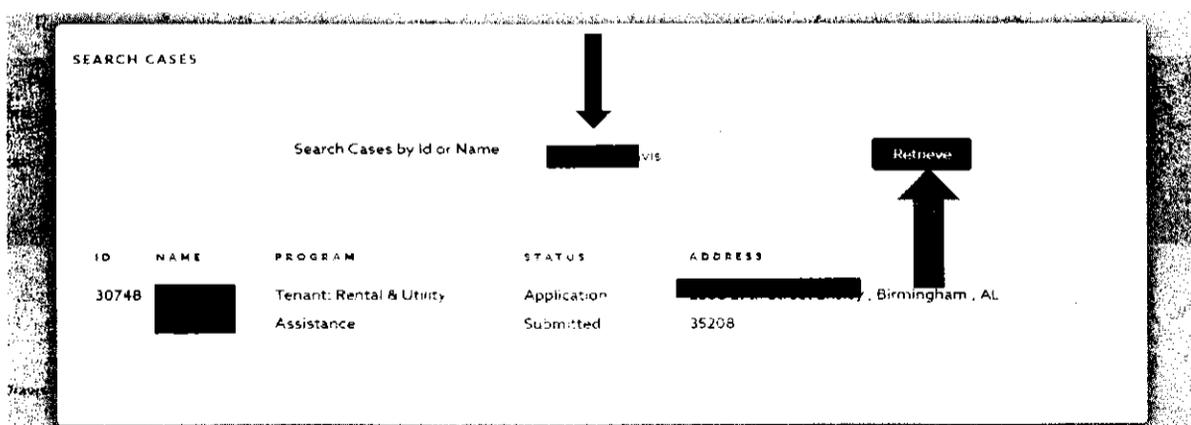
- g. Step 7: If the search box does not reveal a case that has been initiated by the Landlord, the EA will send an email invitation to the address located in Section F. Rental Assistance Requested.
2. Step 1: From the Landlord Application portal, the EA will select the assigned Landlord Application and click on the Tenant selection button on the bottom left side of the Application



ex 77



3. Step 2: The EA will click the Associate a Case button at the bottom of the screen to initiate the search activity to determine if the Tenant has started the Application process.
  - a. Note the magnifying glass icon on the top right of the screen. This search icon can match addresses, names, case number, apartment complexes, entity names and miscellaneous combination of search factors that can help match the Tenant and the Landlord. In many cases, the Case Association may not occur until both parties are submitted.
  - b. The EA can select the search icon and enter search factors found in Section B of the Landlord Application into the Search Field to the left of the Search Icon.
  - c. Once entered, the EA click Enter and matching entries, if any, will be shown on the screen.
  - d. The EA will enter matching entries to the Tenant information in the Search Cases by ID or Name field in the center of the screen below.
  - e. Following entry of the search parameters, the EA will press the Retrieve button to



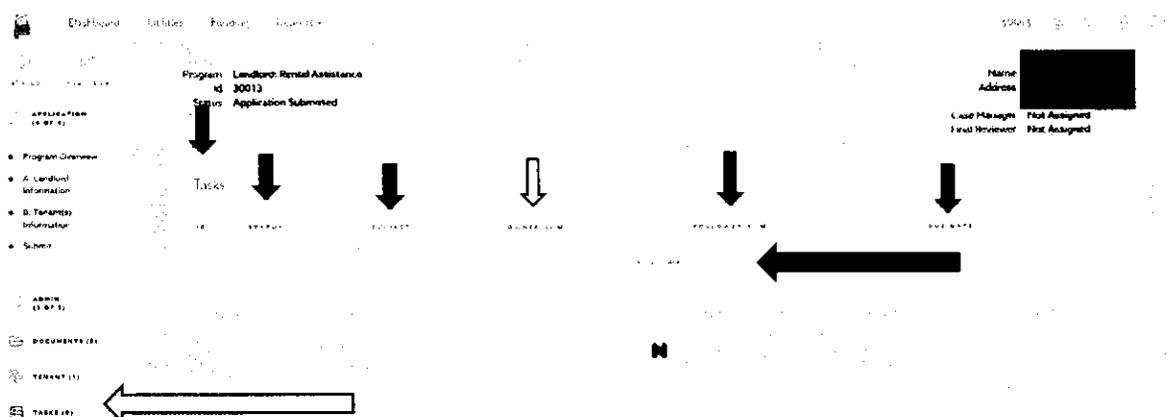
4. Step 3: If the matching Tenant entry is identified, the EA will select the Associate the Case button to complete the action. The cases are now tied together.

4/7/21

## LANDLORD AND TENANT OUTREACH

**OVERVIEW:** During the course of managing Landlord and Tenant Cases, the EA will be required to facilitate communication between the applicants and the system. The Neighborly system has incorporated a method of communicating with applicants that adds efficiency to the process and mitigates the inherent weaknesses of completing complex submissions between multiple parties remotely. It is critical that the EA and the QA/QC Supervisor teams recognize the importance of documenting the steps of the process and keeping the Applicants informed of any issues that could impede a rapid and successful approval of the Rental Assistance requests.

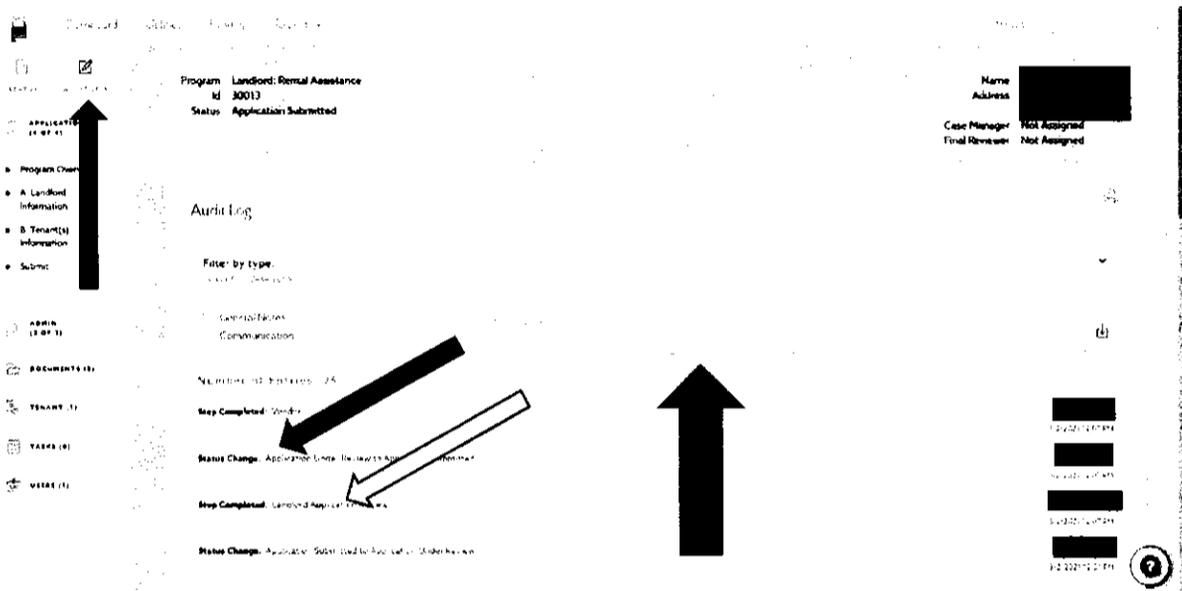
1. Tasks: The Neighborly system utilizes a tool to track and record action requirements of the applicants and the EA.
  - a. When the EA requires action from a Landlord or a Tenant, they will select the Task button from the Program Menu on the left side of the screen as shown in the illustration below.
  - b. The EA will then be provided the opportunity to "Add a Task".
  - c. Please note that the Tasks table includes the Case ID, the Status of the Application, the Subject of the Task request, the Owner of the Activity, any Followers, and the Due Date for completing the Task. It is essential that EAs convey the urgency or response and compliance with request for action. Failure to rapidly respond will impact completion of the Request and delivery of requested funds to the parties.



- d. The EA will define the task in the fields noted above and, when complete, will click on the button "Add a Task". The Tenant or the Landlord, as addressed, will receive the Task Notification by email. It will be time and date stamped.
- e. The Neighborly System transfers all Task request and other general communication between the parties into the Audit Log.
- f. The Audit Log is accessed by the EA by pressing the Audit Log selector on the Program Menu on the left side of the screen.

EX 7-1

- i. Note that the Audit Log time stamps and dates all entries thereby providing an Application diary from initiation to final approval in compliance with program guidelines.
- ii. The EA will utilize the open field in the middle of the screen to add notes and additional guidance to the party required to complete actions in the application. Clear, articulate and specific guidance should always be provided to the Tenants and Landlords. Conveying the importance of speed and accuracy is essential.



2. The EA will encounter Applications submitted by Tenants for which the Landlord has been unresponsive to attempts to generate an application or to complete submission of supporting documentation that is required to complete the application. Complete the steps below only if Landlord has not submitted an application or provided all required documentation. Note that there are two tracks for communicating this activity: (1) by phone or email; (2) by standard mail for applicants without access to a phone or the internet.

- a. (1): Utilizing the Tasks feature, send notifications by phone calls or email to the Landlord at least three (3) times over a period of ten (10) days with specific guidance of actions needed to satisfy application requirements. For phone calls, if there is no answer, leave a voice message and register the contents of the message in the Audit Log.
  - iii. Ensure that each outreach attempt is documented in Tasks and the Audit Log and is verified by the QA/QC Supervisor for the case.
- b. (2) For outreach requiring the use of standard mail service, use printouts of system communications language and ensure complete and accurate guidance is provided to the applicant that will drive successful and compliant completion of the application. Insert copies of the communication in the Audit Log. If the EA or QA/QC Supervisor has not received a response to the mailed request or seen any additional activity to resolve the original requests after 14 calendar days from the initial request, the EA or QA/QC Supervisor will reach out to David Howell at dhowell@tuscco.com with the name and contact information for the Landlord. David Howell, or an appointed county official, will have 3 business days to attempt to reach out to the Landlord.

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If the Landlord has still not been responsive, the Landlord's application will, following approval and direction of the QA/QC supervisor, be withdrawn.

- c. The Tenant's application, if fully compliant will be discussed with David Howell and if Tuscaloosa County reasonably believes the tenant will properly use the funds, the tenant application will be advanced to the Approved Status and submitted for payment of approved rental assistance funds.

## SECTION 9: SUMMARY & CASE CLOSEOUT ACTIVITIES

FINAL Eligibility Determination Summary	
<b>Eligible</b>	If the EA verifies the application passes all steps included in the Reviewer Checklist, the EA should sign and submit the Reviewer Checklist and proceed to the "Approved Application" section below in section detailing steps to be taken if application is approved by the first Reviewer.
<b>Additional Documentation Needed</b>	If the EA determines that insufficient documentation was provided to complete Reviewer Checklist, check all relevant boxes in the "Reason for Insufficient Documentation" section of the Reviewer Checklist and proceed to the "Additional Documentation Needed" section below detailing steps to be taken if application is missing documentation.
<b>Withdrawn Application</b>	If the EA determines that application should be withdrawn due to ineligible address or non-responsive Tenant or Landlord, check all relevant boxes identifying reasons the Tenant does not qualify in the Reviewer Checklist and proceed to the "Withdrawal of Application" section below.
<b>Ineligible</b>	If the EA determines that application should be denied, check all relevant boxes identifying reasons the Tenant does not qualify in the Reviewer Checklist and proceed to the "Denial of Application" below.

### **A: APPROVED APPLICATION**

**OVERVIEW:** If Tenant Application is approved by the EA (1<sup>st</sup> review), complete the following steps:

1. Electronically sign the Review Checklist and click "Complete and Continue"
2. Enter the amount of approved housing assistance, by month, in the "Assistance Approved" step. Click Save at the bottom of the page.
3. Change status to "Under Final Review"
4. For the details, enter "This application contains sufficient documentation for QA/QC Review."

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The screenshot shows a calendar interface with a sidebar on the left containing navigation options: ADMINISTRATION (10 OF 11), DOCUMENTATION, INCOME CERTIFICATION (1), UTILITIES (1), and SUBSET (10 OF 11). The main area displays a calendar grid from September 2021 to January 2022. A large black arrow points from the 'Task' button at the bottom to the date '1/14/22' on the calendar. Another arrow points from the 'Task' button to the date '1/14/22' on the calendar. A third arrow points from the 'Task' button to the date '1/14/22' on the calendar.

## B: ADDITIONAL DOCUMENTATION NEEDED APPLICATION

**OVERVIEW:** If Tenant Application is determined to need additional documentation, complete the following steps:

1. Ensure all appropriate reasons for documentation needed are selected on the Reviewer Checklist (bottom of checklist).

The screenshot shows a section titled 'Reason for Insufficient Documentation' with three items listed, each with a checkbox:

- Identification for all Applicants 18 years or older required
- Lease or Rental Agreement required
- COVID-19 financial impact documentation required

2. Initiate EA outreach by creating a Task
  - a. Scroll down to "Tasks".
  - b. Select "Add a Task".
  - c. For the subject, enter "Case Number ##### Insufficient Documentation Review."
  - d. For the details, enter a **STANDARDIZED** message, such as, "This application does not contain sufficient documentation. The following items are required to proceed: Valid Government ID, documentation of unemployment income, income information for household member number 2."
  - e. Select the current date for the Due Date.
  - f. Assign the task to the Applicant.
3. "Re-Open" ONLY the application step(s) that is(are) missing information – this will allow the Tenant to complete the missing information via their application. The "Re-Open" button is at the bottom of each application step.
  - a. If and when needed, additional information can also be requested through the Task function.

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4. Change the case status to "Pending Applicant Information".

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### ***C: WITHDRAWAL OF APPLICATION***

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**OVERVIEW:** If Tenant Application should be withdrawn, complete the following steps:

1. EA will mark why the applicant has been withdrawn from the Review Checklist (bottom of the checklist)
  - a. Applications should only be withdrawn in cases where the applicant does not live at an eligible address or where the Tenant or Landlord has been non-responsive to requests for required documentation.
  - b. If application is being withdrawn due to non-responsiveness of Landlord or Tenant, verify that at least three (3) number outreach attempts were made and at least ten (10) days have passed since the first outreach attempt by email or phone, or at least (14) days have passed since posting a standard mail request for documentation or action.
    - i. Contact attempts will be logged by the Liaison team in the Audit Log. Verify outreach attempts required are noted within the Audit Log.
2. EA will change the status to "Under Final Review" and include the following description in the Status Details Field: "Recommend for withdrawal – unresponsive Tenant/unresponsive Landlord/ineligible address" (whichever is appropriate).
3. QA/QC will review application to determine if withdrawal of application aligns with program guidelines.
  - a. If QA/QC determines application should not be withdrawn, QA/QC will change status to "Under Review" and create task for the EA to perform additional analysis.
  - b. If QA/QC determines application should be withdrawn, QA/QC will change status to "Withdrawn".

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### ***D: DENIAL OF APPLICATION***

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**OVERVIEW:** If Tenant Application should be denied, complete the following steps:

1. Select the appropriate box for why the applicant has been denied from the Review Checklist (see illustration below)

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**ADMINISTRATION (4 OF 5)**

- Review Checklist
- Assistance Approved
- Landlord Financial Institution
- Additional Documents
- Incomplete Application Email
- Denial Email
- Approval Email
- Landlord Invitation

**DOCUMENTS (16)**

**INCOME RE-CERTIFICATION (8)**

**UTILITIES (8)**

**BUDGET \$0.00**

**LANDLORD (8)**

**IF the tenant DOES NOT qualify, use the check boxes below to identify the reason(s).**

- The property is not physically located within an eligible jurisdiction in Alabama.
- The application is missing appropriate income documentation and/or the income certification statement, and the tenant has been unresponsive to updating/completing required documents.
- The application is missing or an illegible copy has been provided of the lease, and the tenant has been unresponsive to updating/completing required documents.
- The application is missing or an illegible copy has been provided of any household members' identification documentation, and the tenant has been unresponsive to updating/completing required documents.
- Household earns an income above the maximum AMI range for the family size provided.
- The household has NOT suffered a loss of income, unable to work as a direct or indirect result of COVID-19.

If denied for Other reasons, please explain below.

Reviewer Signature  
Click here to electronically sign

No save history

Save Complete & Continue

- a. Electronically sign the Checklist and click "Complete and Continue".
- b. Scroll down to "Tasks".
- c. Select "Add a Task".
- d. For the subject, enter "Case ##### Recommended for Denial by EA Review"
- e. For the details, enter "This application does not appear to be eligible based on procedures performed in the EA review."
- f. Select the current date for the Due Date.
- g. Select your QA/QC Team Lead for the Owner(s) and press "Save".

## SECTION 10: QA/QC SUPERVISOR PROCEDURES

**OVERVIEW:** The following guidelines are specific to QA/QC Supervisors. The activities represented below are initiated when Cases that have been worked by CSRs and EAs have moved into the "Approved: Pending Final Review" status in the Neighborly system. The QA/QC Supervisors are chartered to ensure that:

- All program guidelines have been followed
- All eligibility requirements have been met and documented
- All supporting documents are uploaded and available for audit
- All approved rental and utility assistance has been validated as accurate and compliant
- The application has been reviewed against controls to prevent fraud, waste and abuse
- Budgets have been created and align with approved assistance amounts

**TESTING METRICS:** (1) The values listed for rental and utility assistance on the Assistance Approved sheet, the 2<sup>nd</sup> bullet in the Administration Section of Neighborly; the Approved Assistance Worksheet; and the rent ledger and utility statements align perfectly.

