

**New York State Office of the Attorney General  
Charities Bureau**

**Hurricane Sandy Relief Information - March 2013 Update**

**PLEASE NOTE:** *In answering the questions below, please update the information you provided in response to our earlier questionnaire. If there has been no change in the information previously provided in response to any question, please indicate "no change." However, where financial information is requested, please provide aggregate amounts to date, rather than since the date of your earlier response.*

**Name of Organization:** United Way of NYC – Hurricane Sandy Recovery Fund (HSRF)

1.	What is the dollar amount of donations and pledges that your organization has raised to date in response to Hurricane Sandy? If your organization has received any donated (in-kind) goods or services, please describe those in-kind donations and explain how you determined their value in sections (b) and (c).	
(a)	<b>Category</b>	<b>Raised to Date</b>
	Cash/cash equivalents	10,256,999
	Outstanding pledges	\$0
	Value of goods and services (in-kind) donated to your organization	\$0
(b)	Description of in-kind donations: winter clothing/shoes/coats/hats and scarfs, house hold items such as: blankets/eating utensils/paper plates and cups/garbage bags/flashlights and batteries/heaters/lamps/furniture/cleaning supplies, basic needs such as: food and water/infant and baby supplies/pet supplies, personal hygiene supplies such as: tooth paste/tooth brushes/feminine products/soap/deodorant, mold eradication supplies, school supplies.	
(c)	Explanation of how in-kind donations were valued:  No monetary value was given to the in-kind donations	
2.	Are the amounts reported above being used solely for Hurricane Sandy relief? If not, please indicate the portion of those funds that have or will be used for other purposes and describe those purposes.	
	All funds raised by the Hurricane Sandy Recovery Fund are being solely used for Hurricane Sandy recovery efforts.	
3.	How much has your organization spent or disbursed on Hurricane Sandy relief to date?	
(a)	Amount: <u>\$4,817,463 dispersed;</u> <u>\$5,762,184 awarded to local UWs</u>	

(b)	Please detail the above amount by completing the categories below:	
	<b>Category</b>	<b>Amount to Date</b>
	Direct expenditures by your organization on supplies and/or services (please only include any expenditures paid by your organization for direct Hurricane Sandy relief and not grants or funding provided to individuals, businesses or other organizations)	\$36,926
	Grants or funding provided to other organizations for Hurricane Sandy relief	\$4,780,537
	Grants or funding provided to individuals, families or businesses for Hurricane Sandy relief (please include any items such as emergency cash grants, loans, gift/debit cards or similar assistance)	\$0
	The value of any goods or services donated (in-kind) to your organization that were disbursed in response to Hurricane Sandy.	\$0
	Other (please describe)	\$0
4.	Please describe the types of assistance that your has organization provided to those affected by Hurricane Sandy. What populations or geographical areas have been (or will be) served by your organization in response to Hurricane Sandy?	
	<p>The Hurricane Sandy Recovery Fund has been focused on the near, intermediate and long term needs of individuals and families affected by the Hurricane. The HSRF has supported efforts that include:</p> <ul style="list-style-type: none"> <li>• rent/mortgage/utility payments for families in arrears</li> <li>• financial assistance</li> <li>• transportation assistance</li> <li>• medical and mental health and case management services</li> <li>• basic needs such as food, infant supplies, school supplies and winter clothing</li> <li>• cleaning and mold remediation supplies</li> <li>• infrastructure and rebuilding support</li> <li>• legal assistance</li> <li>• employment and retraining</li> </ul> <p>The HSRF has been focused on the near, intermediate, and long term needs of individuals and families affected by the hurricane throughout 42 counties across seven states - NY, NJ, PA, CT, WV, RI, MD.</p> <p>Efforts have supported all individuals and families affected by the hurricane. Some specific populations identified include:</p> <ul style="list-style-type: none"> <li>• English Language Learners</li> <li>• undocumented individuals</li> <li>• senior citizens</li> <li>• children and youth</li> <li>• people with disabilities</li> <li>• homeless individuals and families</li> </ul>	

