

Arizona Department of Homeland Security Reimbursement Instructions (2016 and retroactive to all open grant awards)

The following are revised reimbursement procedures for 2016 and all other grant programs. These instructions pertain to all grants managed by the AZDOHS. Please read these instructions carefully and contact your AZDOHS financial contact (listed at the end of these instructions) with any questions.

REIMBURSEMENT REQUEST FORM

1. The AZDOHS will supply stakeholders with a fillable reimbursement request form in Excel format once all required award letter documentation is received by the AZDOHS.
 - 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 (all other cells are locked). 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:** These are the budgeted line items and amounts awarded by the AZDOHS.
 - **Current Period:** Stakeholders should enter the amount in each line item in which they are seeking reimbursement for in regards to each individual reimbursement request.
 - **Year-to-Date:** Stakeholders should enter the amount that has been reimbursed prior to the current request* PLUS the amount requested in current period.

* Stakeholders should be aware that AZDOHS finance staff will communicate via email any time an expense is disallowed or any portion of an expense is disallowed. Stakeholders will be notified that they should make the necessary changes to their copy of the request so that year-to-date expenses and budget remaining amounts are correct. In the event that such changes are not adequately made, stakeholders will be notified and the AZDOHS will hold reimbursements until corrections are made and a new request form is submitted.

 - **Budget Remaining:** The budget remaining is the difference between the contract budget and the year-to-date totals (total amount reimbursed to date plus the current period request).
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

4. A completed reimbursement request form must include: reporting period from and to dates (the "to" date cannot be a date which is past the period of performance and the "from" date cannot be a date which is prior to the beginning of the period of performance), current period expenditures, year-to-date expenditures, budget remaining, contact information and both signatures. Information cannot be handwritten (other than signatures) 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 all expenditures. Sufficient payment documentation includes:

- Copies of canceled warrants or Electronic Funds Transfer (EFT) documentation.
- Documentation from an official accounting system which includes the payee, date, amount paid, and warrant, EFT or payment document 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.

* Per the Subrecipient Agreement, all expenses must be invoiced and received prior to the end of the period of performance. Therefore, if supplies or equipment expenses are included in the final reimbursement request, please submit a copy of the packing/receiving slip, showing proof that said goods were received prior to the end of the agreement.

2. Categorize reimbursement packets into the POETE (Planning, Organization, Exercise, Training and

- 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
- DEMA/AZDOHS approved Training Request Form

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 may 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 whose fiscal year began on or after December 26, 2014 and expend \$750,000 or more within that and subsequent fiscal year(s) are required to complete a single or program specific audit as required by 2CFR200 Subsection F. In an effort to reduce paperwork, the AZDOHS requires that audits, letters of exemption, or Electronic versions of the single or programmatic specific audit should be submitted to: 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. Often times 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> for the Modification Request Form

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, submit a copy of the packing/receiving 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

Finance Staff - Regions responsible for reimbursement requests

Terry Riordan, Assistant Director – Finance and Administration - 602-542-7056 - triordan@azdohs.gov

Kevin Mancino, Budget Manager - 602-542-1716 - kmancino@azdohs.gov
State Agencies, Central, Phoenix UASI, Stonegarden (Cochise and Santa Cruz County regions)

Jennifer Guimond, Grants Project Specialist - 602-542-7047 - jguimond@azdohs.gov
South, Stonegarden (Yuma and Pima County Regions)

Lindsey Forry, Project Specialist - 602-542-1715 - lforry@azdohs.gov
North, East, West