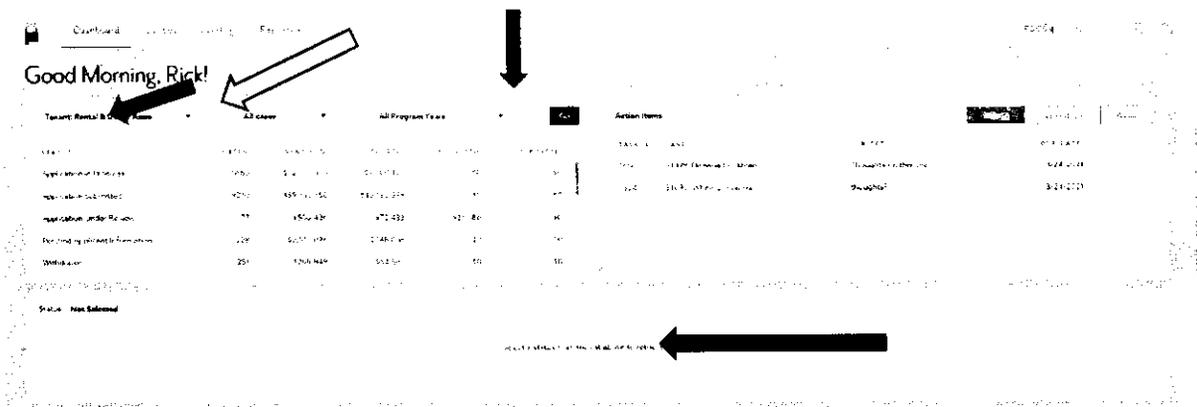
OK 7-1

(2) The uploaded documentation supports the amounts specified in the case files.

The following standard operating procedures are presented in the planned order of action for the average application review. Variations will occur as application status changes due to identification of missing information or incorrect calculations or entries.

### A: TENANT APPLICATION REVIEW

1. QA/QC Supervisor selects an application from the "Approved: Pending Final Review" status bucket utilizing the following process:
  - a. From the Neighborly Dashboard, select the column on the top left of the screen to select "Tenant: Rental & Utility Assistance".
  - b. Select the next column to the right of the screen and shift from "Just my cases" to "All cases" and press to select.



- c. Select the Blue "Go" button on the screen.
  - d. Using the blue row selector on the right side of the Status table, scroll down until "Approved: Pending Final Review" is shown. Select this status and hit enter.
  - e. The system will generate a list on the following screen that represents all cases for the selected category.

See illustration on following page:

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Case ID	Case Name	Case Status	Case Type	Case Category	Case Sub-Category	Case Description	Case Location	Case Date
30039	Phyllis Johnson	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30057	Edwarda Ketchum	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30370	Shoyand Akiba	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30492	Cardell Fung	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30519	Taylor Randall	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019

f. Select the first available case at the top of the list. (If working in a Teams environment where a QA/QC Supervisor has assigned Eligibility Analysts, select the first available case from your Team.)

Case ID	Case Name	Case Status	Case Type	Case Category	Case Sub-Category	Case Description	Case Location	Case Date
30039	Phyllis Johnson	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30057	Edwarda Ketchum	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30370	Shoyand Akiba	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30492	Cardell Fung	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019
30519	Taylor Randall	Approved Pending Final Review	2019	Approved Pending Final Review	2019	2019	2019	2019

- g. Select the "Users" Menu item from the list on the left of the screen. The list of existing Users will be shown on the main screen.
- h. Select "Add a User" to assign yourself as the QA/QC Supervisor. Note the Time Stamp.

Program: Tenant Rental & Utility Assistance  
 Status: Approved Pending Final Review  
 Landlord: 68458  
 County: Multnomah County  
 Dispute: 55% identified in Case ID 30931 - Apt Home

Users

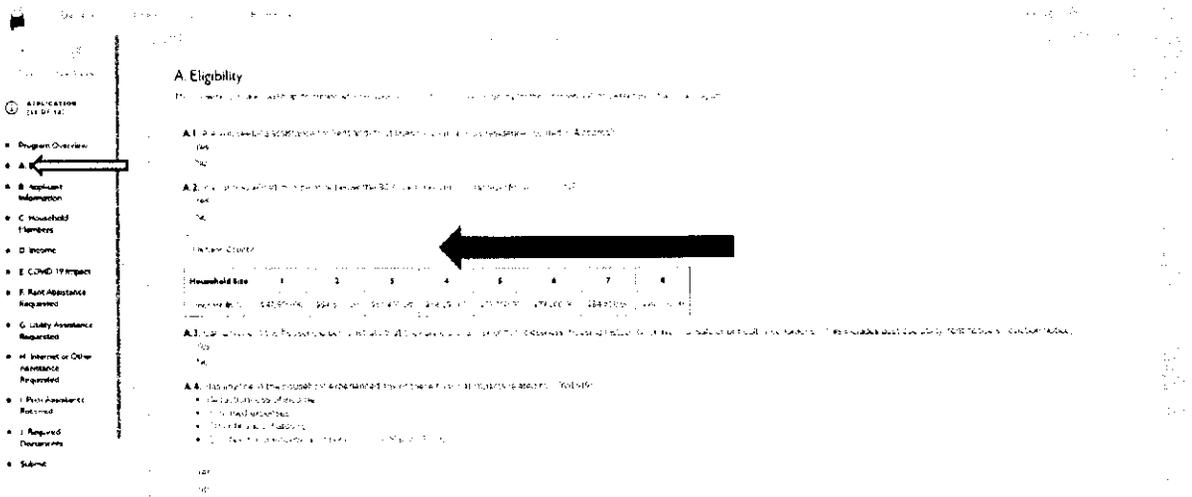
Name	Address	Role	Assigned
Chig Green		QA/QC Supervisor	Yes

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- i. Check the Application Status on the upper left side of the screen beneath the ID to ensure that the system has automatically changed the status to "Pending: Final Review in Progress".
2. The QA/QC Supervisor will begin the Application Review by validating compliance in Sections A through Section J of the Tenant Application.

**a. Section A - Eligibility**

- i. A.1 and A.2 are checked "Yes". If checked "No", the applicant is not eligible.
- ii. Check the Grayed box with the dropdowns for County name to ensure that only Tuscaloosa County is highlighted. Check Section A.5 to ensure that the box is checked "Yes".



- iii. A3 through A5 are checked "Yes". If "No", the applicant is ineligible.
- iv. A6 is checked "Yes". The applicant is eligible, and you continue to review.
  - a. A6 is checked "No", and the applicant lives in an approved county. The applicant is eligible, and you continue the review.
- v. Review sections A7 through A10. If Section A.10 is checked, ensure that supporting documentation is uploaded in Section D. Income later in the process.

See illustration on following page:

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**Other Screening Questions**

**A.5** Will the applicant be a member of a household that is currently receiving TCERAP assistance?  
Yes  
No

**A.6** Does the applicant have a pending lawsuit or pending bankruptcy?  
Yes  
No

**STOP**

**A.7** Does the applicant have a pending criminal case?  
Yes  
No

**A.8** Does the applicant have a pending civil case?  
Yes  
No

**A.9** Does the applicant have a pending case with the Department of Social Services?  
Yes  
No

**A.10** Is the applicant currently employed?  
Yes  
No

**b. Section B – Applicant Information**

i. Review the County information to ensure it aligns with the County selected in Section A.

a. Check the TCC Funded Development Worksheet to determine if the property is included to be noted elsewhere in the system.

**B. Applicant Information**

**B.1** Applicant Name  
[Redacted]

**B.2** Applicant Home  
[Redacted]

**B.3** Home Address  
[Redacted]

**B.4** County  
[Redacted]

**B.5** Date of Birth  
[Redacted]

**B.6** Social Security Number  
[Redacted]

**B.7** Telephone Number  
[Redacted]

**B.8** Email  
[Redacted]

**B.9** Emergency Contact Name  
[Redacted]

**B.10** Emergency Contact Phone Number  
[Redacted]

**c. Section C – Household Members**

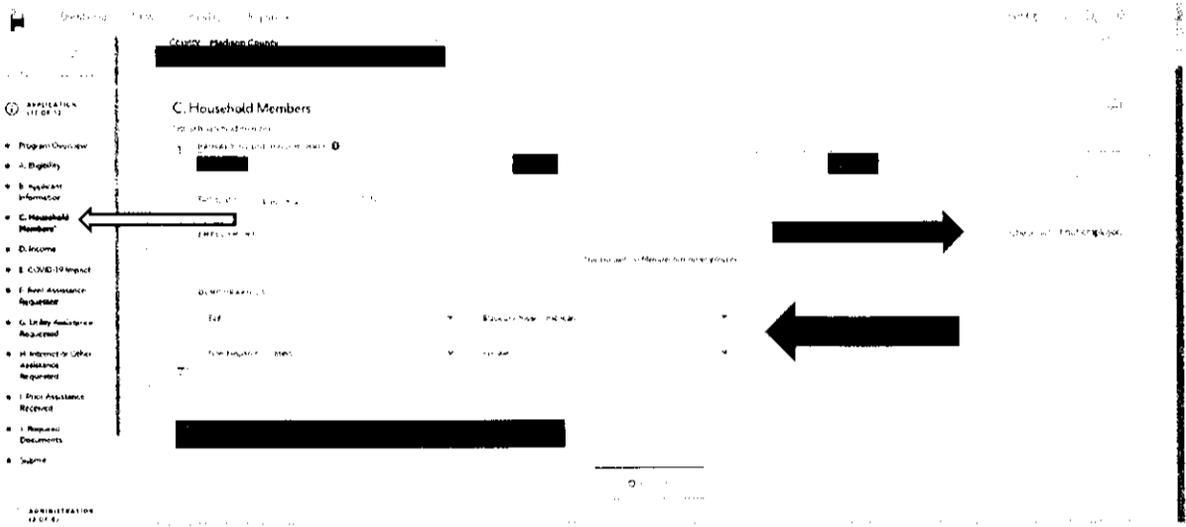
i. Verify that the primary household member listed in Section B.1 is the same name listed in Section C.1

ii. Verify that all household members are listed and that all have Social Security numbers included.

iii. Verify employment status of primary and secondary household members by reviewing the checkbox on the right-hand side of the screen. If checked, they are unemployed and will

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- require supporting documentation (Unemployment compensation, Cash and No Income Certification, other supporting instruments)
- iv. If the employment status box is unchecked, review the income verification documentation uploaded to the system in Section D – Income and Section J – Required Documents.
- iv. Ensure that the demographics sections have been completed for each household member.



**d. Section D – Income**

- i. If the Household Income Certification Method checked in a 2020 Federal Income Tax Return, verify that it has been loaded to the system for each household member using this selection.
- ii. If the Household Income Certification Method checked indicates that the applicant has not filed or does not have their 2020 Federal Income Tax Return, they are certifying their income sources through separate documentation. Ensure that this documentation is uploaded in this Section next to the appropriate household member and in Section J – Required Documents.

See illustration on following page.

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**HOUSEHOLD MEMBERS**

Household Member	Age	Gender	Total Income
1	50	Male	\$0.00
2	50	Female	\$0.00
3	50	Female	\$0.00
4	50	Female	\$0.00
<b>TOTAL INCOME</b>			<b>\$0.00</b>

- iii. The Reviewer will verify that the county matches the addresses shown in prior Sections.
  - 1. If the county does not match, the Reviewer may reopen and correct the entry to ensure that calculations against AMI are aligned with the correct location or return to the EA for correction.
- iv. The Reviewer will verify each income and/or No Income Certification form to ensure all amounts are recorded and aligned with the supporting documentation.
- v. The Reviewer will add all income amounts from each household member to ensure the AMI is below 80%. If the compiled total income excludes 80%, the applicant is not eligible.

**TOTAL COMBINED INCOME**

Household Member	Age	Gender	Total Income
5	50	Male	\$0.00
6	50	Female	\$0.00
<b>TOTAL COMBINED INCOME</b>			<b>\$0.00</b>

**e. Section E – COVID-19 Impact**

- i. The Reviewer will ensure that E.1 is checked “Yes”. If that box is checked “No”, the applicant May not be eligible. Review documentation, and, if necessary, return to the EA or reopen and correct the entry.

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**E. COVID-19 Impact**

**E1.** Have you experienced a loss of income due to COVID-19? (Select all that apply)

**E2.** This section is for applicants who have experienced a loss of income due to COVID-19. Please provide a written explanation of the conditions contributing to unemployment and inability to stay current on rent and utility obligations. Supporting documentation in the form of letters and confirmation attestations should be reviewed and confirmed that they are associated with the applicant. Ensure dates are relevant and applicable.

**APPROVAL** (3 of 6)

ii. Section E requires written explanations of conditions contributing to unemployment and inability to stay current on rent and utility obligations. Supporting documentation in the form of letters and confirmation attestations should be reviewed and confirmed that they are associated with the applicant. Ensure dates are relevant and applicable.

iii. Section E.2 includes a sub-section entitled "Incurred Significant Costs". If any of these boxes are checked, an explanation or supporting documentation is required.

**F. Rent Assistance Requested**

**F1.** Have you received an eviction notice? (Select all that apply)

**F2.** Do you have any other income sources? (Select all that apply)

**F3.** Have you experienced a loss of income due to COVID-19? (Select all that apply)

**F4.** Have you experienced a loss of income due to COVID-19? (Select all that apply)

**F5.** Landlord or Entity Name

**F6.** Address

**F7.** Phone Number

**F8.** Email Address

**APPROVAL** (3 of 6)

**f. Section F – Rent Assistance Requested**

i. Review F.1 and if the applicant has checked yes, they are required to upload the eviction notice. A green check mark will be present if uploaded. Review the notice to ensure it matches the street address and leaseholder accurately and that the date is relevant.

ii. Review F.5 – F.8 for Landlord or Entity Name, Address, Phone Number, & Email Address.

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ii. Ensure that the accounts numbers have been entered for each utility to facilitate payment to and credit for the correct applicant account.

The screenshot shows a software interface with a sidebar on the left containing menu items: U Income, E COVID-19 Impact, F Rent Assistance Requested, G. Utility Assistance Requested, H Income or Other Assistance Requested, I Price Assistance Requested, J Required Documents, and Submit. The main area displays a grid for 'G. Utility Assistance' with columns for months from September 2020 to July 2021. Rows are labeled G.1 through G.15. Arrows point to the following cells: G.1 (Sept 2020), G.2 (Oct 2020), G.3 (Nov 2020), G.4 (Dec 2020), G.5 (Jan 2021), G.6 (Feb 2021), G.7 (Mar 2021), G.8 (Apr 2021), G.9 (May 2021), G.10 (Jun 2021), G.11 (Jul 2021), G.12 (Sept 2020), G.13 (Oct 2020), G.14 (Nov 2020), G.15 (Dec 2020).

iii. Check Sections G.4, G.10 and G.15 to ensure that late fees or penalties for each utility have been entered here and not in the monthly consumption amount. If the entry method was incorrect, return to the EA for correction.

iv. Ensure that statements covering all periods for which assistance has been requested have been uploaded to the system for each utility. If they are not present, return the application to the EA for correction.

The screenshot shows the same software interface as above, but with arrows pointing to summary rows: G.4 Total Water/Sewer Request, G.5 Total Gas/Propane Request, G.9 Total Electric Request, G.10 Total Water/Sewer Request, G.11 Total Gas/Propane Request, and G.15 Total Electric Request. The grid columns are the same as in the previous screenshot.

The expectation for both rental assistance and utility assistance is that EAs have carefully reviewed each statement and checked to see that the amounts entered for each month are valid and that all late fees, penalties and miscellaneous costs have been entered into their respective cells.

There are cases where utility fees may be incorporated into a lease payment. It is the EAs responsibility to review the leases to determine if the utility fees are part of the lease. If that is determined to be the

*Handwritten signature/initials*

case, the utility amount will be incorporated into the lease amount. It is essential to carefully review the terms and conditions of each lease to determine whether the landlord is paying the utility directly or whether it is the responsibility of the tenant to pay the utility directly. Some lease language specifies that "failure of the tenant to pay utility fees constitutes a breach of contract and that the tenant specifically authorizes the landlord to pay the utility on the tenant's behalf with the recognition that those sums are now due the landlord from the tenant. If you are not sure, escalate to get support.