5.	Has your organization provided grants or funding to other organizations for Hurricane Sandy relief efforts? If so, which organizations have received those funds, what is the dollar amount provided to them and what is the intended use of the funds? What policies and procedures does your organization follow to determine the need for such funding and to monitor the use funds?
	Yes. Please see attachment <i>Services and Allocations by United Way</i> which includes further detail of Phase 1 allocations and <i>HSRF Guidelines</i> for details on how funds are distributed.
6.	Has your organization provided direct grants or funding to individuals, families or businesses for Hurricane Sandy relief? If so, please describe the types of the assistance that your organization has provided to date. What policies and procedures does your organization follow to determine the need for such funding and to monitor the use funds? For the purposes of this question please include any items such as emergency cash assistance, loans, gift/debit cards or direct payment of expenses on behalf those impacted by Hurricane Sandy.
	No, the HSRF does not provide funding directly to individuals, families, or businesses.
7.	What is your organization's plan for using any surplus funds not spent for Hurricane Sandy relief?
	All funds will be distributed to local United Ways utilizing the <i>Hurricane Sandy Recovery Fund guidelines</i> attached.
8.	Has your organization received funding from other organizations for Hurricane Sandy relief efforts? If so, please identify the organizations that provided the funds, the amount received and a description of how the funds have been or will be used.
	UWNYC tracks funding/donations from various sources (ex: corporate, foundations, individuals). Due to the large number of such contributions, the list of funding is in the thousands. Please see attachment <i>Funders Contributing \$50,000 or more to the UW Hurricane Sandy Recovery Efforts</i> for additional details.
9.	Is your organization still conducting fundraising for relief efforts? If so, please describe the methods by which you are raising funds.
	Yes. HSRF website is still active and UWNYC is responding to inquiries from potential funders.
10.	Is your organization still conducting relief efforts? If so, please describe how individuals, businesses or organizations seeking assistance can contact your organization.
	Yes. UW HSRF is approaching phase II of distribution; an announcement will be released by March 29, 2013. A formula for funding will be used to determine the communities with greatest needs. This formula is designed to prioritize counties with the greatest needs based on the following factors: populations affected, FEMA IA registration eligibility, and a community's ability to support itself in the rebuilding process. Based on this formula assessment, application for funding will be submitted by Local United Ways to State Leads who will then provide initial approval for funding and forward to the HSRF Administrator, United Way of New York City, for final approval and payment. UWNYC anticipates a phase III; however, phase III funding is dependent upon the confirmed availability of dollars.

Print Name and Title of Representative

Date

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Signature of Representative

Please email this document with your responses to [sandyresponse@ag.ny.gov](mailto:sandyresponse@ag.ny.gov) by March 22, 2013. You may obtain an electronic copy of this document by emailing a request to that same address.

## Services and Allocations by United Ways

State/United Way	Allocations	Services provided
<b>Connecticut</b>		
United Way of Southeastern Connecticut	\$ 116,906	mold eradication, medical/mental/case management, un-met basic needs, financial assistance ,rent/mortgage/utility payments, infrastructure, school and afterschool youth supports, support to nonprofits providing social services
United Way of Coastal Fairfield County	\$ 132,428	
Middlesex United Way, Inc.	\$ 60,970	
United Way of Greater New Haven	\$ 120,523	
<b>Philadelphia and Southern New Jersey</b>		
	\$ 423,566	rent/mortgage/utility payments, financial assistance, transportation services, basic needs such as food, infant supplies, school supplies and winter clothing, infrastructure and rebuilding support, medical/mental/case management services, legal assistance, support to 211, un-met basic needs
United Way of Grater Philadelphia & Southern NJ		
<b>New Jersey</b>		
Bergen County's United Way	\$ 146,312	rent/mortgage/utility payments, financial assistance, transportation services, basic needs such as food, infant supplies, school supplies and winter clothing, infrastructure and rebuilding support, medical/mental/case management services, legal assistance, support to 211, un-met basic needs
United Way of Essex and West Hudson	\$ 114,443	
United Way of Hudson County	\$ 137,270	
United Way of Central New Jersey	\$ 136,309	
United Way Manmouth County	\$ 207,781	
United Way of Northern New Jersey	\$ 272,363	
United Way of Ocean County	\$ 316,731	
United Way of Passaic County	\$ 87,001	
United Way of Greater Union County	\$ 97,842	
<b>New York</b>		
United Way of Long Island	\$ 893,226	mold eradication, medical and case management, utility payments, transportation assistance, un-met needs, support to nonprofits providing social services, infrastructure support, financial assistance, furniture & home repair, legal assistance, support to 211
United Way of Westchester & Putnam	\$ 175,718	
United Way of Rockland County	\$ 74,002	
United Way of New York City	\$ 1,819,939	
<b>Rhode Island</b>		
United Way of Rhode Island	\$ 98,854	mold eradication, rent/mortgage payments, basic needs, infrastructure support, case management
<b>Maryland</b>		
United Way of Central Maryland	\$ 150,000	medical/mental health services, rental assistnace, support to nonprofits providing social serivces, materials to rebuild community facilities
<b>Pennsylvania</b>		
United Way of Bucks County	\$ 150,000	food and storage equipment for member agencies and food pantries
<b>West Virginia</b>		
United Way of West Virginia	\$ 30,000	utility payments, support to food pantries
<b>Total Allocations</b>		<b>\$ 5,762,184</b>

