

WHY WE ARE HERE



To operate
at the
*SPEED OF
BUSINESS*



To be Customer
Service Centric



To offer
Transparency &
Accountability



To seek
Continuous
Improvement



ARIZONA DEPARTMENT
OF HOMELAND SECURITY

GOVERNOR'S VISION FOR ARIZONA

- Identifying and implementing the most efficient and value-added way to improve services/processes
- Eliminating waste and inefficiencies
- Empowering our workforce
- Collecting measureable results



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WHAT AZDOHS IS DOING

- **Reimbursement Process**
 - Reduce the time it takes to process reimbursements and put the money back into your jurisdiction
- **Process Improvement Analysis**
 - Data set – Reimbursements processed between October-December 2015
 - 90 reimbursements
 - 45 agencies
 - \$1.9M
 - Average 42 days to process
 - ~ 55% experienced delays
- **Reasons for Delays**
 - Errors on reimbursement form
 - Missing documentation
 - Unallowable costs/cost clarifications



With this mission in mind, AZDOHS has chosen to focus on the improvement of the reimbursement processes for both AZDOHS and for our Stakeholders.

AZDOHS's main goal is to reduce the life cycle of the reimbursement process by reducing the amount of time it takes to process the reimbursement through our internal system and to get the money back into the hands of the stakeholders as quickly as possible.

This will be accomplished by some of the following areas.

1. Improve the reimbursement processing timeframe by increasing the number of correct and complete reimbursements received.
2. Educate the stakeholder on all facets of the reimbursements, forms, frequency, back-up documentation, training requirements, etc.
3. Trying to eliminate the most common reasons for delays in the reimbursement process which include, missing documentation and incorrect reimbursement request forms (which include but not limited to incorrect reporting dates, incorrect YTD totals and documentation not matching up to the dates the request is being submitted for).

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reimbursement process which include, missing documentation and incorrect reimbursement request forms (which include but not limited to incorrect reporting dates, incorrect YTD totals and documentation not matching up to the dates the request is being submitted for).

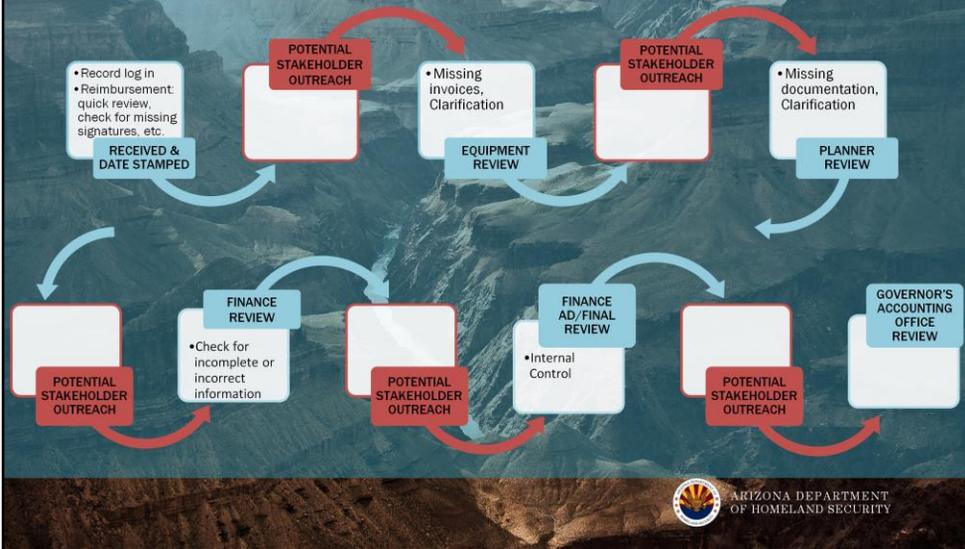
SUBRECIPIENT SURVEY FEEDBACK

- **Requests for:**
 - Online reimbursement submission
 - Confirmation of receipt of reimbursement packet
- **Clarify what supporting documentation is needed**
- **Provide checklists & resources to ensure all documentation is included in requests**
- **Clarify acceptable reimbursement reporting period dates**



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CURRENT REIMBURSEMENT PROCESS



FUTURE REIMBURSEMENT PROCESS



•Initial Log-in

•Equipment Review Complete/Log-in

•Planner Review Complete/Log-in

•Finance Review Complete/Log-in



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AZDOHS OBJECTIVES



Increase the number of complete and correct reimbursement requests to reduce the time it takes to process reimbursements

• METHODS

- RAPID Seminar
- One-on-one stakeholder outreach to new stakeholders
- Enhancing the reimbursement form (effective FFY 2016)
- Better, more accessible informational tools
- Updated website



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- We have a fairly complex system for evaluating reimbursement requests to ensure that guidelines from both State and Federal sources are being followed.
- The reimbursement request process is divided between Planning and Finance (with equipment requests also undergoing an allowability review against the Authorized Equipment List), and each area focuses on their specific area of expertise.

