

# Arizona Department of Homeland Security Reimbursement Instructions (2014 and retroactive to all open grant awards)

The following are revised reimbursement procedures for 2014 grant programs. These instructions pertain to all grants managed by the AZDOHS. Please read these instructions carefully and contact your agency's financial contact (listed at the end of these instructions) for any questions.

## REIMBURSEMENT REQUEST FORM

1. The AZDOHS will supply stakeholders with a reimbursement request form in Excel format and instructions once all required award letter documentation is received.
  - This form includes information provided in the application process, such as contact information, address, and line-item budget. The reporting periods, current expenditure, and year-to-date cells can be edited. **Any changes to the content of this form (other than the cells which are unlocked and editable) are unauthorized and reimbursement requests accompanied by an altered form will be returned to the stakeholder for correction. Reimbursements will not be processed if the form has been altered in any way.** If changes are necessary, please contact your agency's AZDOHS regional planner or financial contact.
2. The reimbursement request form includes five categories: Major Budget Category/Line Item Detail; Contract Budget; Current Period; Year to date; and Budget Remaining.
  - **Major Budget Category/Line Item Detail and Current Period:** This is the budgeted line items and amounts awarded by the AZDOHS.
  - **Current Period:** Stakeholders should enter the amount in each line item in which it is seeking for reimbursement on in regards to this reimbursement request.
  - **Year-to-Date:** Stakeholders should enter the amount that has been submitted for reimbursement prior to the current request (Stakeholders will be notified when expenses are being denied or reduced and should make corrections to forms accordingly) **PLUS** the amount they are asking for in Current Period.
    - **Although this is consistent with 2013 request forms, it is a formula change from past years. Remember to add in the amount that is being asked for in the Current Period category into the Year-to-Date category.**
  - **Budget Remaining:** The budget remaining is the difference between the Contract Budget and the Year-to-Date (total amount reimbursed to date **plus** what is being asked for in current period).
3. The reimbursement request shall be completed, reviewed and signed by the preparer and an authorized official within the agency (**these cannot be the same person**). Both signatures are required. The AZDOHS will contact the preparer for any clarifications.
4. A completed reimbursement request form **must** include: reporting period from and to dates (**the "to" date cannot be a date that is later than the date in which the request is being submitted**), current period expenditures, year to date expenditures, budget remaining, contact information and both signatures. Information cannot be handwritten and the form cannot contain any correction tape or white-out.

## SUPPORTING DOCUMENTATION

1. A complete reimbursement request packet must include invoices and proof of payment for expenditures and cost share/match (if applicable). Sufficient payment documentation includes:
  - Copies of canceled warrants or Electronic Funds Transfer (EFT) documentation.
  - Documentation from an official accounting system which documents the payee, date, amount paid, and warrant or EFT number.
  - Copies of invoices.

- Payroll records for personnel expenditures (including backfill, overtime and Employee Related Expenditures).
  - Time and Effort Reports are required for ALL projects which salary is being charged (form available at <http://www.azdohs.gov/Grants/index.asp> under “Stakeholder Forms”).
  - Daily Activity Reports for overtime and mileage for Operation Stonegarden.
  - Signed Validation Forms for Operation Stonegarden.
  - Other documentation, such as Purchase Orders and packing slips may be required on final reimbursement requests.
2. Categorize reimbursement packets into the POETE (Planning, Organization, Exercise, Training and Equipment) model.
- As an example, if a project has been awarded funds for Planning, Equipment and Training expenditures; when submitting for reimbursement, group all Planning expenses together, mark them and separate them from all Equipment and Training expenditures. Do the same with Equipment expenditures and Training expenditures, etc.
3. When submitting for training expenditures, identify the type of training, dates, location, and any other information that may be helpful in determining allowability.
- For training and exercise expenditures, the following must be submitted:
    - Agenda
    - Duration
    - Location
    - Number of participants
    - Sign-in Roster
    - ADEM/AZDOHS approved Training Request Form
    - HSEEP Toolkit Exercise Summary (if exercise related)
4. When submitting reimbursement, place the supporting documentation (invoices, proof of payment, etc.) in the order in which they appear on the reimbursement request form.
- For example, if there is equipment and training documentation, place the equipment information first and in order the budgets appear on the reimbursement form. Submitting reimbursements out of order may result in a delay of reimbursement.
5. **Make necessary adjustments to per diems, lodging, or other travel related expenditures; including any applicable taxes, to fit within the state rates. The AZDOHS does not reimburse using GSA rates.**
- Reimbursement of travel related expenditures must be consistent with stakeholder policies and procedures as well as the State of Arizona Accounting Manual and travel policy (found at <https://gao.az.gov/travel/welcome-gao-travel>). Reimbursements that do not reflect the necessary adjustments will be returned to the stakeholder for corrections.
6. Noncompetitive Procurement (Sole/Single Source) must be preapproved by AZDOHS prior to expenditure (Subgrantee Agreement, section VII). The Noncompetitive Procurement Request Form is located on the AZDOHS website (<http://www.azdohs.gov/Grants/index.asp>) The approved Noncompetitive Procurement Request Form must be included in the reimbursement packet.