<b>Funders Contributing \$50K or Higher to the UW Hurricane Sandy Recovery Efforts</b>		<b>Services and support provided</b>
Eli Lilly and Company	\$5,000,000	un-met basic needs: food and food supplies, diapers, infant formula, school supplies, winter clothes; mold eradication supplies, mental/medical/case management services, legal services, rent/mortgage/utility payments, transportation assistance, infrastructure support, employment and job training, school and afterschool youth supports, other needs as identified through the un-met needs committees, support to 211 emergency responses.
Taipei Economic & Cultural Representativ	\$500,000	
Fedex Corporation	\$250,000	
National Grid Foundation	\$250,000	
Starbucks Foundation	\$250,000	
General Electric Foundation	\$250,000	
Brown Brothers Harriman and Company	\$200,000	
Deutsche Bank Americas Foundation	\$200,000	
Mizuho Financial Group	\$150,000	
Pfizer	\$125,000	
The Ayco Company L.P. a Goldman Sachs Co	\$125,000	
United Way of Greater St. Louis	\$100,000	
Shinnyo-En Foundation	\$100,000	
Doree Taylor Charitable Foundation	\$100,000	
Polo Ralph Lauren Foundation	\$100,000	
William O. Lefavre Fund	\$88,200	
Pricewaterhousecoopers Llp	\$75,000	
United Way of Greater Houston	\$75,000	
Nationwide Insurance Foundation	\$75,000	
Bank of America	\$50,000	
United Way of Central Maryland	\$50,000	
Capital Area United Way	\$50,000	
Hagedorn Fund	\$50,000	
The Morrison & Foerster Foundation	\$50,000	
Geico Philanthropic Foundation	\$50,000	
American Eagle Outfitters	\$50,000	

## **United Way Hurricane Sandy Recovery Fund (HSRF) Guidelines**

### **Purpose**

**United Way Hurricane Sandy Recovery Fund** (the “Fund”) has been created by United Way of New York City at the request of United Way U.S.A. to provide recovery assistance to individuals, families, and communities affected by Hurricane Sandy.

Contributions to the Fund will be used by local United Ways along the Eastern Seaboard to address the near and long-term recovery needs of communities most affected by the hurricane, including bolstering United Way’s community based partners that serve hurricane affected individuals and families who were already vulnerable and experiencing challenges in meeting their most basic needs.

Whereas some organizations support relief efforts of an immediate nature by providing food, clothing, blankets, and short term shelter in the days and immediate weeks following a disaster, this Fund is intended to complement the work of these organizations by meeting unmet immediate needs as well as unmet intermediate and longer term needs that are not covered by insurance or other government programs.

Contributions to the Fund may be used by local United Ways in Connecticut, Delaware, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Virginia, Washington, DC and West Virginia to address recovery needs in communities that FEMA has declared disaster areas.

### **United Way of New York City (“UWNYC”) Fiscal Oversight and Fund Management**

In its capacity as the Hurricane Sandy Recovery Fund manager, UWNYC will:

1. manage donations received from individuals, corporations, and foundations, including designated and undesignated contributions;
2. communicate the availability of funding and allowable uses for those dollars to the state United Way serving as the lead in their respective states;
3. be responsible for disseminating funds, based on a formula (see below), to the local United Ways;
4. coordinate periodic conference calls with the state leads for updates and dissemination of information;
5. provide reporting mechanisms/templates to the state leads, and
6. report to Fund donors.