STRATEGIC PLANNERS LOOK FOR:

- **Quarterly Reports – Are they up to date?**
- **Invoices/Receipts**
 - Approved line-items from your award
 - Quantities
 - When the item was purchased (invoice date)
- **Service Period (contracts, warranties, etc.)**
- **Meeting/Training Agendas (attended and hosted trainings)**
- **Lodging, Meals & Incidentals – Itemized**



Here is the complete list of what Strategic Planners are looking for in your reimbursement packet:

- **Quarterly Reports – This is the first thing we check whenever a reimbursement request comes across our desk.**
 - Subrecipient Agreement requirement that was agreed to when signed.
 - Grant Management System requires quarterly reports to be logged prior to processing the reimbursement.
 - Submit quarterly reports timely to ensure there are no delays to processing your reimbursement request.
- **Invoices – After Quarterly Reports, we pull open the packet and look for invoices.** There are a few specific things we look for in each invoice/receipt.
 - **Approved line-items from your award:** We rely **very heavily** on your descriptions of what you are planning to buy with this grant money. When we get to the reimbursement request stage, we again turn to the descriptions to make sure that the things you are buying are exactly what you described.
 - **Quantities:** If you go over on your quantities, we will reduce your award proportionately to match the number of items you were awarded.
 - **When the item was purchased (invoice date):** This is very important because if the invoice date is outside of the period of performance (either before or after), then we are unable to reimburse it.
- **The service period (contracts, warranties, etc.):** We can only pay for services/contracts/etc. that occur within the period of performance. Anything beyond that has to be prorated so that we only pay for the portions that are within the period of performance. **The only exception** to this is when you purchase a warranty or service contract at the exact same time as the piece of equipment that

it covers. For guidance related to service periods, please refer to FEMA Grant Programs Directorate Policy FP 205-402-125-1 (http://www.fema.gov/media-library-data/20130726-1915-25045-9444/gpd_maintenance_policy.pdf)

For example, a 2 year extended warranty purchased with a vehicle would be fully reimbursable, but if you renew the warranty, then it can only extend the length of the period of performance.

(As a note, cell phone service is considered a recurring monthly expense; therefore, only expenses that fall within the period of performance are allowable. Any expenses outside of the period of performance will be prorated.)

- **Agendas (attended and hosted training):** These always need to be included in reimbursement requests for training-related expenses.
- **Itemized Lodging, Meals & Incidentals Information:** Any travel-related expenses being requested for reimbursement, including lodging and meals and incidentals, must be itemized so that we can clearly identify what is being requested. Finance will cover this type of expense in greater detail later.

STRATEGIC PLANNERS LOOK FOR:

- Invoices/Receipts
 - Approved line-items from your award
 - Quantities
 - When the item was purchased (invoice date)

AEL #	Item Description	Quantity	Cost	Total Cost	ADHHS approved	Approved Quantity	Approved Cost	
STCD-01-0940	Gas Multi-gas Detector	2	\$2,054.00	\$6,898.00	David Elenes	2	\$6,898.00	
STCD-01-0943	Kit Handheld Chemical Identification	1	\$69,268.00	\$69,268.00		0	\$0.00	
STCD-01-0954	Smart M & Merve Agent Detector	50	\$6.00	\$400.00	David Elenes	50	\$400.00	
STCD-01-0970	Chemical Detection Ambient Kit	4	\$376.00	\$1,500.00	David Elenes	4	\$1,500.00	
STCD-01-0978	Kit-Mat Smart Step	50	\$27.00	\$1,350.00	David Elenes	50	\$1,350.00	
STCD-01-0979	Kit-D Decimeter	3	\$1,015.00	\$3,045.00	David Elenes	3	\$3,045.00	
STCD-01-0980	Personal Radiation Dosage Monitor	6	\$366.00	\$3,652.00	David Elenes	3	\$1,776.00	
STCD-01-0988	Emergency Response Kit Survey Meter mobile detectors	2	\$3,639.00	\$7,278.00	David Elenes	1	\$3,639.00	
Totals For				Fire District Contract Number 140500-01	Approved	\$62,262.00	Approved	\$17,678.00