**h. Section H – Internet or Other Assistance Requested**

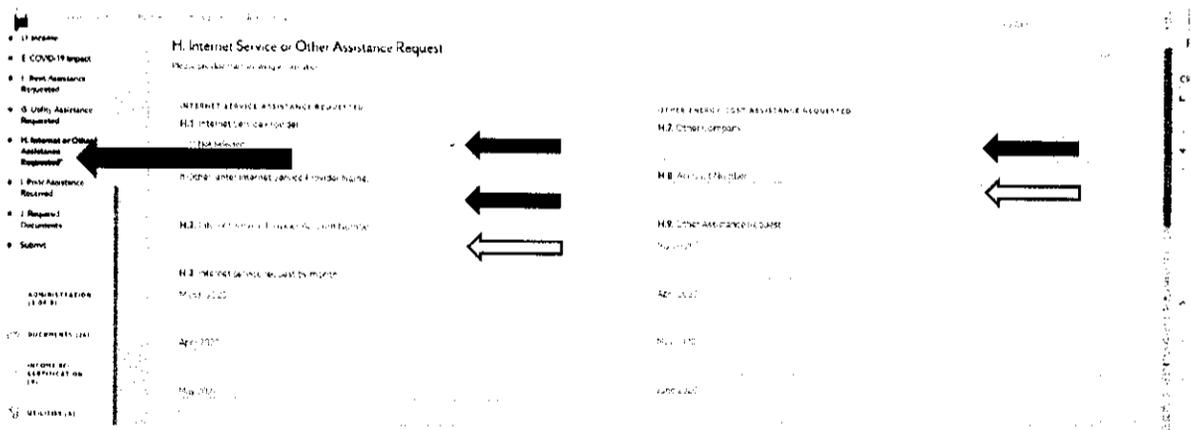
i. If Utility Assistance has been requested, ensure that Sections H.1 and H.7 have been utilized via the Drop-Down Boxes to select the appropriate Internet and Other Assistance companies.

1. If the associated utility provider is not in the drop-down box, ensure that the applicant or EA has entered the relevant provider in each section.

ii. Ensure that the accounts numbers have been entered for each utility to facilitate payment to and credit for the correct applicant account.

iii. Check Sections H.4 and H.11 to ensure that late fees or penalties for each utility have been entered here and not in the monthly consumption amount. If the entry method was incorrect, return to the EA for correction.

iv. Ensure that statements covering all periods for which assistance has been requested have been uploaded to the system for each utility. If they are not present, return the application to the EA for correction



**I. Section I - Prior Assistance Received**

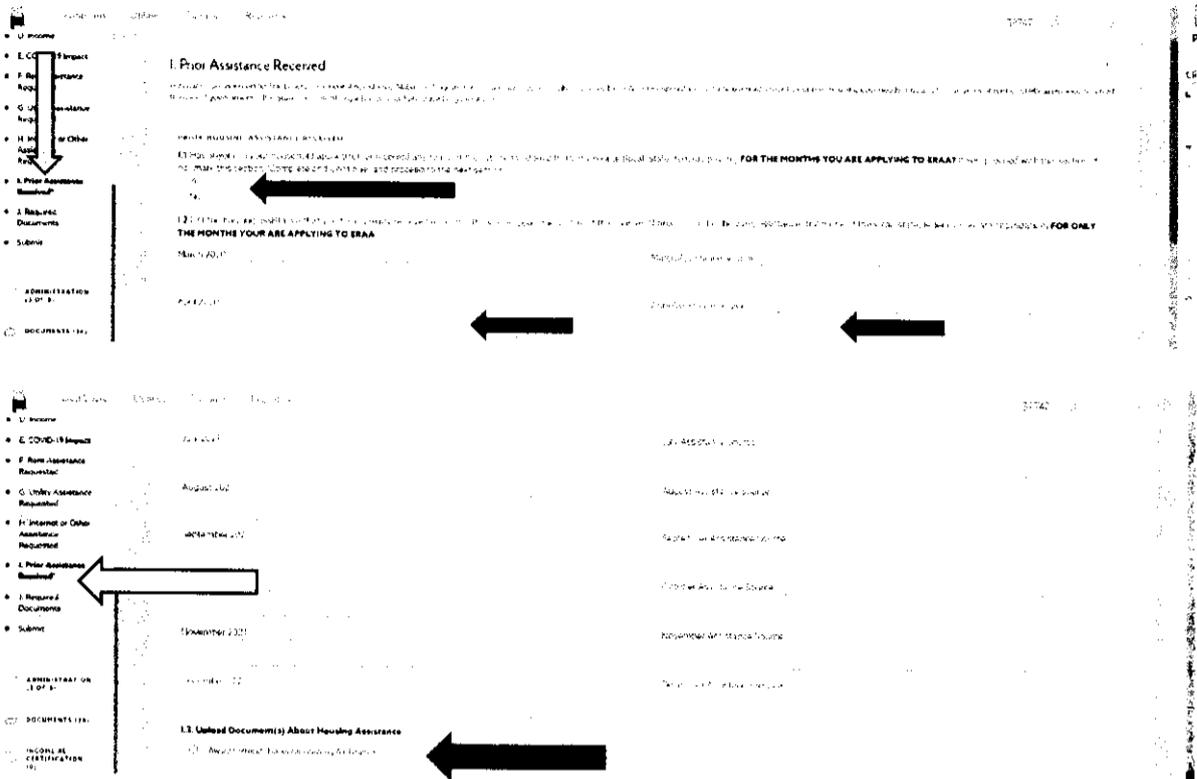
i. The Reviewer will check to see if Section I.1 has been checked "Yes" or "No". If checked "No", the Reviewer will continue to the next section, Section J. If checked "Yes" the Reviewer will ensure that the amount of assistance received for all months for which the applicant has requested assistance are entered below.

ii. For each month requested, the Reviewer will verify that the source of the assistance received.

iii. The Reviewer will check Section I.3 to ensure that Award Letters, Check copies or other validation of funds received have been uploaded to the system and verified against the entries.

iv. If the Reviewer finds errors or missing documentation in this Section, they will return the application to the EA for correction.

EX 7-1



**j. Section J – Required Documents**

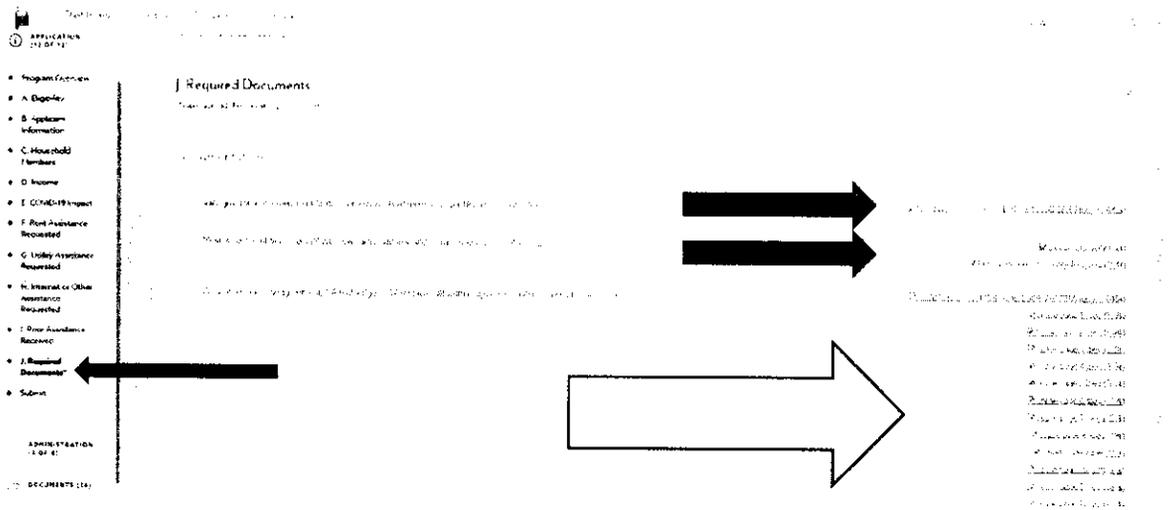
- i. Section J is reserved for copies of documents required by the program and, without which, final approval of assistance will be denied. The Reviewer will ensure that legible and complete copies of the lease with ALL pages including the signature pages; the most recent and comprehensive rental ledger that includes reference to the tenant and the address; and copies of valid government issued identification for all household members 18 years of age and older. (Note that the system states “over 18. We will work to correct that).
- ii. If any documentation necessary to complete the review and advance for payment are either illegible or haven’t been submitted for review, the Reviewer will return the application to the EA to obtain the necessary documentation.

**Audit: Pending Status**

Cases that have been moved to the Audit: Pending Status during eligibility review will be processed for advancement if all documentation has been certified as accurate and compliant; or, in the event investigation reveals that the applicant does not meet eligibility requirements, the QA/QC Supervisor will facilitate the denial notification through the system.

See illustration on following page:

487-1

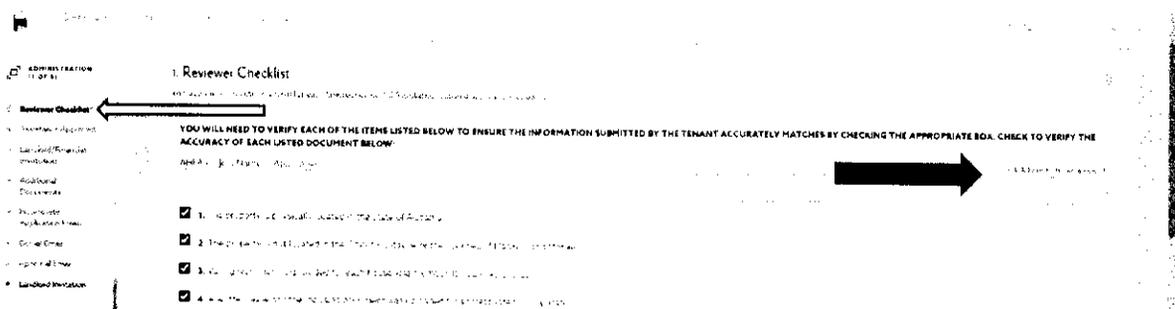


## B: TENANT ADMINISTRATION REVIEW

**OVERVIEW:** Following full review and action on the Tenant Application Review, the QA/QC Supervisor will advance to the Administration Section of the program. The activities required of the Reviewer here constitute the last opportunity to identify conditions that could prevent an accurate, compliant and successful application package from being completed and submitted for disbursement. Do not hesitate to return a package to the Analyst if, during verification of documentation and financial review, you discover issues that require resolution. Carefully document all tasks or notes to the Audit Log or Status Details to ensure that your guidance is clear and specific.

1. The Reviewer will click on the Reviewer Checklist, Section 1 of 8 in the Administrative Section of the Application on the far left of the Screen. You must verify each of the items listed to ensure the data submitted by the tenant, and the data entered in the system by the EA, accurately matches the documentation uploaded to the system.

a. Click on the link above the right-hand side of the grayed box under the heading to determine whether the subject property is, in fact, an TCC funded project.



EX 7-1

b. When selected, the link will produce an TCC Project Lookup Screen as shown below that will allow you to enter a port of the project name to drive identification as an TCC funded project or confirmation that it is not.

### AHFA PROJECT LOOKUP

Enter partial project name below to begin search

Id	Project Name

c. If the application has been flagged for additional information or failure to qualify, the check boxes beneath #28 of the Reviewer checklist will be appropriately checked.

- i. If Insufficient Documentation is noted, the application will be returned to the EA for additional work.
- ii. If evidence proves that the applicant does not qualify under program guidelines, ensure the correct factors are checked and validated. Note the reasons for the denial in the Audit Log.
- iii. If there are Other Reasons for denial of eligibility, they must be clearly articulated in the open box under the last checkbox. Use as much space as you need.

The screenshot shows a reviewer checklist interface. On the left is a sidebar with categories: ADMINISTRATION (2 OF 3), REVIEWER CHECKLIST, DOCUMENTS, and SIGNATURE. The main area is titled 'The Reviewer confirms all of the above required documentation are eligible and included in the package'. Below this are sections for 'Reason for insufficient Documentation' and 'If the tenant DOES NOT qualify, use the check boxes below to identify the reason(s)'. The 'Reason for insufficient Documentation' section has three checkboxes: 'Insufficient documentation provided', 'Lease or Rental agreement unclear', and 'Copy of financial reports/balance sheet required'. The 'If the tenant DOES NOT qualify...' section has four checkboxes: 'The applicant is not a legal entity as defined in the program', 'The applicant is making appropriate financial contribution to the community for their business operations and/or other activities', 'The applicant is not a legal entity as defined in the program', and 'The applicant is not a legal entity as defined in the program'. Below these is a text box for 'If denied for other reasons, please explain below'. At the bottom right is a 'Complete Review' button. Three black arrows point to the 'REVIEWER CHECKLIST' sidebar, the 'If denied for other reasons...' text box, and the 'Complete Review' button.

607-1

d. If the Reviewer Checklist has not already been signed and completed as evidenced by the Reviewer signature with time and date stamp, the Reviewer will complete the Administrative tasks before finalizing the Checklist and advancing the application.

2. Section 2, 3 & 4 – Assistance Approved, of the Administration activities, is arguably the most important review activity outside of determining applicant eligibility. As mentioned in the initial introduction to QA/QC Review, it is the Reviewers’ responsibility to ensure that the Approved Assistance Worksheet, which includes tabs to calculate allowable assistance for Rent, Utilities, Internet, and other Energy costs, is the core source of accurate data that will be used to populate Section 2 – Rent Assistance Approved, Section 3 – Utility Assistance Approved, and Section 4 – Internet Assistance Approved of the Administration Section. It is the EAs responsibility to populate each of these final worksheets and the QA/QC Supervisors’ role to check their accuracy.

a. Reviewing the Approved Assistance Worksheet is Step 1. In order to validate its accuracy, the Reviewer must open supporting documents for each Tab of the Worksheet.

i. **Tab 1 – Rental Assistance**

- Lease
- Rental Ledger
- Section F of Application – Rental Assistance Requested
- Section 2 of Administration – Rental Assistance Approved

1. The Reviewer will scan the Lease to validate monthly rent, allowable late charges and fees, and any reference to utilities paid for to the Landlord as stipulated in the lease.

2. The Reviewer will inspect the rent ledger to ensure that the sum of the rental arrears, accrued late fees and miscellaneous charges, and the prospective future rent calculated on the Approved Assistance Worksheet is accurately transcribed on both the Section F. of the Application Section and the Rental Assistance Approved Worksheet in Section 2 of the Administration Section.

Month / Year	Rental Assistance Requested	Total Billed Per Statement	Retraction Adjustment	Rental Assistance Approved	Basis for Adjustment	Supplemental Information
Month / Year Beg Balance				\$0.00		
March 2020 (use prorated factor of 61%)				\$0.00		Full Ledger - Section 1
Apr-20				\$0.00		
May-20				\$0.00		
Jun-20				\$0.00		
Jul-20	\$1,200.00	\$1,200.00	\$800.00	\$400.00	Applicant eligible for adjusted support	
Aug-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Sep-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Oct-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Nov-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Dec-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Jan-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Feb-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Mar-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Apr-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
May-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
Jun-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
Jul-21				\$0.00		
Aug-21				\$0.00		
Sep-21				\$0.00		
Oct-21				\$0.00		
Nov-21				\$0.00		
Dec-21				\$0.00		
Late fees / Penalties / Miscellaneous		\$1,080.00		\$1,080.00	Applicant eligible for adjusted support	
<b>Totals</b>	<b>\$14,400.00</b>	<b>\$11,880.00</b>		<b>\$14,680.00</b>		
<b>Total Arrears per Statement</b>		<b>\$10,000.00</b>		<b>\$10,000.00</b>		
			<b>Fees</b>	<b>\$1,080.00</b>		
			<b>Total past due</b>	<b>\$11,080.00</b>		
			<b>Future</b>	<b>\$3,600.00</b>		

EX 7-1

3. The Reviewer will validate that late fees and miscellaneous expenses have been reported in the correct section of the Rental Assistance Approved worksheet and that all the associated worksheets' values align exactly.

ii. **Tab 2, 3 & 4– Water-Sewer-Waste; Gas; Power Utilities Assistance (Documentation necessary)**

- Lease
- Utility bills for all months requested
- Section G of Application – Utility Assistance Requested
- Section 3 of Administration – Utility Assistance Approved

1. The Reviewer will scan the Lease to validate any reference to utilities and associated late fees paid for to the Landlord as stipulated in the lease.

2. The Reviewer will verify that referenced utility companies have been added to the Neighborly system to ensure alignment with budget creation activities.

3. The Reviewer will verify that monthly charges and late fees are entered in the correct cells of the system and the Approved Assistance Worksheet.

4. For future months requested, the Reviewer will verify that the amounts requested are based on the actual monthly charges of the most recent month.

5. The Reviewer will verify that the related support and request documents are all in alignment.

iii. **Tab 5 – Internet and other Energy Costs Assistance (Documentation necessary)**

- Provider bills or statement for all months requested
- Section G of Application – Internet Assistance Requested
- Section 4 of Administration – Internet Assistance Approved

1. The Reviewer will review at least one statement to ensure that any charges from the provider related to telephone or entertainment features, such as cable or satellite TV, have not been included in the approved assistance cells.

The Reviewer will verify that referenced utility companies have been added to the Neighborly system to ensure alignment with budget creation activities.

3. The Reviewer will verify that monthly charges and late fees are entered in the correct cells of the system and the Approved Assistance Worksheet.

4. For future months requested, the Reviewer will verify that the amounts requested are based on the actual monthly charges of the most recent month.