UWNYC, with the assistance of the lead United Ways, will collect data on types of assistance provided, including the number of requests that were funded, the total dollar amount spent in each qualified expense category, and the number of people helped using reports provided by the lead United Way in each state. This data will be utilized to provide reports to funders, communicate the value add of the Fund, and provide information to the public on the work executed by the Fund.

UWNYC will also convene an oversight committee whose responsibilities will include fundraising, funds distribution oversight, government relations and communications in support of long-term recovery efforts. Members of the committee will include academics, stakeholders and well-placed individuals in the philanthropic community who can increase the profile of the Fund.

UWNYC will take no administrative costs from the Fund for the work involved in administering the Fund.

### **Responsibility of Lead United Ways in States Designated Disaster Areas**

United Ways that are designated as the lead for their states will be responsible for:

1. collecting, reviewing, and approving the *Hurricane Sandy Distribution Plans* submitted by their local United Ways;
2. ensuring that the *Hurricane Sandy Distribution Plans* meet the guidelines set forth in this document including ensuring that local United Ways engage the community in identifying their unmet needs;
3. providing UWNYC with documentation that ensures that the use of the funds were in line with the *Hurricane Sandy Distribution Plans*

### **Responsibility of Local United Ways at the County Level**

The local United Way, the recipient of the Hurricane Sandy Recovery funds, will be responsible for:

1. submitting a *Hurricane Sandy Distribution Plan* to their Lead United Way which will include details of the proposed use of the funds;
2. issuing grants to community based organizations to assist hurricane survivors with the allowable expenses based on grant agreements or letters that impose the terms and conditions for the grants to ensure compliance with the fund guidelines;
3. participating on local unmet needs committees and distributing funds through the committee (local UW can designate a proxy to participate on an unmet needs committee on their behalf). Local United Way can also engage in a blend of these options; and
4. providing their state UW with documentation that ensures that the use of the funds were in line with their *Hurricane Sandy Distribution Plan*.

### **Methodology for Distribution of United Way Hurricane Sandy Recovery Fund**

The formula being utilized by UWNYC to determine the distribution of the Fund is based on prior United Way disaster relief efforts. It relies heavily on the methodology used to distribute the Gulf Regional Fund after the BP oil spill, with minor modifications. The formula takes into consideration three factors – population impact, actual impact, and ability to respond – equally weighted to determine the final share of the funding that each county will receive.

The Fund will take a multi-phased approach to distribution of funding through June 30, 2013. We anticipate four phases during the time period. If necessary, additional phases will be added. On December 1, 2012, state Lead United Ways will be informed of the maximum amount of Hurricane Sandy Recovery funds available to their state on a county basis for phase one (October 29, 2012 – November 30, 2012). The maximum amount takes into account designations to a state, county and/or local UW.

In addition, State Lead United Ways will be informed of the cash immediately available for their distribution (based on cash received to date). This information will ensure United Ways are able

to factor into their proposed *Hurricane Sandy Distribution Plans* both the longer term potential receipt of funds allotted to them by the formula against the near term release of funding based on dollars received to date. UWNYP will utilize a first in methodology to distribute funds.

As per the role described earlier for state Lead United Ways, they will be responsible for allocating dollars to Local United Ways based on the dollars available to each county. Note, as there may be multiple local United Ways covering a given County, the state Lead United Way will be given the charge to determine the manner in which the allotment for funds will be made based on local United Ways' *Hurricane Sandy Distribution Plan* submissions. Local United Ways will then submit the *Hurricane Sandy Distribution Plans* to their corresponding state Lead United Way in order to draw against the associated county allotment.

Once the *Hurricane Sandy Distribution Plans* have been approved at the state level, UWNYP will release funds directly to the approved local United Way for their use. The cycle for distribution of these funds will be based on dollars received by UWNYP and will be distributed to local UWs on a periodic schedule.

As fund raising continues for the Fund and new dollars come in, the process will repeat in the subsequent phases based on new dollars and accounting for new counties designated as disaster areas and for FEMA payments made to individuals affected by the Hurricane.

See Appendix A for the distribution formula.

### **Survivors of Hurricane Sandy**

For the purposes of the Fund, those eligible for support from local United Ways will be registered with FEMA. Support to victims cannot be duplicative of FEMA support or private insurance. Survivors with insurance will demonstrate, as practicably as possible, that they have filed claims with their private insurance and the nature of their claims.