#### Other Useful Information

- Credit or purchasing card statements are not an acceptable form of payment. Stakeholders must show payment made to the creditor issuing the credit or purchasing card.
- All expenses must be received and invoiced prior to the end of the performance period. Final reimbursement requests must be received by the AZDOHS within forty five (45) calendar days following the end of the performance period.

- Please note that if a budget change request is necessary, stakeholders should refer to the “Project Modification Request Form” on the AZDOHS website at: <http://www.azdohs.gov/Grants/index.asp>
- Stakeholders expending \$500,000 or more within their agency’s fiscal year are required to complete an OMB A-133 audit (Section VI(a) of Subgrantee Agreement). **In an effort to reduce paperwork, the AZDOHS requires that audits, letters of exemption, or approved extension requests from the cognizant federal agency be submitted electronically.**
  - **Electronic versions should be submitted to: [audits@azdohs.gov](mailto:audits@azdohs.gov)**

**Helpful Hints:**

- **AZDOHS highly recommends that reimbursements for travel related expenses (such as training and exercise expenditures) be submitted separately from reimbursements for other expenses within the POETE model. A high percentage of reimbursements which include travel related expenditures require adjustments and clarifications, or lack required supporting documentation, which can cause delays in reimbursing other expenses.**
- Highlight expenditures for reimbursement on pages where multiple expenditures that are not related to the request appear.
- Stay within the approved scope and line item budgets or request modifications in advance for overages greater than 10% or \$25,000. Refer to: <http://www.azdohs.gov/Grants/index.asp>
- Submit hardcopies (emailed and faxed requests will not be accepted).
- Delinquent quarterly reports will delay reimbursement processing.
- If a final reimbursement request is being submitted which is inclusive of any supplies or equipment, please submit a copy of the packing slip for those expenses. The Subgrantee Agreement states that expenses should be invoiced and received prior to the end of the period of performance.

**FINANCE CONTACT LIST**

<b>Finance</b>	<b>Regions responsible for reimbursement requests</b>	<b>Name</b>	<b>Office</b>
Assistant Director – Finance and Administration		Terry Riordan	602-542-7056
Budget Manager	State Agencies, Central, Phoenix UASI, Stonegarden <b>(Cochise and Santa Cruz County regions)</b>	Kevin Mancino	602-542-1716
Grants Project Specialist	North	Simone Courter	602-542-7037
Grants Project Specialist	South, East, West, Stonegarden <b>(Pima and Yuma County regions)</b>	Nicole Elmer	602-542-7036

**THE FOLLOWING INSTRUCTIONS PERTAIN TO STATE AGENCIES ONLY:**

State agencies must include completed State of Arizona Companion Transaction Entry/Transfer (GAO-614) and Bach Header Record forms (GAO-500). These forms are in addition to, and not in place of the above mentioned supporting documentation required by the AZDOHS.

When completing the GAO-614 form, stakeholders should complete and sign Agency 1 information. AZDOHS will complete Agency 2 information. Stakeholders may either enter the transaction amount or leave blank. If the amount is entered and the reimbursement reduced, the agency will be required to submit a new form. If the transaction amount is left blank, the AZDOHS will enter the dollar amount prior to reimbursement. When AZDOHS processes reimbursements, the form will be submitted to (GAO) and funds will be deposited into the accounts specified by Agency 1.