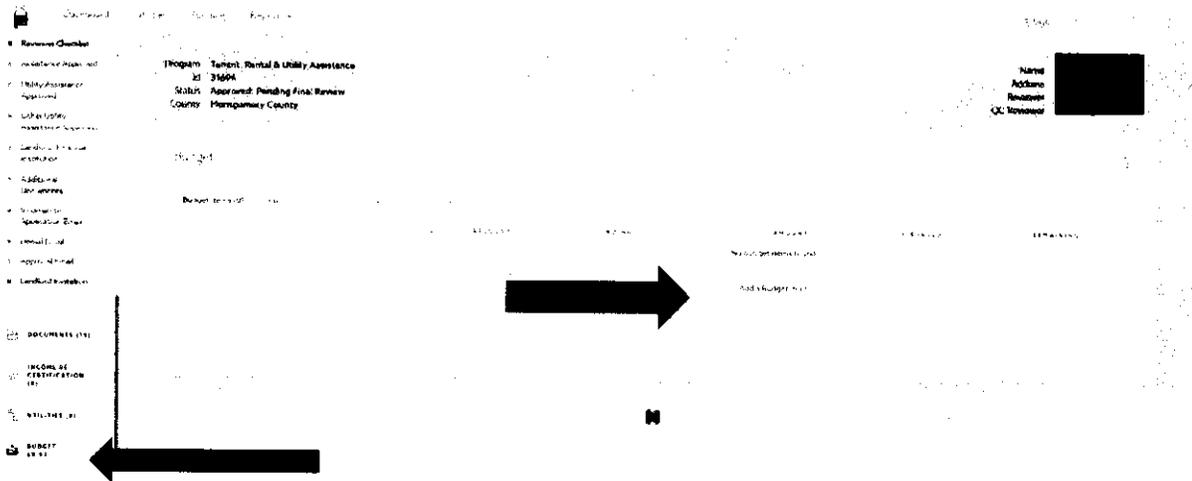
5. The Reviewer will verify that the related support and request documents are all in alignment.

3. Creating the Budget is the final step in validation of the amounts requested and allowable for each of the assistance categories. The budget categories are:

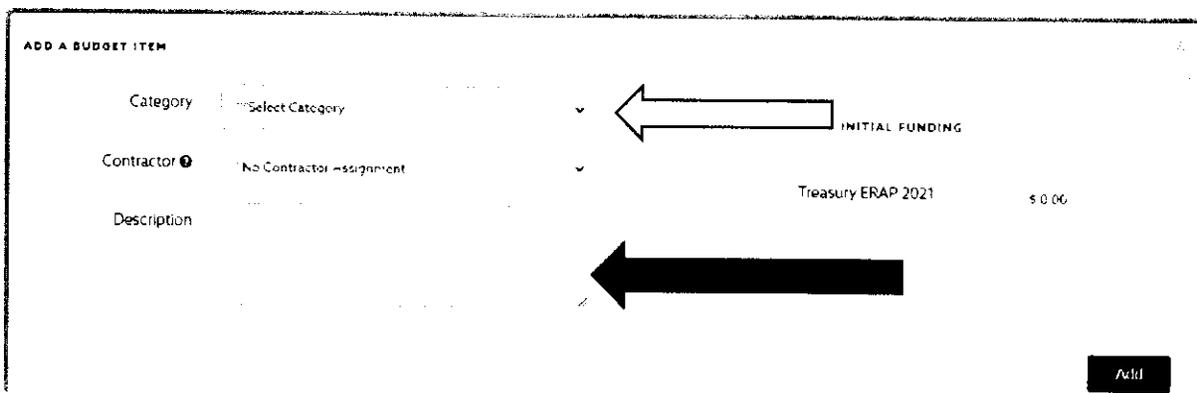
- Rental Assistance – Landlord
- Rental Arrears – Landlord
- Utility Assistance
- Utility Arrears
- Internet Assistance (Pending change to system)
- Internet Arrears (Pending change to system)
- Rental Assistance – Tenant
- Rental Arrears – Tenant

EX 7-1

- The Reviewer will click on the Budget icon on the left side of the Application and Administration menu as shown below.
- The Reviewer will click on the "Add a Budget Item" button to initiate the budget process.



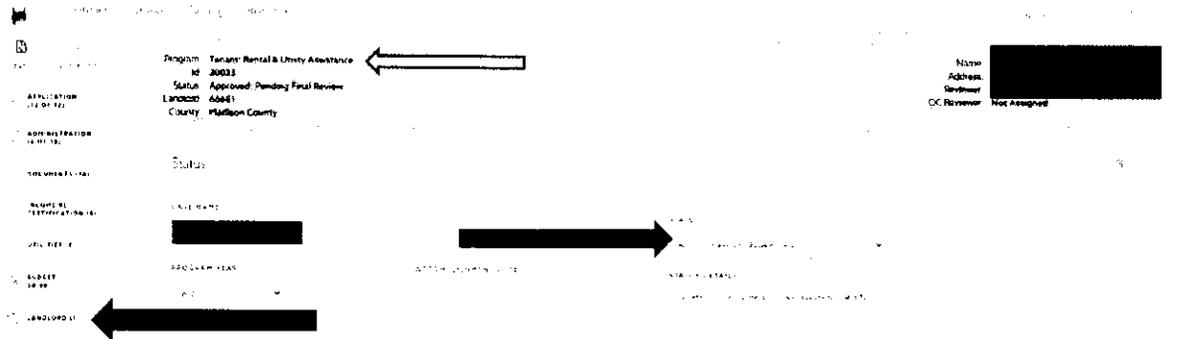
- The screen below will allow the Reviewer to pick a category for each budget item and to include a description in the open Description box. The categories listed above provide clear guidance for each budget entry. It is critical that the budget request align exactly with the Approved Assistance Worksheet tabs and the Administration Sections 2, 3, & 4 inclusive of late and miscellaneous fees. Ensure any factors associated with a budget that may require explanation are defined accurately in this section.



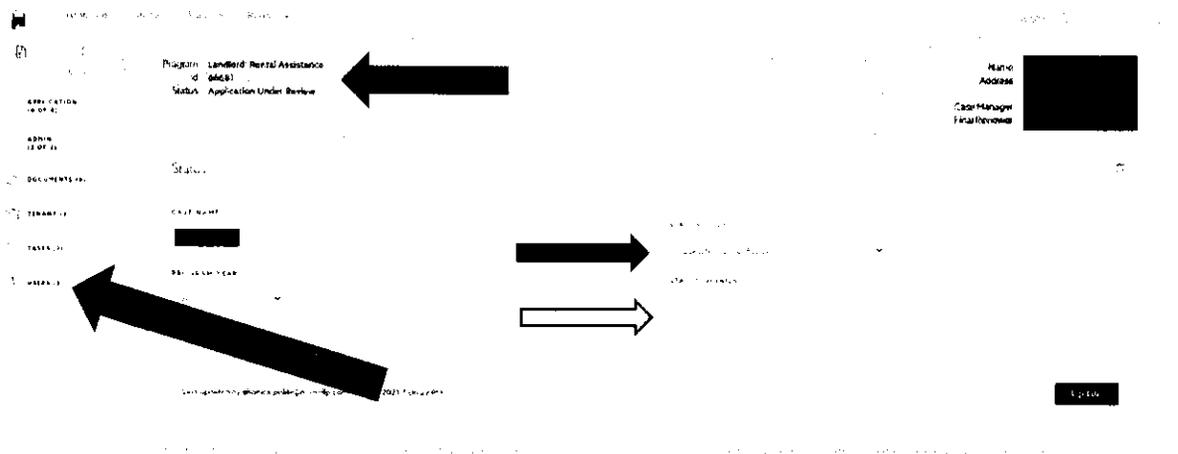
- The Reviewer will ensure that Arrears reflect all amounts due or past due and that Assistance Approved Admin sheet values are accurately input for Rent, Utilities, Internet and Other Costs budgeted items. Remember that current and arrears are two separate budget entries.
- The Reviewer will ensure that the total months of assistance does not exceed program guidelines. Those current guidelines limit applicant to 12 months of rental, utility and internet assistance and 3 months of prospective or future assistance subject to funds availability. Applicants may be required to re-apply for assistance.

27-1

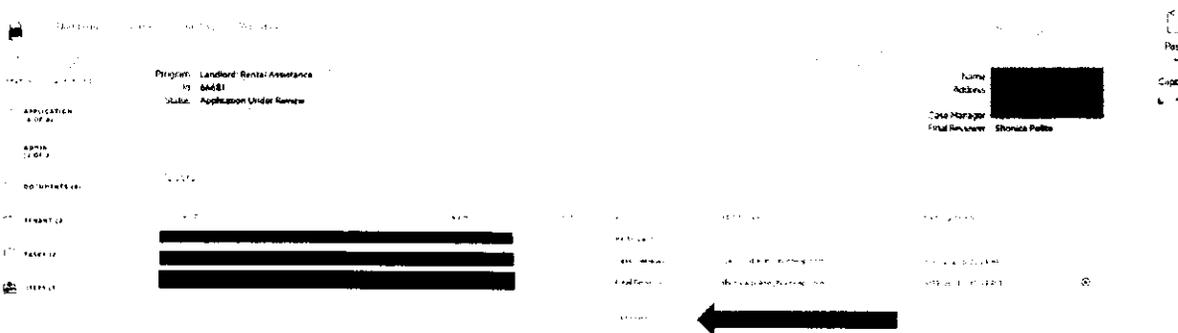




3. The subject case status and name will appear along with any status details and the time and date stamp reference to the last time this application was updated. The Reviewer will select “Users” to add themselves as a User (Final Reviewer)



4. Following selection of the Users button, the Reviewer will see the following screen that will allow addition and identification of the Reviewer’s role.



\*\* See role selection screen on following page:

ex 7-1

ADD USER TO CASE

Role Not Selected

User Select Role First

Add

5. The Reviewer will select Application Section A. Landlord Information from the Menu on the left side of the screen and verify the following information.

PROPERTY INFORMATION

A.1. Unit Number (This is the top of the unit)

A.2. Unit Number (This is the top of the unit)

A.3. Unit Number (This is the top of the unit)

A.4. Unit Number (This is the top of the unit)

A.5. Unit Number (This is the top of the unit)

PROPERTY CONTACT INFORMATION

A.10. Unit Number (This is the top of the unit)

A.11. Unit Number (This is the top of the unit)

A.12. Unit Number (This is the top of the unit)

A.13. Unit Number (This is the top of the unit)

Save

- a. Open the uploaded W9 found under Section A.8 and verify that the information matches with the application information and that the signature of the relevant entity or person is present.
- b. Open the Proof of Ownership found under Section A.9, either a deed, a property tax statement, or other valid proof and ensure that the address of the supporting document matches the address shown on the tenant application.
- c. If A10 includes an TCC project name, check the name against the record for accuracy. There are many similarly named multi-family properties.

See illustration on following page:

2021

The screenshot shows the 'Application' section of the TCERAP program. The left sidebar lists sections: Application (1 of 4), Program Overview, A. Landlord Information, B. Tenant's Information, Admin (1 of 3), Landlord Application Review, and Vendor. The main content area shows sections A.6 through A.10. Section A.8, 'Total Monthly Rent', includes fields for 'Monthly Rent' and 'Past Due Rent', with arrows pointing to them. Section A.10, 'APPROVED HOME ADDRESS', has an arrow pointing to it.

6. Continue to Section B – Landlord Information of the Application to verify the following data points:

- Lease Dates
- Monthly Rent
- Past Due Rent
- Total Late Fees

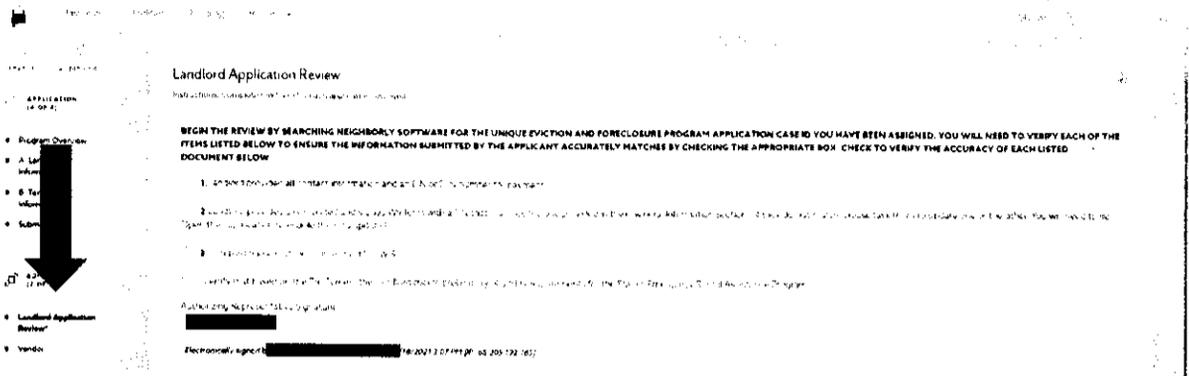
The Reviewer will compare the totals shown in each category with the amounts shown on the Approved Assistance Worksheet and the Assistance Approve Administration table in the Tenant Application. If there are any discrepancies, notify the EA and correct the errors.

The screenshot shows the 'B Tenant's Information' section. It features a table with columns for 'NAME', 'LEASE DATES', 'MONTHLY RENT', 'PAST DUE RENT', and 'TOTAL LATE FEES'. Arrows point to these columns. Below the table is a 'Submit' button with an arrow pointing to it. The 'Admin' section below shows 'Enrollment Status' with an arrow pointing to it.

7. Following completion of step 6 above and validation that the Submit section was completed and executed by the Landlord, the Reviewer will advance to the Admin Section.

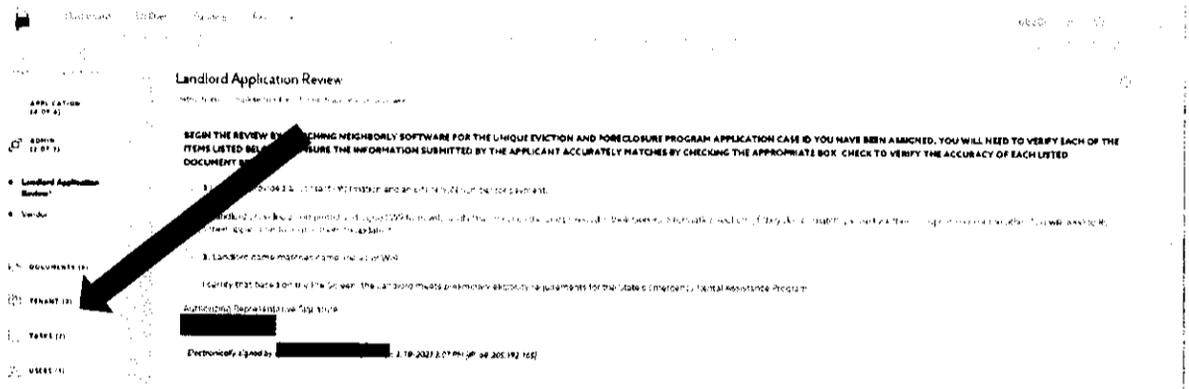
See illustration on following page:

EX 7-1

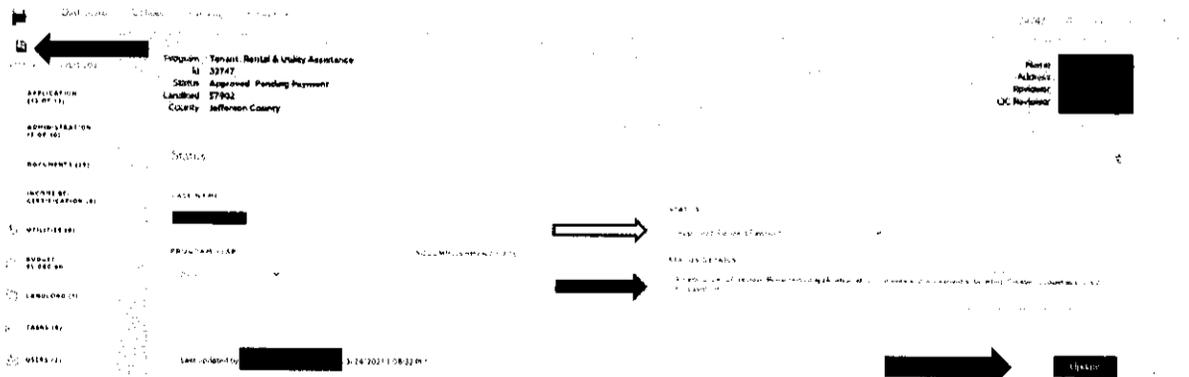


8. Following verification that all required documentation is attached and that all actions have been completed by the Landlord, the QA/QC Supervisor will update the status of the application to “Reviewer Approved for Payment”.

9. In the event that further documentation or correction is required, the QA/QC Supervisor will update the status to “Pending Landlord Information”.



10. The QA/QC Supervisor will update the tenant application status to “Approved Pending Payment” if both the tenant and the landlord application are complete and compliant. Press the Update button.



This completes the QA/QC process.