The Fund also recognizes that there are individuals that are unable to avail themselves of traditional forms of disaster relief resources because they have not registered with FEMA for individual assistance (ex. limited information, language barriers, or immigration status). As such, organizations funded by United Ways with Hurricane Sandy Recovery Funds should be familiar with the unique needs of their communities and have the capacity to meet their language and cultural needs.

### **Unmet Needs Committee(s)**

In instances where cash or cash equivalents are needed to assist individuals identified, it is suggested that local United Ways or their designees participate in a local Unmet Needs Committee process. Unmet Needs Committees, under the Stafford Act and in conjunction FEMA Volunteer Agency Liaisons, work to ensure the expeditious, efficient and effective implementation of strategies to lessen or eliminate unmet needs of a community in the event of a disaster through a case management process. Unmet Needs Committees may be convened by participating United Ways or other philanthropic organizations in impacted communities. Please note, local UWs will not distribute cash assistance directly to individuals.

During the response phase of a disaster, voluntary organizations and other private sector groups augment or extend the abilities of government to assist disaster victims by providing donated goods and volunteer services to supplement governmental assistance. During recovery and long-

term recovery, immediate life safety needs have already been addressed. The primary consideration, using the Unmet Needs Committee, becomes efficiency; ensuring that the need is not being addressed by other resources, and that the assistance enhances, not supplants, the relief effort. Coordination is imperative to assure that all those in need receive assistance and to prevent duplication of benefits.

### **Qualified Expenses**

#### **The following needs/expenses will qualify for funding from the United Way Hurricane Sandy Recover Fund**

Impact Goals of the Recovery Fund:

#### Near Term

Near Term recovery funds can be used to address health and human service needs that are not being met by immediate service organizations, government programs or insurance. These needs can include basic needs, such as food and food supplies, diapers, infant formula and other supplies (including school supplies), winter outerwear, etc. Other services can include rental/mortgage payments, utility assistance, transportation assistance, medical and mental health services (including prescriptions and medical supplies), cleaning supplies and legal assistance. Also, non-profits providing support to survivors of Hurricane Sandy are eligible for funds to help them recover from damages preventing service delivery or to meet the increased demands as a result of the Hurricane. Funds can also cover case management services or other expenses as identified by the local Unmet Needs Committee in a given affected community.

#### Longer Term

Long-term recovery funds can be used to change societal conditions in communities. Community conversations focusing priority needs will enable funds to be used for the greatest impact. For example, funds may be allocated to reduce food insecurities in the most vulnerable neighborhoods or to rebuild recreational spaces to encourage community connectedness. Supports for community planning to build or rebuild affordable housing or provide better access to health services might be necessary. People who have lost employment may need job retraining and counseling. Case management or mental health counseling may be needed to help people recover from devastating loss. Expanded 2-1-1 capacity can ensure people's unmet needs are met or advocacy steps are taken to uplift greater needs to people who can take action.

Local United Ways and their partners are encouraged to make use of the Coordinated Assistance Network ([www.can.org](http://www.can.org)), which is a case record data base that facilitates record sharing with the long term recovery groups. A simplified application, to be completed by and with individuals and families seeking assistance is also provided.

## Appendix A

### **Distribution Formula**

**State Distribution % = Sum of State's Impacted County Distribution %**

Impacted County Distribution % = (County's Share of Total Impacted Population + County's Share of FEMA Claims Paid + County's Median Discretionary Income Reverse Weight) / 3

County's Share of Total Impacted Population = County Population / Total Impacted Population

County's Share of FEMA Claims Paid = County FEMA Claims Paid / Total FEMA Claims Paid

County's Median Discretionary Income Reverse Weight\* = (1 - County's Share of Total Median Discretionary Income) / (Number of Impacted Counties - 1)

County's Share of Median Discretionary Income = County's Median Discretionary Income / Total Median Discretionary Income

*\*Median Discretionary Income reflects a community's ability to respond to a disaster – the higher the number, the greater the response capacity, a positive attribute. For both the population and claims paid figures, the higher the number the greater potential and actual problem, negative attributes. To account for that, the MDI weights were reversed and then re-weighted.*