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## Exhibit A – Approved Assistance Worksheet

Tab 1. Rental Assistance Requested Worksheet

APPLICANT NAME	Subject Tenant
Case #	34225

Month / Year	Total Assistance Requested	Total Billed Per Statement	Reconciliation Adjustment	Rental Assistance Approved	Basis for Adjustment	Supplemental Information
<b>Beg Balance</b>		\$10,000.00				
March 2020 (use prorated factor of 61%)				\$0.00		Full Ledger - Section J
Apr-20				\$0.00		
May-20				\$0.00		
Jun-20				\$0.00		
Jul-20	\$1,200.00	\$1,200.00	\$800.00	\$400.00	Applicant eligible for adjusted support	
Aug-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Sep-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Oct-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Nov-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Dec-20	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Jan-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Feb-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Mar-21	\$1,200.00	\$1,200.00		\$1,200.00	Applicant eligible for adjusted support	
Apr-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
May-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
Jun-21	\$1,200.00			\$1,200.00	Applicant eligible for adjusted support	
Jul-21				\$0.00		
Aug-21				\$0.00		
Sep-21				\$0.00		
Oct-21				\$0.00		
Nov-21				\$0.00		
Dec-21				\$0.00		
Late Fees / Penalties / Miscellaneous		\$1,080.00		\$1,080.00	Applicant eligible for adjusted support	
<b>Totals</b>	<b>\$14,400.00</b>	<b>\$11,880.00</b>	<b>\$800.00</b>	<b>\$14,680.00</b>		
<b>Total Arrears per Statement</b>		<b>\$10,000.00</b>	Arrears	<b>\$10,000.00</b>		
			Fees	<b>\$1,080.00</b>		
			<b>Total past due</b>	<b>\$11,080.00</b>		
			Future	<b>\$3,600.00</b>		

*207-1*

Tab 2, 3 & 4. Utilities Assistance Requested Worksheets for Gas, Power, Internet & Other Costs

APPLICANT NAME	
Case #	

Month / Year	Total Assistance Requested	Total Billed Per Statement	Total Paid Per Statement	Utility Assistance Approved	Basis for Adjustment	Supplemental Information
Beginning Balance		\$0.00				
March 2020 (use prorated factor of 61%)	\$0.00	\$0.00	\$0.00	\$0.00		
Apr-20	\$0.00	\$0.00	\$0.00	\$0.00		
May-20	\$0.00	\$0.00	\$0.00	\$0.00		
Jun-20	\$0.00	\$0.00	\$0.00	\$0.00		
Jul-20	\$0.00	\$0.00	\$0.00	\$0.00		
Aug-20	\$0.00	\$0.00	\$0.00	\$0.00		
Sep-20	\$0.00	\$0.00	\$0.00	\$0.00		
Oct-20	\$0.00	\$0.00	\$0.00	\$0.00		
Nov-20	\$0.00	\$0.00	\$0.00	\$0.00		
Dec-20	\$0.00	\$0.00	\$0.00	\$0.00		
Jan-21	\$0.00	\$0.00	\$0.00	\$0.00		
Feb-21	\$0.00	\$0.00	\$0.00	\$0.00		
Mar-21	\$0.00	\$0.00	\$0.00	\$0.00		
Apr-21	\$0.00	\$0.00	\$0.00	\$0.00		
May-21	\$0.00	\$0.00	\$0.00	\$0.00		
Jun-21	\$0.00	\$0.00	\$0.00	\$0.00		
Jul-21	\$0.00	\$0.00	\$0.00	\$0.00		
Aug-21	\$0.00	\$0.00	\$0.00	\$0.00		
Sep-21	\$0.00	\$0.00	\$0.00	\$0.00		
Oct-21	\$0.00	\$0.00	\$0.00	\$0.00		
Nov-21	\$0.00	\$0.00	\$0.00	\$0.00		
Dec-21	\$0.00	\$0.00	\$0.00	\$0.00		
Late Fees / Penalties / Miscellaneous	\$0.00	\$0.00	\$0.00	\$0.00		
<b>Totals</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		

Basis For Adjustment	Definitions
Request is greater than document evidence	Applicant request exceed the amounts justified in the supporting documentation
Request is less than document evidence	Applicant request is less than eligible amounts justified in the supporting documentation
Applicant eligible for support not requested	Applicant failed to enter request for eligible amounts justified in the supporting documentation
This period not eligible for support	Applicant entered requests for amounts not eligible under Program Guidelines
Applicant eligible for adjusted support	Adjust amounts entered have been vetted and are eligible for support
Late Fee Request less than document evidence	Applicant requested late fee amounts less than the amounts justified in supporting documentation

tx 7-1

## Exhibit B – Approved Assistance Worksheet SOP

**OVERVIEW:** This SOP is structured to provide EAs and QA/QC Supervisors a standard process for entering Rental Assistance Requested in the Approved Assistance Worksheet and subsequently utilizing rental ledgers to calculate the Rental Assistance Approved for each application. Remember, that all rental payments and late fees apply to “Arrears” first.

The deliverable for each of these Worksheet exercises is an accurate and compliant report that provides the Landlord and the Tenant with the full Rental Assistance for which they are eligible under program guidelines.

### Phase 1 – Entering Rental Assistance Requested in the Reconciliation Worksheet Template

Step 1. Open Section 2 of the Administrative section of the Tenant’s application.

- a. Open a copy of the rental ledger uploaded to the system
- b. Open a copy of the executed lease to ensure the rental amount and fees are accurate prior to loading into the Reconciliation W
- c. Open the Reconciliation Worksheet Template

Step 2. Enter the Applicant’s name in Cell B1 of the Worksheet Template

Step 3. Enter the Applicant’s Case # in Cell B2 of the Worksheet Template

Step 4. Using the Assistance Approved sheet in Section 2 of the Administrative section, enter the amount of rent requested for each month, and the total of Late & Miscellaneous fees requested, in the associated Cells of Column B of the Reconciliation Worksheet Template. (Note: Late & Miscellaneous Fees are a total for all months added into one Cell B-28 on the Section 2 Worksheet)

Step 5. Use the Worksheet Template to calculate the sum the Total Rent Assistance Requested and the total Late Fees Requested in Cell B-28 of the Worksheet and Sum the total of Rent and Fees in Cell B-29 of the Worksheet.

### Phase 2 – Entering the Total Billed Per Statement Column C in the Reconciliation Worksheet Template.

Step 6. Total the sum of ALL “balance due” rent, less and except Late and Miscellaneous Fees, as represented in the rental ledger or rental statement. Enter this Total in Cell C30 of the Reconciliation Worksheet Template as a reference.

Step 7. Total the sum of ALL “balance due” Late and Miscellaneous Fees as represented in the rental ledger or rental statement. Enter this Total in Cell C28.

Step 8. Using the value saved in Cell C30 of the Reconciliation Worksheet Template, divide by the amount of the monthly rent as stipulated in the lease and referenced in the rental ledger or rental statement.

Example: If the rent per month is \$1200.00, and the value saved in Cell C30, representing the balance due the Landlord as of the date of the statement, is \$10,000, then the number of

tx 7-1

months of past due rent, regardless of the period over which the deficiency occurred, equals 8.33 months.  $\$10,000 \div 1200 = 8.33$  Months of Monthly rent due.

Step 9. Enter \$1200 in Cell C18, the cell representing March 2021 (current month). (The same logic applies if you are performing the same activity during the Month of April. Enter the monthly rent amount in that month.)

Step 10. Drag the \$1200 value in Cell C18 upwards in Column "C" for a total of 8 more months with the final \$1200 value entered in Cell C10, July 2020. The Total Rent Billed per Statement will total \$10,800.  $\$1200 \times 9 = \$10,800$ .

Step 11. Validate the total amount of Late and Miscellaneous Fees that were entered in the rental ledger or rental statement in Cell C28. Assume, for this exercise, a total value of \$1,080, representing late fees of \$120 per month for 9 months.

Step 12. Auto Sum the total of all Column "C" values in Cell C29. The combined values of Rent and Late and Miscellaneous Fees are \$11,880. Example: \$10,800 total rent billed per statement for the months from July 2020 to March 2021 plus the \$1,080 of late fees accrued = \$11,880.

Step 13. The value in Cell C29 should exceed the total amount of balance due for the combined rent and late or miscellaneous fees shown on the rental ledger or rental statement.

Phase 3. Reconcile Total Applied per Statement

Step 14. Subtract the value in C30, which represents the Total Balance Due for Rent from the value in sum of Cells C10 – C18. It is critical that the EA recheck the "balance due" per statement and ensure the amount shown was calculated without any late or miscellaneous fees included. The sum of those values is \$10,800.

- a. Validate the values of the late and miscellaneous fees entered in Cell C28 have been separated from the rent due and can be reconciled on the statement.

Step 15. The remainder of the calculation is: The Total of Rent Arrears on the rental ledger (\$10,000) is subtracted for the sum of the values in Cells C10-C18 (\$10,800). The result represents the amount to be entered into the D Column to balance amounts applied to the statement against the sum of the Total Amount Billed per Statement.

Step 16. Enter the value of \$800 into Cell D10 and ensure the Auto Sum feature is entered into Cell D29. The attached Worksheet example has included a formula in Cell D10 that completes the calculation for you. " $=\text{sum}(C10:C18)-C30$ ".

Step 17. Ensure that Future Rents are entered in Column B. In this example, three months, April, May and June, have been approved for future rent and carried into Column E.

Step 18. Review Column E of the Reconciliation Worksheet, "Assistance Approved" to verify that all values from Columns C and D have been properly carried over to reflect the correct result.

Step 19. The net result of the Rental Assistance tab of the Worksheet is:

Total Arrears Rent Approved:	\$10,000.00
Total Late/Miscellaneous Fees Approved:	\$ 1,080.00
Total Future Rent Approved:	<u>\$ 3,600.00</u>
<b>TOTAL ALL CATEGORIES – SEE Cell C29</b>	<b><u>\$ 14,680.00</u></b>

EP 7-1

Step 20. Select the appropriate descriptor in the Dropdown menu of Column F for all rows with entries.

Step 21. If supplemental information is necessary, please complete your entries in Column G.

Ex 7-1

## Exhibit C – Application Absent a Written Lease SOP

**OVERVIEW:** This SOP is structured to provide EAs and QA/QC Supervisors the step by step process for managing applications where a verbal agreement absent a written lease has been stipulated by the Landlord and the Tenant. It is essential that the reviewer follows and documents this procedure step by step. The final determination of satisfactory documentation is governed by this SOP and the guidelines established in the Department of the Treasury Frequently Asked Questions, Section 5, in particular, and as further regulated under the terms and conditions defined in the Consolidated Appropriations Act adopted December 27, 2020.

**Application Status:** Landlord and/or Tenant indicate that no written lease exists for the period assistance has been requested.

**Program Requirement:** The Grantee (TCERAP) must document where an applicant resides and the amount of rent or rental arrears owed.

**Step 1.** Grantees must obtain, if available, a current lease, signed by the applicant and the landlord or sublessor that identifies the unit where the applicant resides and establishes the rental payment amount. If the Landlord and/or Tenant indicates not written lease exists for the period assistance has been requested, proceed to Step 2.

**Step 2.** Absent a lease signed by both the Landlord and the Tenant, the EA shall request documentation of residency which may include one of the following alternate verification methods:

- 1) Utility service statements for the specified unit and address in the name of the applicant for the time periods assistance is requested, **OR**
- 2) A written attestation from the Landlord who can be identified as the verified owner or management agent of the subject property using a deed, property tax statement or other acceptable documentation as defined in this SOP, **OR**
- 3) If the Landlord or the management agent is unable to provide acceptable proof of ownership as described above, the EA shall advance the Case to the relevant QA/QC Supervisor for per-determination that the Application should be Denied, **AND...**

**Step 3.** The EA shall request evidence of the amount of a rental payment which may be established through provision of documentation that reasonably establishes a pattern of paying rent:

- 1) Provision of bank statements that include verifiable payments made by the Tenant to the Landlord for the periods for which assistance is requested, **OR**
- 2) Check stubs from the Tenant to the Landlord for the periods for which assistance is requested, **OR**

ex 7-1

- 3) 2020 Income Tax returns that identify revenue and expenses associated with the specific property for which assistance is requested sufficient to show a pattern of rent receipts equal to the amounts stipulated in the request, **OR**
- 4) A written attestation from the Landlord who can be identified as the verified owner or management agent of the subject property, using a deed, property tax statement or other acceptable documentation as defined in this SOP, that clearly stipulates the monthly rent, the term of the agreement, late fees, other associated fees, and any special provisions associated with utilities provided, and any other agreement requirements, **OR**
- 5) Should the Landlord or Tenant be unable to meet the standards defined in this SOP, proceed to Step 4.

**Step 4.** If an applicant is able to provide satisfactory evidence of ownership as defined above, but is **NOT** able to present adequate documentation of the amount of the rental obligation, TCERAP **MAY** accept a Written Attestation from the applicant to support the payment of assistance up to a monthly maximum of 100% of the greater of the Fair Market Rent for the area in which the applicant resides, as most recently determined by HUD and made available at: <https://www.huduser.gov/portal/datasets/fmr.html>.

HUD's Office of Policy Development and Research (PD&R) is pleased to announce that Fair Market Rents and Income Limits data are now available via an application programming interface (API). With this API, developers can easily access and customize Fair Market Rents and Income Limits data for use in existing applications or to create new applications. To create an account and get an access token, please visit the API page here: <https://www.huduser.gov/portal/datasets/fmrapi.html>

Fair Market Rents (FMRs) are used to determine payment standards for the Housing Choice Voucher program, to determine initial renewal rents for some expiring project-based Section 8 contracts, to determine initial rents for housing assistance payments (HAP) contracts in the Moderate Rehabilitation Single Room Occupancy program (Mod Rehab), rent ceilings for rental units in both the HOME Investment Partnerships program and the Emergency Solution Grants program, calculation of maximum AA and amounts for Continuum of Care recipients and the maximum amount of assistance for properties leased with Continuum of Care funds, and calculation of fair rents in Public Housing units. The U.S. Department of Housing and Urban Development (HUD) estimates FMRs for Office of Management and Budget (OMB) defined metropolitan areas, some HUD defined subdivisions of OMB metropolitan areas, and some non-metropolitan county. 42 USC 1437f requires FMRs be posted at least 30 days before they are effective and that they are effective at the start of the federal fiscal year (October 1).

Fair Market Rents for 2021: \$16,944 (1,547) - 236.08

2021 2020 2019 2018 2017 Year - History Survey Information

Query Tool Documents Data

**FY 2021 Fair Market Rent Documentation System**

This system provides complete documentation of the development of the FY 2021 Fair Market Rents (FMRs) for any area of the country selected by the user. After selecting the desired geography, the user is provided a page containing a summary of how the FY 2021 FMRs were developed and updated starting with the formation of the FMR Areas from the metropolitan Core-Based Statistical Areas (CBSAs) as established by the Office of Management and Budget, the newly available 2018 American Community Survey (ACS) 1 year data and the newly available 2014-2018 5 year data, and updating to FY 2021 including information from local survey data. The tables on the summary page include links to complete details.

On this website, select the year 2021 and click on that link. It will bring you to this page:

See illustration on following Page and click on the ERAP FMR Lookup button:

ex 7-1

- 2021
- 2020
- 2019
- 2018
- 2017
- 2021 v
- History
- Survey Information

Query Tool Documents Data

### FY 2021 Fair Market Rent Documentation System

This system provides complete documentation of the development of the FY 2021 Fair Market Rents (FMRs) for any area of the country selected by the user. After selecting the desired geography, the user is provided a page containing a summary of how the FY 2021 FMRs were developed and updated starting with the formation of the FMR Areas from the metropolitan Core-Based Statistical Areas (CBSAs) as established by the Office of Management and Budget, the newly available 2018 American Community Survey (ACS) 1 year data and the newly available 2014-2018 5 year data, and updating to FY 2021 including information from local survey data. The tables on the summary page include links to complete detail on how the data were developed.

[Click Here For FY2021 FMRs](#)

The Department of the Treasury's Emergency Rental Assistance Program allows grantees to make payments to households up to the maximum of the applicable Fair Market Rent or Small Area Fair Market Rent in cases where the household does not have documentation of actual rent paid. The following table shows the maximum of the Fair Market Rent or Small Area Fair Market Rent by bedroom size. For more information about the Emergency Rental Assistance Program, please visit [https://home.treasury.gov/policy-issues/eres/emergency-rental-assistance-program](https://home.treasury.gov/policy-issues/eres/eres-emergency-rental-assistance-program).

[E-RAAP FMR Lookup](#)

Upon selecting the button above, you will be brought to the following page. Click on Alabama and select:

FY 2021 MAXIMUM FMR LOOKUP SYSTEM FOR THE EMERGENCY RENTAL ASSISTANCE PROGRAM -- SELECT GEOGRAPHY

Select a metropolitan area to view its Fair Market Rents:  
Abilene, TX MSA

Select a county.

First select a state:

- Alabama - AL
- Alaska - AK
- American Samoa - AS
- Arizona - AZ
- Arkansas - AR
- California - CA
- Colorado - CO
- Connecticut - CT
- Delaware - DE
- District of Columbia - DC

Then select a county:

[HUD Home Page](#) | [HUD User Home](#) | [Data Sets](#) | [Fair Market Rents](#) | [Section 8 Income Limits](#) | [FMR/IL Summary System](#) | [Multifamily Tax Subsidy Project \(MTSP\) Income Limits](#) | [HUD LIHTC Database](#)

Technical Problems or questions? [Contact Us](#)

The next screen will allow you to select the applicant's county: Select the county (Tuscaloosa) and you will be brought to the final screen:

See the illustration on the following page to complete the validation of the Fair Market Rent

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**FY2021 ERAP MAXIMUM FMR LOOKUP SYSTEM FOR THE EMERGENCY RENTAL ASSISTANCE PROGRAM -- SELECT GEOGRAPHY**

Select a metropolitan area to view its Fair Market Rents:  
Abilene, TX MSA

Select Metropolitan Area

Or select a county.

First select a state:  
Alabama - AL  
Alaska - AK  
American Samoa - AS  
Arizona - AZ  
Arkansas - AR  
California - CA  
Colorado - CO  
Connecticut - CT  
Delaware - DE  
District of Columbia - DC

Then select a county:  
Geneva County, AL  
Greene County, AL  
Hale County, AL  
Henry County, AL  
Houston County, AL  
Jackson County, AL  
Jefferson County, AL  
Lamar County, AL  
Lauderdale County, AL  
Lawrence County, AL

Clear Counties

[HUD Home Page](#) | [HUD User Home](#) | [Data Sets](#) | [Fair Market Rents](#) | [Section 8 Income Limits](#) | [FMR/IL Summary System](#) | [Multifamily Tax Subsidy Project \(MTSP\) Income Limits](#) | [HUD LIHTC Database](#)

Technical Problems or questions? [Contact Us](#).

The EA will then click on the appropriate county as shown above which will include approved Fair Market Rents for the county or jurisdiction in accordance with HUD guidelines.

**FY2021 ERAP MAXIMUM FMRs FOR JACKSON COUNTY, AL**

The Department of the Treasury's Emergency Rental Assistance Program allows grantees to make payments to households up to the maximum of the applicable Fair Market Rent or Small Area Fair Market Rent in cases where the household does not have documentation of actual rent paid. The following table shows the maximum of the Fair Market Rent or Small Area Fair Market Rent by bedroom size.

For more information about the Emergency Rental Assistance Program, please visit <https://home.treasury.gov/policy-issues/cares/emergency-rental-assistance-program>.

As Jackson County, AL is a non-metropolitan area, all of the following values are areawide FMRs.

Jackson County, AL ERAP Maximum FMRs By Unit Bedrooms					
Area	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom
Jackson County, AL	\$459	\$574	\$695	\$864	\$1,020

[HUD Home Page](#) | [HUD User Home](#) | [Data Sets](#) | [Fair Market Rents](#) | [Section 8 Income Limits](#) | [FMR/IL Summary System](#) | [Multifamily Tax Subsidy Project \(MTSP\) Income Limits](#) | [HUD LIHTC Database](#)

Technical Problems or questions? [Contact Us](#).

The EA will match the subject dwelling configuration in "bedrooms" and use the FMR designated as the monthly maximum eligible for assistance under this program. If the rent stipulated in the Written Attestation is greater than the amount authorized under these guidelines, the EA will only enter the HUD FMR for the eligible months. If the rent stipulated in the Written Attestation is less than the amount authorized under the HUD FMR guidelines, the EA will only enter the amount

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agreed to by the Landlord and the Tenant in writing and for the period specified. See guidance below regarding further restrictions associated with this type of validation.

If this situation is presented the following requirements must be satisfied:

- 1) The applicant must attest in writing that the household has not received, and does not anticipate receiving, another source of public or private subsidy or assistance for the rental costs that are the subject of the attestation; **AND**
- 2) This limited payment is intended to provide the most vulnerable households the opportunity to gather additional documentation or time to negotiate with landlords in order to avoid eviction, **AND**
- 3) The applicant may request up to 12 months of rental assistance for arrears amounts due not to exceed the HUD FMR guidelines for the residence location, **AND,**
- 4) Assistance under this provision may only be provided for three (3) future (prospective) months at a time: (Guidelines specify that the Department of the Treasury expects that in most cases the household would be able to provide documentation of the amount of the rental obligation in any applications for further assistance.)
  - a. Applicants may reapply to extend assistance beyond the initial three month (3) period authorized by provision of a written attestation under the following conditions
  - b. Continuation of assistance under this provision will require submission of receipts, bank statement, check stubs, or other approved assistance documentation during the three (3) month period for residency and utilities at the subject property address.
  - c. Applicants may reapply to extend assistance beyond the initial three (3) period authorized by provision of a written attestation under the following conditions.
  - d. If the applicant is not able to provide a Written Attestation due to their level of comfort with creating a legal document; continue to Step 5.

**Step 5.** In the event the applicant requires support in preparing a Written Attestation, the EA shall provide the following direction:

- 1) Request the applicant to contact Legal Services of Alabama at 866-456-4995 or <https://legalservicesalabama.org/> for help in preparing a legal document that meets the requirements specified in this SOP
- 2) Provide the applicant a copy of a simple Attestation Template for their use: (This template is under construction and not ready today for distribution) Refer to item one (1) above until the template is available.

**Step 6.** In the event the applicant refuses to comply with program guidelines, the Case will be referred to QA/QC for denial.

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## Exhibit D – Program Data Security and Confidentiality Protection SOPs

### Daily processes to ensure security and confidentiality of program related data

1. At the end of each working day, the team member should first logout of the Neighborly TCERAP portal by navigating to the “User options and settings” icon denoted by the silhouette of a face and shoulders in the top-right corner of the dashboard control bar. By selecting this icon and then selecting the “Sign-out” option at the bottom of the drop-down menu.
2. After signing out of the rent relief portal, navigate to your laptops “downloads” folder and delete all documents downloaded during the day that were program related.
3. Navigate to the “recycle bin” on your desktop and utilizing the right-click on your mouse or trackpad, select “empty recycle bin” to clear your computer of any applicant or program related documentation collected during the workday.
4. Laptops are subject to a review by a Supervisor to ensure that the above procedures have been properly implemented.

ex 7-1



**Tuscaloosa County ERAP Call Center  
Standard Operating Procedures  
Table of Contents**

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NEIGHBORLY SYSTEM *Application* ERRORS and OMISSIONS BY SECTION ..... **Error! Bookmark not defined.**  
    Section A. Eligible ..... **Error! Bookmark not defined.**  
    Section B. Applicant Information ..... **Error! Bookmark not defined.**  
    Section C. Household Members..... **Error! Bookmark not defined.**  
    Section D. Income ..... **Error! Bookmark not defined.**  
    Section E. COVID-19 Impact ..... **Error! Bookmark not defined.**  
    Section F. Rental Assistance Requested ..... **Error! Bookmark not defined.**  
    Section G. Utility Assistance Requested ..... **Error! Bookmark not defined.**  
    Section H. Internet or Other Assistance Requested ..... **Error! Bookmark not defined.**  
    Section I. Prior Assistance Received..... **Error! Bookmark not defined.**  
    Section J. Required Documents ..... **Error! Bookmark not defined.**  
    Submit ..... **Error! Bookmark not defined.**

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dx7-1

Customer Service Representative Procedures

- Be aware that we should never utilize the words “State, State Agency, State Treasury Department, County Agency.”
- It is our responsibility, on all calls except for those that do not pertain to an application with our program, to properly notate the nature of the call and resolution in the Neighborly audit log.
  - Utilize the “Communication” radio button.



General Questions/Eligibility

- Please utilize the FAQs located at [tuscco.com/erap/](http://tuscco.com/erap/) as your primary source for all program changes for answering general questions.
- Refer to the Tenant FAQ page under [tuscco.com/erap/](http://tuscco.com/erap/) for jurisdiction/county eligibility and date for cutoff timeframe when a case should be processed by Alabama ERAP versus Tuscaloosa County ERAP.
- No time frame is to be provided for how long it will take for any particular step of the application to be completed, or time frame from application submission to final review. Refer to “Handling Objections” scripting document.

EX 7-1

- Tenants may not apply if they are due to receive or have received assistance from another Federally funded program.
- Rent and Utility assistance is not available for homeowners.
- Assistance can be provided for utilities even if utility bills are not in the tenant's name, as long as they are for the same service address as the application.
- Please see list of AHFA approved housing that would need to be processed through Alabama ERAP and not Tuscaloosa County.
- If a representative of a utility company calls us and wants to sign up for our program, we want to assist them to do so. They do not go into Neighborly but that does not mean that we do not want their information.
  - We do this by taking down a contact person and a billing address. You then send Manager that information so that I can make sure that their information gets to the right person.
- Please be aware that proof of ownership is no longer necessary for landlords.
  - They still need their W-9's, but no longer will they need to upload proof of ownership (tax documents etc.).
- Please be aware that tenants are able to apply for legal fees and court costs as additional fees through the program.
  - They are able to request up to 25% of whatever they owe in arrears as additional court costs.

ex 7-1

### Assisting with Applications

- Please be aware that we should only be providing information on an application if the actual applicant is on the line.
  - For landlords who call regarding their tenants, you can provide application statuses but no further information.
  - Please verify on the phone that you are speaking with the applicant in order to go into any further detail on the application. Verification can take place through asking questions from the application such as address, if the applicant can answer the question they have sufficiently verified their identity.
- For tenants that stress they are unable to complete the application online due to no access to internet state the following: First let them know they are able to use a smart phone.
  - If this is not an option, you must offer to assist them to complete their application over the phone. Use the “New Case” button in Neighborly to fill out the application. Make sure that they are aware that this may potentially delay their application submission as we will need documents to be provided to us via email or mail.

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- Make sure tenants know to register with a valid email that they can receive emails to, as processors will need to contact them if necessary.

EX-7-1

- Remind tenants that they are able to check the status of their application at any time. Until a reviewer is assigned it will read submitted. Applications are reviewed in order of the Priority on <https://www.tuscco.com/erap/>.
- If tenants are using W2's for income their adjusted gross income is on line 11.
- Tenants do NOT have to visit the IRS website for zero income information. That form is located on [tuscco.com/erap/](https://www.tuscco.com/erap/) under Program Documents.
- If tenant or landlord has multiple applications and should only have one, then applications may be withdrawn from the system. If it is a tenant if SSN is attached Neighborly will flag those apps as duplicates.
- If landlord has typed in the incorrect email address on a tenant or needs to otherwise edit one of their tenants, the process is as follows:
  - Withdraw the associated case under "tenants" and withdraw the application for that tenant
  - Lead will now be able to go back to the landlord application and delete out that tenant, the correct tenant information can now be added in by the landlord.

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ID	NAME	PROGRAM	STATUS	ADDRESS	BUDG
5534	[REDACTED]	Tenant Rental & Utility Assistance	Pending Applicant Information	[REDACTED]	

- If this happens to the tenant, edit the landlord information and go to the bottom to resend invite to landlord. (Landlord invite)
- Children Below the age of 18 should be listed as “No Income” in the income section of the application.
- All program documents (zero income, self-employment, etc.) are linked on the home page of tuscco.com/erap/.
- If an eligible household receives a monthly federal subsidy (e.g., a Housing Choice Voucher, Public Housing, or Project-Based Rental Assistance) and the Tenant rent is adjusted according to changes in income, the renter household may receive program assistance for the Tenant-owned portion of rent or utilities that is not subsidized.
- Landlords that have evicted their tenants can’t apply for back rent due to tenant no longer being on the property.
- If the tenant informs you that they have no income prior to starting app inform them to obtain zero income from the home page first sign and then upload to application for income verification.

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- If the tenant is not past due on rent, they can still apply for up to 3 months future rent at a time (per application) up to a maximum benefit of 15 months.
- If a landlord is missing the property tax form instruct them to visit the assessor portal, they are able to locate all documents for any county.
- There isn't a waiting period between withdrawn applications and restarting an application.
- Please be aware that the process is requiring ALL members of the household to provide their social security numbers on the application, except for infants under 1 year old.
  - Please make sure that all callers are aware that they must place a valid SSN in the fields for all household members.

#### Status Questions on Existing Applications

- We should not delete files from an application for any reason.
- Please be aware that we should only be providing information on an application if the actual applicant is on the line.
  - For landlords who call regarding their tenants, you can provide the below information:
    - Applicant statuses
    - Payment information
    - Budget details (after approval)

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- Pending information from landlords and applicants
  - No further information beyond these points.
- 
- Please verify on the phone that you are speaking with the applicant in order to go into any further detail on the application. Verification can take place through asking questions from the application such as address, if the applicant can answer the question they have sufficiently verified their identity.

#### Changing a Status on an Application

- **From “Pending Landlord Information” to “Application Submitted”**
  - **Do not change status if the application has a reviewer.**
  - If you link a landlord, change the status to “Application Submitted” and place the following note in the audit log: “Landlord linked”
  - If a landlord is not linked but the application is utilities only, review the application and make sure Rent Assistance Requested is zero, then change the status to “Application submitted” and place the following note in the audit log: “Utilities only”
  - Do not change this status on a landlord application.
- **Withdrawing:**
  - Any applicant, renter or landlord, can request that their application be withdrawn. Always notate on the Audit Log “Application withdrawn at tenant request”.
  - Please no longer use the “Withdrawn” status. Going forward use either “Withdrawn – Duplicate” or “Withdrawn –

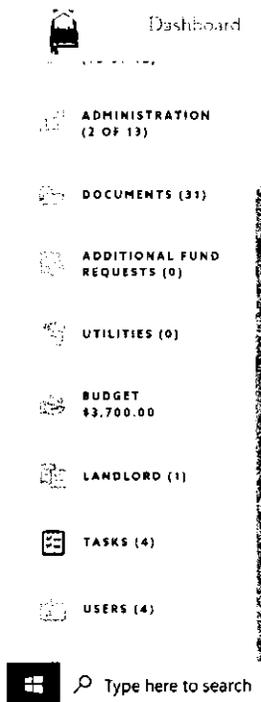
EX 7-1

Incomplete” depending on which is more accurate for the case.

- Do not change the status of an application if there is a reviewer assigned.

### Tasks in Neighborly

- When a reviewer is communicating with a tenant they will create a task in Neighborly which can be found under the Tasks section of the application.



- If a caller asks requesting additional clarification on a task, please look over the task and seek to clarify the information for the caller.
- If you also cannot understand the information being requested, please reach out to the reviewer for additional clarification and let the caller know that you will be returning their call within 24 hours with this information.

EX 7-1

- Feel free to create tasks for reviewers if the client is requesting contact. All tasks submitted for reviewers should be written in a professional and courteous manner.

### Budgets and Draws

- If an applicant is in Approved Pending Payment status, you may review the application’s budget and draws section in order to provide additional information about pending payments to the caller.

- If a draw is showing as Workflow 0 of 2, then the payment has not yet been approved for disbursement. No time frame may be provided to the applicant on disbursement at this time.
- If a draw is showing as Workflow 1 of 2, then we are most likely waiting on the landlord to follow the link to bill.com before a disbursement date may be provided.
- If there is a disbursement date, but the applicant or their landlord have not yet received payment, please provide an expectation of 14 business days for payment from that disbursement date. If it has been beyond the 14 days please escalate to Manager.

### Request for Reconsideration (RFR) Process

- If you get a call from someone who has been denied and would like to have the application reconsidered, the Request

Ex 7-1

for Reconsideration form is located in the Program Documents section of the [Tuscco.com/erap/](http://Tuscco.com/erap/) website.

- Callers should be directed to that form. They will need to print it out, fill it out, then submit it either electronically via email to [support@tcerap.com](mailto:support@tcerap.com) or by mailing the form in to our center.
- If you receive a call from someone who has filled out a Request for Reconsideration form and the form has been uploaded to the application, please notify Manager immediately.

#### Eviction Prevention Process

- Eviction Prevention procedure has been implemented:
  - If a tenant is faced with court action on eviction, we need to direct them to go to Legal Aid (phone number 866-456-4995)
  - If Legal Aid takes up the case and contacts County directly with documents, Home will place the application on top priority and the application will be processed as soon as possible.
  - Please let tenants who are in this situation know that this is now an option for them.

#### Calls to Tech Support

- Able to unlock Neighborly for tenants and landlords. (“I can’t log in with my password”)

ex 7-1

- If tenants /landlords are unable to confirm acct or have not received a confirmation email, then Manager can confirm for them so that they are able to sign in with email and password created.
- Able to look up case ID by email

### Payments

Please be aware of the following information concerning payments being made from the program.

- The company that is processing payments from the Tuscaloosa program is named bill.com. Landlords will receive emails from bill.com when they are approved and pending payment.
- Some landlords are trying to register with bill.com ahead of time. If they try this, they are not following the process correctly. They need to wait to receive an invitation link email from bill.com.
- If we receive a call from a landlord trying to provide us with their payment information ahead of time, and they have NOT received an email from bill.com, please send an email to [support@tuscco.com/tcerap/](mailto:support@tuscco.com/tcerap/). Include the applicant's name, their Case ID, their email address and their phone number. Do NOT take their payment information over the phone or put it in the email.
- If a landlord calls and has received a payment, but does not know for which tenant, please use Neighborly to try to help them determine which tenant the payment applies to.
- Payments from Tuscaloosa ERA will appear on a landlord's bank statement as coming from bill.com -
- Utility companies will receive a paper check from bill.com.
- Payment Invoice numbers will be an "L-" followed by the case number of the tenant. So for example "L-12345" would be for tenant application case ID 12345.

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**CONSTRUCTION  
AGREEMENT  
FOR A  
INDUSTRIAL ACCESS  
PROJECT**

**BETWEEN THE STATE OF ALABAMA  
AND  
THE TUSCALOOSA COUNTY COMMISSION**

**Mercedes-Benz US International  
& Schnellecke Logistics**

**Project No. IAR-063-000-025  
CPMS Ref# 100073935**

**PART ONE (1): INTRODUCTION**

This Agreement is made and entered into by and between the State of Alabama (acting by and through the Alabama Department of Transportation), hereinafter referred to as the STATE; and Tuscaloosa County, Alabama (FEIN 63-6001719), hereinafter referred to as the COUNTY.

**WHEREAS**, the STATE and the COUNTY desire to cooperate in the traffic signals installation and roadway improvements on M-Class Boulevard at Mercedes Drive and I-20 westbound ramp intersections to benefit Mercedes-Benz US International and Schnellecke Logistics; Project# IAR-063-000-025; CPMS Ref# 100073935.

**NOW, THEREFORE**, it is mutually agreed between the STATE and the COUNTY as follows:

**PART TWO (2): FUNDING PROVISIONS**

- A. **Project Funding:** The STATE will not be liable for State funds in excess of the State's share of the cost hereinafter set forth. Any deficiency in State funds or overrun in construction costs will be borne by the COUNTY from COUNTY funds. In the event of an underrun in construction costs, the State funds will not exceed the actual cost.
- B. The estimated cost and participation by the various parties is as follows:

FUNDING SOURCE	ESTIMATED COSTS
Corporation Industrial Access Funds	\$ 716,800.00
County Funds	\$ 0
	-----
TOTAL (Incl CE&I)	\$ 716,800.00

It is further understood that this is a cost reimbursement program and no federal funds will be provided to the COUNTY prior to accomplishment of the work for which it is requested. Furthermore, no federal funds will be reimbursed for work performed prior to project authorization.

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Any cost incurred by the COUNTY relating to this project which is determined to be ineligible for reimbursement by the Federal Highway Administration (FHWA), or in excess of the limiting amounts previously stated, will not be an eligible cost to the project and will be borne and paid by the COUNTY.

- C. **Time Limit:** This project will commence upon written authorization to proceed from the STATE directed to the COUNTY.

The approved allocation of funds for projects containing Industrial Access funds shall lapse if a contract has not been awarded for construction of the project within (12) months of the date of the funding approval by the Industrial Access Road and Bridge Corporation Board, and the approved allocation shall be returned to the IARB for re-allocation. A time extension may be approved by the IARB upon formal request by the applicant.

The approved allocation of funds for projects containing Federal Transportation Alternatives Set-Aside funds may lapse if a project has not been authorized by FHWA within (24) months of the date of the funding approval by the Governor, and the approved allocation shall be returned to the STATE for re-allocation. A time extension may be approved by the STATE upon formal request by the applicant. Failure to meet other project milestones, as set forth in the TAP Guidelines, may result in an approved allocation being returned to the STATE.

### **PART THREE (3): PROJECT SERVICES**

- A. The COUNTY will furnish all Right-of-Way for the project. Associated Right-of-Way acquisition costs will not be an eligible cost as part of this Agreement. The Right-of-Way acquisition phase is hereby defined as the appraisal fees, appraisal review fees and the cost of acquisition incurred.

All work accomplished under the provisions of this Agreement will be accomplished on property owned by or which will be acquired by the COUNTY in accordance with applicable Federal and state laws, regulations, and procedures. Any exceptions to this requirement must be approved by the STATE in writing prior to incurring costs for which reimbursement is requested by the COUNTY. In cases where property is leased, or easements obtained, the terms of the lease or easement will not be less than the expected life of the improvements.

Acquisition of real property by the COUNTY as a part of this project will conform to and be in accordance with the provisions of the Federal Uniform Relocation Assistance & Real Property Acquisition Policies Act (49 CFR 24, Subpart B), all federal environmental laws, and all other applicable state and federal laws.

Any property or property interests acquired shall be in the name of the COUNTY with any condemnation or other legal proceedings being performed by the COUNTY.

The COUNTY shall follow all Federal regulations related to the Management, Leasing, and Disposal of Right-of-Way, uneconomic remnants and excess Right-of-Way as found in CFR 23 § 710 Subpart D. Proceeds for Leases and Disposals shall be credited to the Project or to the Title 23 Collector Account.

No change in use or ownership of real property acquired or improved with funds provided under the terms of this Agreement will be permitted without prior written approval from the STATE or FHWA. The STATE or FHWA will be credited on a prorata share, as provided in Part Two, Section B, any revenues received by the COUNTY from the sale or lease of property.

- B. The COUNTY will relocate any utilities in conflict with the project improvements in accordance with applicable Federal and State laws, regulations, and procedures. Associated Utility costs will not be an eligible cost as part of this Agreement.

- C. The COUNTY will make the Survey, perform the Design, complete the Plans and furnish all Preliminary Engineering for the project with COUNTY forces or with a consultant approved by the STATE. Associated Survey, Design, Plan Preparation, and Preliminary Engineering costs will not be an eligible cost as part of this Agreement.

If any Associated Survey, Design, Plan Preparation, and Preliminary Engineering costs are an eligible cost to the project, the COUNTY will develop and submit to the STATE a project budget for approval. This budget will be in such form and detail as may be required by the STATE. At a minimum, all major work activities will be described, and an estimated cost and source of funds will be indicated for each activity. A signature line will be provided for approval by the Region Engineer and date of such approval. All costs for which the COUNTY seeks reimbursement must be included in a budget approved by the STATE in order to be considered for reimbursement. Budget adjustments may be necessary and may be allowed, subject to the approval of the STATE in writing, in order to successfully carry out the project. However, under no circumstances will the COUNTY be reimbursed for expenditures over and beyond the amount approved by the STATE.

The COUNTY will undertake the project in accordance with this Agreement, plans approved by the STATE and the requirements, and provisions, including the documents relating thereto, developed by the COUNTY and approved by the STATE. The plans, including the documents relating thereto, are of record in the Alabama Department of Transportation and are hereby incorporated in and made a part of this Agreement by reference. It is understood by the COUNTY that failure of the COUNTY to carry out the project in accordance with this Agreement and approved plans, including documents related thereto, may result in the loss of federal or state funding and the refund of any federal or state funds previously received on the project.

Projects containing Industrial Access funds or State funds, with no Federal funds involved, shall have completed original plans furnished to the STATE in accordance with the Guidelines for Operations for *Procedures for Processing State and Industrial Access Funded County and City Projects*, and attached hereto as a part of this Agreement prior to the COUNTY letting the contract.

- D. The COUNTY will furnish all construction engineering for the project with COUNTY forces or with a consultant approved by the STATE as part of the cost of the project. Construction Engineering & Inspection cost are not to exceed 15%, without prior approval by the State. Associated Construction Engineering & Inspection costs will be an eligible cost as part of this Agreement.
- E. The STATE will furnish the necessary inspection and testing of materials when needed as part of the cost of the project. The COUNTY may request the use of an approved third-party materials inspection and testing provider, as approved by the STATE.

#### **PART FOUR (4): CONTRACT PROVISIONS**

- A. The COUNTY shall not proceed with any project work covered under the provisions of this Agreement until the STATE issues written authorization to the COUNTY to proceed.
- B. Associated Construction cost will be an eligible cost as part of this Agreement.

For projects let to contract by the STATE, the STATE will be responsible for advertisement and receipt of bids and the award of the Contract. Following the receipt of bids and prior to the award of the Contract, the STATE will invoice the COUNTY for its pro rata share of the estimated cost as reflected by the bid of the successful bidder plus Engineering & Inspection and Indirect Costs (if applicable). The COUNTY shall pay this amount to the STATE no later than 30 days after the date bids are opened. Failure to do so may lead to the rejection of the bid.

For projects let to contract by the COUNTY, the COUNTY shall comply with all Federal and State laws, rules, regulations and procedures applicable to the advertisement, receipt of bids, and the award of the contract. The COUNTY will, when authorized by the

STATE, solicit bids and make awards for construction and/or services pursuant to this Agreement. The COUNTY shall not solicit bids until the entire bid package (plans, specifications, estimates, etc.) has been reviewed and approved by the STATE. Following receipt of bids, the COUNTY will provide all bids to the STATE with a recommendation for award. The COUNTY shall not award the contract until it has received written approval from the STATE.

The purchase of project equipment and/or services financed in whole or in part pursuant to this Agreement will be in accordance with applicable Federal and State laws, rules, regulations, and procedures, including state competitive bidding requirements applicable to counties and municipalities in the State of Alabama when the purchase is made by any such entity.

- C. If necessary, the COUNTY will file an Alabama Department of Environmental Management (ADEM) National Pollutant Discharge Elimination System (NPDES) Notice of Registration (NOR) (Code Chapter 335-6-12) for this project without cost to the State or this project. The COUNTY will be the permittee of record with ADEM for the permit. The COUNTY and the contractor will be responsible for compliance with the permit and the State will have no obligation regarding the permit. The COUNTY will furnish the State (Region) a copy of the permit prior to any work being performed by the contractor.

The COUNTY will secure all permits and licenses of every nature and description applicable to the project in any manner; conform to and comply with the requirements of any such permit or license; and comply with each and every requirement of any and all agencies, and of any and all lawful authorities having jurisdiction or requirements applicable to the project or to the project activities.

- D. The COUNTY will comply with the Alabama Department of Transportation Standard Specifications for Highway Construction, Latest Edition, on this project and will ensure that work associated on this project meets the standards of the Alabama Department of Transportation, and the project will be built in accordance with the approved plans.
- E. The COUNTY shall be responsible at all times for all of the work performed under this Agreement and, as provided in Ala. Code § 11-93-2 (1975), the COUNTY shall indemnify and hold harmless the State of Alabama, The Alabama Department of Transportation, its officers, officials, agents, servants, and employees.

For all claims not subject to Ala. Code § 11-93-2 (1975), the COUNTY shall indemnify and hold harmless the State of Alabama, the Alabama Department of Transportation, its officers, officials, agents, servants, and employees from and against any and all damages, claims, loss, liabilities, attorney's fees or expense whatsoever or any amount paid in compromise thereof arising out of, connected with, or related to the (1) work performed under this Agreement, (2) the provision of any services or expenditure of funds required, authorized, or undertaken by the COUNTY pursuant to the terms of this Agreement, or (3) misuse, misappropriation, misapplication, or misexpenditure of any source of funding, compensation or reimbursement by the COUNTY, its officers, officials, agents, servants, and employees.

- F. The COUNTY will be obligated for the payment of damages occasioned to private property, public utilities or the general public caused by the legal liability (in accordance with Alabama and/or Federal law) of the COUNTY, its agents, servants, employees or facilities.
- G. Upon completion and acceptance of this project by the State, the COUNTY will assume full ownership and responsibility for the portion of the project work on COUNTY right-of-way and maintain the project in accordance with applicable State law and comply with the Department's Local Road Maintenance Certification Policy.

**PART FIVE (5): ACCOUNTING PROVISIONS**

- A. The COUNTY will, when appropriate, submit reimbursement invoices to the STATE for work performed in carrying out the terms of this Agreement. Requests for reimbursement will be made on forms provided by the STATE and will be submitted through the Region Engineer for payment. The COUNTY may invoice the STATE not more often than once per month for the funds due for work performed under this Agreement. Invoices for payment will be submitted in accordance with state law and will indicate that the payment is due, true, correct, and unpaid, and the invoice will be notarized. Invoices for any work performed under the terms of this Agreement will be submitted within twelve (12) months after the completion and acceptance by the STATE of the work. Any invoices submitted after this twelve-month period will not be eligible for payment.
- B. The COUNTY will not assign any portion of the work to be performed under this Agreement or execute any contract, amendment or change order thereto, or obligate itself in any manner with any third party with respect to its rights and responsibilities under this Agreement, without the prior written approval of the STATE.
- C. The COUNTY will establish and maintain a cost accounting system that must be adequate and acceptable to the STATE as determined by the auditor of the STATE. All charges to the Project will be supported by properly executed invoices, contracts, or vouchers, as applicable, evidencing in proper detail the nature and propriety of the charges in accordance with the requirements of the STATE. All checks, invoices, contracts, vouchers, orders or other accounting documents pertaining in whole or in part to the project will be clearly identified, readily accessible and to the maximum extent feasible, kept separate and apart from all other such documents. The COUNTY will report to the STATE the progress of the project in such manner as the STATE may require. The COUNTY will also provide the STATE any information requested by the STATE regarding the project. The COUNTY will submit to the STATE financial statements, data, records, contracts and other documents and items of any respect related to the project as may be requested by the STATE. The COUNTY will permit the STATE, the Comptroller General of the United States, and the Secretary of the USDOT, or either of them or their respective authorized representatives, to inspect, at any time, vehicles and equipment utilized or used in performance of the project and any and all data and records which in any way relate to the project or to the accomplishment of the project. The COUNTY will also permit the above noted persons to audit the books, records and accounts pertaining to the project at any and all times, and the COUNTY will give its full cooperation to those persons or their authorized representatives, as applicable. The COUNTY will comply with all audit requirements set forth in the 2 CFR Part 200 requirements, or the most current version of those requirements under federal law.
- D. The COUNTY will retain all books, records, and other documents relative to this Agreement for a minimum of three (3) years after project termination, expiration of Federal interest, or close out, and the STATE, the Comptroller General of the United States, and the Secretary of the USDOT, or either of them or their respective authorized representatives, will have full access to and the right to examine any of said materials at all reasonable times during said period.
- E. Any user fee or charge to the public for access to any property or services provided through the funds made available under this Agreement, if not prohibited by a Federal, State or local law, must be applied for the maintenance and long-term upkeep of the project authorized by this agreement.
- F. An audit report must be filed with the Department of Examiners of Public Accounts, upon receipt by the COUNTY, for any audit performed on this project in accordance with Act No. 94-414.

**PART SIX (6): MISCELLANEOUS PROVISIONS**

- A. By entering into this Agreement, the COUNTY is not an agent of the STATE, its officers, employees, agents or assigns. The COUNTY is an independent entity from the STATE, and nothing in this Agreement creates an agency relationship between the parties.
- B. It is agreed that the terms and commitments contained in this Agreement shall not constitute a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment 26. It is further agreed that, if any provision of this Agreement shall contravene any statute or Constitutional provision or amendment, either now in effect or which may be enacted during the term of this Agreement, then the conflicting provision in this agreement shall be deemed null and void.
- C. By signing this Agreement, the contracting parties affirm, for the duration of the Agreement, that they will not violate Federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the Agreement and shall be responsible for all damages resulting therefrom.
- D. No member, officer, or employee of the COUNTY, during their tenure of employment and for one year thereafter, shall have any interest, direct or indirect, in this Agreement or the proceeds, profits, or benefits therefrom.
- E. The terms of this Agreement may be modified by revision of this Agreement duly executed by the parties hereto.
- F. This Agreement may be terminated by either party upon the delivery of a thirty (30) day notice of termination.
- G. Nothing shall be construed under the terms of this Agreement that shall cause any conflict with Section 23-1-63, Code of Alabama, 1975.
- H. Exhibits E, H, M, and N are hereby attached to and made a part of this Agreement.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by those officers, officials and persons duly authorized to execute same, and the Agreement is deemed to be dated and to be effective on the date hereinafter stated as the date of its approval by the Governor of Alabama.

ATTEST:

Tuscaloosa County, Alabama

By: Melvin L. Vines  
County Clerk (Signature)

By: W. D. Robertson, II  
As Chairman (Signature)

Melvin L. Vines  
Print Name of Clerk  
(AFFIX SEAL)

W. D. Robertson, II  
Print Name of Chairman

This agreement has been legally reviewed and approved as to form and content.

By: \_\_\_\_\_  
William F. Patty,  
Chief Counsel

RECOMMENDED FOR APPROVAL:

\_\_\_\_\_  
Bradley B. Lindsey, P.E.  
State Local Transportation Engineer

\_\_\_\_\_  
Edward N. Austin, P. E.  
Chief Engineer

STATE OF ALABAMA, ACTING BY AND THROUGH  
THE ALABAMA DEPARTMENT OF TRANSPORTATION

\_\_\_\_\_  
John R. Cooper, Transportation Director

THE WITHIN AND FOREGOING AGREEMENT IS HEREBY EXECUTED AND  
SIGNED BY THE GOVERNOR ON THIS \_\_\_\_\_ DAY OF \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
KAY IVEY  
GOVERNOR, STATE OF ALABAMA

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RESOLUTION NUMBER \_\_\_\_\_

BE IT RESOLVED, by the Tuscaloosa County Commission as follows:

That the County enter into an agreement with the State of Alabama, acting by and through the Alabama Department of Transportation relating to a project for:

**Traffic signals installation and roadway improvements on M-Class Boulevard at Mercedes Drive and I-20 westbound ramp intersections to benefit Mercedes-Benz US International and Schnellecke Logistics; Project# IAR-063-000-025; CPMS Ref# 100073935.**

Which agreement is before this Commission, and that the agreement be executed in the name of the County, by the Chairman for and on its behalf and that it be attested by the County Clerk and the official seal of the County be affixed thereto.

BE IT FURTHER RESOLVED, that upon the completion of the execution of the agreement by all parties, that a copy of such agreement be kept on file by the County.

I, the undersigned qualified and acting Clerk of the of Tuscaloosa County, Alabama, do hereby certify that the above and foregoing is a true copy of a resolution lawfully passed and adopted by the County named therein, at a regular meeting of such Commission held on the 21 day of July, 20 21, and that such resolution is on file in the County Clerk's Office.

ATTESTED:

J. R. Vines  
County Clerk

[Signature]  
Chairman

21<sup>st</sup> day of July, 20 21, and that such resolution is of record in the Minute Book of the County.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of the County on this 21 day of July, 20 21.

J. R. Vines  
County Clerk

(AFFIX SEAL)

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**EXHIBIT E**

**TERMINATION OR ABANDONMENT**

- a. The STATE has the right to abandon the work or to amend its project at any time, and such action on its part shall in no event be deemed a breach of contract.
  
- b. The STATE has the right to terminate this AGREEMENT at its sole discretion without cause and make settlement with the COUNTY upon an equitable basis. The value of the work performed by the COUNTY prior to the termination of this AGREEMENT shall be determined. In determining the value of the work performed, the STATE shall consider the following:
  1. The ratio of the amount of work performed by the COUNTY prior to the termination of the AGREEMENT to the total amount of work contemplated by this AGREEMENT less any payments previously made.
  
  2. The amount of the expense to which the COUNTY is put in performing the work to be terminated in proportion to the amount of expense to which the COUNTY would have been put had he been allowed to complete the total work contemplated by the AGREEMENT, less any payments previously made. In determining the value of the work performed by the COUNTY prior to the termination, no consideration will be given to profit, which the COUNTY might have made on the uncompleted portion of the work. If the termination is brought about as a result of unsatisfactory performance on the part of the COUNTY, the value of the work performed by the COUNTY prior to termination shall be fixed solely on the ratio of the amount of such work to the total amount of work contemplated by this AGREEMENT.

**CONTROVERSY**

In any controversy concerning contract terms, or on a question of fact in connection with the work covered by this project, including compensation for such work, the decision of the Transportation Director regarding the matter in issue or dispute shall be final and conclusive of all parties.

**CONTRACT BINDING ON SUCCESSORS AND ASSIGNS**

- a. This contract shall be binding upon the successors and assigns of the respective parties hereto.
  
- b. Should the AGREEMENT be terminated due to default by COUNTY, such termination shall be in accordance with applicable Federal Acquisition Regulations.

ex 7-2

EXHIBIT H

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**EQUAL RIGHTS PROVISIONS**

During the performance of this contract, the COUNTY for itself, its assignees and successors in interest agrees as follows:

a. **Compliance with Regulations**

The COUNTY will comply with the Regulations of the Department of Transportation relative to nondiscrimination in federally-assigned programs of the Department of Transportation (Title 49, Code of Federal Regulations, Part 21, as amended by 23 CFR 710-405(b), hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

**Pertinent Non-Discrimination Authorities:**

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination 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. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;

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- The Federal Aviation Administration's Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures nondiscrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq).

b. **Nondiscrimination**

In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, Section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, Section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the COUNTY agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. The COUNTY will not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the Regulations, including employment practices where the contract covers a program set forth in Appendix B of the Regulations.

The COUNTY will comply with all provisions of Executive Order 11246 of September 24, 1965 as amended by Executive Order 11375, and of the rules, regulations (41 CFR, Part 60) and relevant orders of the Secretary of Labor.

c. **Solicitations**

In all solicitations either by competitive bidding or negotiation made by the COUNTY for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor, supplier or lessor shall be notified by the COUNTY of the COUNTY'S obligation under this contract and the Regulations relative to nondiscrimination on the ground of race, color, religion, sex or national origin.

d. **Information and Reports**

The COUNTY will provide all information and reports required by the Regulations, or orders and instructions issued pursuant thereto, and will permit access to its books,

EXHIBIT H

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records, accounts, other sources of information and its facilities as may be determined by the STATE or the Federal Highway Administration to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a COUNTY is in the exclusive possession of another who fails or refuses to furnish this information, the COUNTY shall so certify to the STATE, or the Federal Highway Administration as appropriate, and shall set forth what efforts it has made to obtain the information.

e. **Sanctions for Noncompliance**

In the event of the COUNTY'S noncompliance with the nondiscrimination provisions provided for herein, the STATE shall impose such contract sanctions as it may determine to be appropriate, including but not limited to,

1. withholding of payments to the COUNTY under contract until the COUNTY complies, and/or
2. cancellation, termination or suspension of the contract, in whole or in part.

f. **Incorporation of Provisions**

The COUNTY will include the foregoing provisions a. through f. in every subcontract, including procurements of materials and leases of equipment, unless excepted by the Regulations, orders or instructions issued pursuant thereto. The COUNTY will take such action with respect to any subcontract, procurement, or lease as the STATE may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in the event a COUNTY becomes involved in, or is threatened with, litigation with subcontractors, suppliers, or lessor as a result of such direction, the COUNTY may request the STATE to enter into such litigation to protect the interest of the STATE.

g. **Equal Employment Opportunity** – The following equal employment opportunity requirements apply to the underlying contract:

1. **Race, Color, Creed, National Origin, Sex** – In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal Transit laws at 49 U.S.C. § 5332, the COUNTY agrees to comply with all applicable equal employment requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project.

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The COUNTY agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the COUNTY agrees to comply with any implementing requirements FTA may issue.

2. Age – In accordance with Section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the COUNTY agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the COUNTY agrees to comply with any implementing requirements FTA may issue.
3. Disabilities – In accordance with Section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the COUNTY agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, “Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act,” 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

**COST PRINCIPLES**

The STATE'S cost principles for use in determining the allowability of any item of cost, both direct and indirect, in this AGREEMENT, shall be the applicable provisions of Volume I, Federal Acquisition Regulations, Parts 30 and 31. The COUNTY shall maintain costs and supporting documentation in accordance with the Federal Acquisition Regulations, Parts 30 and 31 and other Regulations referenced with these Parts where applicable. The COUNTY shall gain an understanding of these documents and regulations. The applicable provisions of the above referenced regulations documents are hereby incorporated by reference herein as if fully set forth.

**EXECUTORY CLAUSE AND NON-MERIT SYSTEM STATUS**

- a. The COUNTY specifically agrees that this AGREEMENT shall be deemed executory only to the extent of moneys available, and no liability shall be incurred by the STATE beyond the moneys available for this purpose.

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- b. The COUNTY, in accordance with the status of COUNTY as an independent contractor, covenants and agrees that the conduct of COUNTY will be consistent with such status, that COUNTY will neither hold COUNTY out as, or claim to be, an officer or employee of the STATE by reason hereof, and that COUNTY will not, by reason hereof, make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the STATE under the merit system or any other law of Alabama, including but not limited to workmen's compensation coverage, or retirement membership or credit or any Federal employment law. This paragraph also applies in like manner to the employees of COUNTY.

**COUNTYS' CERTIFICATIONS**

The COUNTY by acceptance of this contract certifies that the rates or composition of cost noted in Article IV - PAYMENTS are based on the current actual hourly rates paid to employees, estimated non- salary direct cost based on historical prices, the latest available audited indirect cost rate, and estimated cost of reimbursements to employees for travel (mileage, per diem, and meal allowance) based on the current policy of the COUNTY. The COUNTY agrees that mileage reimbursements for use of company vehicles is based on the lesser of the approved rate allowed by the General Services Administration of the United States Government or the reimbursement policies of the COUNTY at the time of execution of the AGREEMENT. The COUNTY agrees that no mileage reimbursement will be allowed for the purpose of commuting to and from work or for personal use of a vehicle. The COUNTY agrees that the per diem rate will be limited to the rate allowed by the STATE at the time of execution of the AGREEMENT. The COUNTY agrees that a meal allowance shall be limited to COUNTY employees while in travel status only and only when used in lieu of a per diem rate.

The COUNTY shall submit detailed certified labor rates as requested, and in a timely manner, to the External Audits Section of the Finance and Audits Bureau of The Alabama Department of Transportation. The COUNTY agrees that material differences between rates submitted with a proposal and rates provided as certified for the same proposal are subject to adjustment and reimbursement.

EXHIBIT M

**CERTIFICATION FOR FEDERAL-AID CONTRACTS: LOBBYING**

This certification is applicable to the instrument to which it is attached whether attached directly or indirectly with other attachments to such instrument.

The prospective participant/recipient, by causing the signing of and the submission of this Federal contract, grant, loan, cooperative AGREEMENT, or other instrument as might be applicable under Section 1352, Title 31, U. S. Code, and the person signing same for and on behalf of the prospective participant/recipient each respectively certify that to the best of the knowledge and belief of the prospective participant or recipient and of the person signing for and on behalf of the prospective participant/recipient, that:

- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the prospective participant/recipient or the person signing on behalf of the prospective participant/recipient as mentioned above, to any person for influencing or attempting to influence an officer or employee of any Federal 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, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- b. 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 Federal 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, or other instrument as might be applicable under Section 1352, Title 31, U. S. Code, the prospective participant/recipient shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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 Section 1352, Title 31, U. S. Code. 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.

The prospective participant/recipient also agrees by submitting this Federal contract, grant, loan, cooperative agreement or other instrument as might be applicable under Section 1352, Title 31, U.S. Code, that the prospective participant/recipient shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

EXHIBIT N

**FUNDS SHALL NOT BE CONSTITUTED AS A DEBT**

It is agreed that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment Number 26. It is further agreed that if any provision of this AGREEMENT shall contravene any statute or Constitutional provision of amendment, either now in effect or which may, during the course of this AGREEMENT, be enacted, then the conflicting provision in the AGREEMENT shall be deemed null and void.

When considering settlement of controversies arising from or related to the work covered by this AGREEMENT, the parties may agree to use appropriate forms of non-binding alternative dispute resolution.

**TERMINATION DUE TO INSUFFICIENT FUNDS**

- a. If the agreement term is to exceed more than one fiscal year, then said agreement is subject to termination in the event that funds should not be appropriated for the continued payment of the agreement in subsequent fiscal years.
- b. In the event of proration of the fund from which payment under this AGREEMENT is to be made, agreement will be subject to termination.

**NO GOVERNMENT OBLIGATION TO THIRD PARTY CONTRACTORS**

The STATE and COUNTY acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations of or liabilities to the STATE, COUNTY, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.

The COUNTY agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided to FHWA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

**STATE OF ALABAMA  
DEPARTMENT OF TRANSPORTATION  
GUIDELINES FOR OPERATION**

**SUBJECT: PROCEDURES FOR PROCESSING STATE AND INDUSTRIAL  
ACCESS FUNDED COUNTY AND CITY PROJECTS**

**No work can be performed and no contracts can be let prior to having a fully executed project agreement, submittal of project plans to Region and notification from the Region that advertisement for bids can be made, or, in the case of force account projects, work can begin.**

**A project agreement will be prepared and furnished to the County/City upon receipt of grant award letter signed by the Director or Governor. The Region will prepare and submit a F-7A Budget Allotment request upon receipt of a project funding agreement at the time it is submitted to the County/City for their execution.**

**The County/City will submit plans prepared and signed by a registered professional engineer showing work to be performed. Plans must match the project agreement description. It is not necessary for the Region to perform an in-depth review of plans. The County/City will submit a certification signed by a Registered Professional Engineer stating that the plans have been prepared so that all items included in the plans meet ALDOT specifications. The County/City will include a letter certifying that the County/City owns all right-of-way on which the project is to be constructed.**

**Upon receipt of the executed agreement, the executed F-7A, final plans from the County/City, and right-of-way certification, the Region may notify the County/City to proceed with advertising the project for letting or proceed with work in the case of a force account project.**

**In the case where a County/City is using an in-place annual bid, the County/City will furnish the Region a copy of their bid and this bid price will be used for reimbursement.**

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Where the County/City is letting a contract locally, the County/City will furnish to the Region the three lowest bids with their recommendation for award. The Region will review the bids, and, if in order, advise the County/City to proceed with award of the contract to the lowest responsible bidder. The County's/City's estimate for reimbursement will be based on the bid prices concurred in by the State and supported with documentation that the contractor has been paid for work performed (copy of cancelled check).

A certification will be submitted with County/City final estimate stating that the project was constructed in accordance with final plans submitted to the State and with the specifications, supplemental specifications, and special provisions which were shown on the plans or with the State's latest specifications which were applicable at the time of plan approval.

The County/City will notify the Region when the project is complete and the Region will perform a final ride-through to determine whether the project was completed in substantial compliance with original final plans. Final acceptance will be made by the Region with a copy of the letter furnished to the Bureau of Local Transportation.

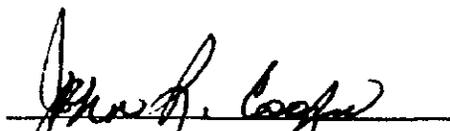
All required test reports, weight tickets, material receipts and other project documentation required by the specifications, applicable supplemental specifications, and special provisions will be retained by the County/City for a period of three (3) years following receipt of final payment and made available for audit by the State upon request. If an audit is performed and proper documentation is not available to verify quantities and compliance with specifications, the County/City will refund the project cost to the State or do whatever is necessary to correct the project at their cost.

All County/City Industrial Access or State funded projects let to contract by the State will follow normal project procedures and comply with all current plan processing requirements.

RECOMMENDED FOR APPROVAL:

  
BUREAU CHIEF/REGION ENGINEER

APPROVAL:   
CHIEF ENGINEER

APPROVAL:   
TRANSPORTATION DIRECTOR

November 1, 2017  
DATE

**APPROVAL OF WARRANTS**

**June 2021**

FUND	CHECK NUMBERS	AMOUNT
001 GENERAL FUND	50829 - 51264	\$4,408,956.46
001 SPECIAL SALES TAX	-	
112 ROAD & BRIDGE	16037 - 16199	\$1,432,758.61
116 CAPITAL IMPROVEMENT	-	
117 RRR GAS TAX	-	
120 REAPPRAISAL	3999 - 4013	\$1,524,608.88
160 COMMUNITY DEVELOP	1931 - 1931	\$9,847.50
710 PAYROLL-DIR DEP	9283 - 9730	\$662,953.13
710 PAYROLL-CHECKS	66184 - 66193	\$11,005.94
710 PAYROLL-CHECKS	9731 - 10183	\$709,911.35
710 PAYROLL-DIR DEP	66194 - 66203	\$61,567.56
710 PAYROLL-CHECKS	97570 - 97605	\$1,763,546.75
720 EXCESS LAND SALES	492 - 496	\$4,949.33
730 FIDUCIARY	-	
750 PISTOL PERMIT	12298 - 12360	\$174,807.55
780 E911	-	
781 GAS TAX BONDING	-	
783 GENERAL LIABILITY	-	
783 WORKMEN'S COMP	213 - 213	\$9,584.73
783 WORKMEN'S COMP	10114 - 10131	\$12,042.34
783 HEALTH INSURANCE	-	
784 TAX COLL SPECIAL	-	
785 TAX ASSR SPECIAL	-	
786 MFG HOMES	-	
787 MOTOR VEH TRAINING	-	
		\$10,786,540.13

REVIEWED BY:

*April L Hoffman*  
 APRIL L HOFFMAN, CHIEF FINANCIAL OFFICER

APPROVED BY TUSCALOOSA COUNTY COMMISSION:

CHAIRMAN, ROB ROBERTSON

*Rob Robertson*

COMMISSIONER, STAN ACKER

*Stan Acker*

COMMISSIONER, JERRY TINGLE

*Jerry M. Tingle*

COMMISSIONER, MARK C. NELSON

*Mark C. Nelson*

COMMISSIONER, REGINALD MURRAY

*Reginald Murray*

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714 1/2 Greensboro Avenue  
Tuscaloosa, Alabama 35401

Ronald S. Abernathy, Sheriff  
Tuscaloosa County

Phone: (205) 752-0616  
Fax: (205) 752-6985

July 20, 2021

Tuscaloosa County Commission  
Tuscaloosa County Courthouse  
714 Greensboro Avenue  
Tuscaloosa, AL 35401

RE: Surplus Vehicle

Dear Sirs:

Chief Steve Hysaw with the Coker Volunteer Fire Department has asked that the County Commission consider donating the following vehicle:

Unit #143 1GNLC2E01BR241905 2011 Chevrolet Tahoe Mechanical 141,872 miles

This vehicle has been designated as surplus by the County Commission and is awaiting transfer to auction.

Thank you.

Sincerely,

A handwritten signature in black ink, appearing to read 'Byron Waid', is written over a horizontal line.

Byron Waid, Chief Deputy

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