- **Invoices – After Quarterly Reports, we pull open the packet and look for invoices.** There are a few specific things we look for in each invoice/receipt.
 - **Approved line-items from your award:** We rely **very heavily** on your descriptions of what you are planning to buy with this grant money. When we get to the reimbursement request stage, we again turn to the descriptions to make sure that the things you are buying are exactly what you described.
 - **Quantities:** If you go over on your quantities, we will reduce your award proportionately to match the number of items you were awarded.
 - Example: If you were approved for 4 widgets for \$100, and you get them on sale for 5 for \$100, we will reduce your request to \$80 (4 widgets, \$20/each) We are ok with it if you buy fewer widgets than anticipated.
 - **When the item was purchased (invoice date):** This is very important because if the invoice date is outside of the period of performance (either before or after), then we are unable to pay for it.
 - Example: You purchased the widgets on September 26, 2015 using a grant that ends on September 30, 2015. The invoice is dated October 1, 2015. We would have to deny the entirety of the expense because the invoice date falls outside of the period of performance.



STATE OF ARIZONA
 Department of Homeland Security
 2014 STATE HOMELAND SECURITY GRANT PROGRAM
 PROJECT DETAIL

Fire District

140500-01

Equipment - Budget Narrative

Budget Description: List each item from your budget worksheet pages in the same order in which they are listed on the preceding page. For Equipment, each Allowable Equipment Category (PPE, Interoperable Communications, Detection, etc.) must be listed. Under the federal guidelines "Equipment" has been defined as any single item that has a value of more than 5,000 and a life expectancy greater than a year. However, for this budget narrative please be sure to include any and all items that can be found on the AEL. Please be sure to provide a brief description of each item and how each item will be utilized. Equipment cost estimates must be listed. For each item of equipment, list the Authorized Equipment List (AEL) Item Number. The most current AEL can be found on line at the Responder Knowledge Base at the following website: www.rkb.us. If "Other Authorized Equipment" was annotated, specify the equipment here. All equipment associated with this grant must be listed on this page only. If you have any questions or concerns regarding the AEL, please feel free to contact Michael Stidham at mstidham@azdohs.gov.

Brief Description and Utilizations	Gas detectors and monitors for first responders in incidents.	County for response to CBRNE and hazardous materials
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AEL #	Item Description	Quantity	Cost	Total Cost	AZDOHS Approved	Approved Quantity	Approved Cost
07CD-01-DPMO	5 gas MultiGas Detector	2	\$2,924.00	\$5,848.00	David Elenes	2	\$5,848.00
07CD-01-DPRS	RH Handheld Chemical Identification	1	\$59,289.00	\$59,289.00		0	\$0.00
07CD-01-NFA	Smart M-8 Nerve Agent Detector	50	\$8.00	\$400.00	David Elenes	50	\$400.00
07CD-01-KCTC	Chemical Detection Armband Kit	4	\$375.00	\$1,500.00	David Elenes	4	\$1,500.00
07CD-01-M256	Haz-Mat Smart Strip	50	\$27.00	\$1,350.00	David Elenes	50	\$1,350.00
07RD-01-EPD	RH D Dosimeter	3	\$1,015.00	\$3,045.00	David Elenes	3	\$3,045.00
07RD-01-EPD	Personal Radiation Dosage Monitor	6	\$592.00	\$3,552.00	David Elenes	3	\$1,776.00
07RD-01-HHSM	Emergency Response Kit Survey Meter w/dual detectors	2	\$3,639.00	\$7,278.00	David Elenes	1	\$3,639.00

Totals For Fire District Contract Number 140500-01 Requested \$82,262.00 Approved \$17,578.00



ARIZONA DEPARTMENT OF HOMELAND SECURITY

RAPID CHECK!

Q: What is the first thing a Strategic Planner checks when a reimbursement request is received?

A: Quarterly Reports are up to date and on file.



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STRATEGIC PLANNERS LOOK FOR:

- Sign-in sheets (hosted training)
- Time and Effort Reports (Planning, Organization, M&A, Personnel)
- After Action Reports/ Implementation Plans (Exercises)



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These items are less common but are still required as part of reimbursement requests containing training, exercise, or personnel-related expenses.

- **Sign-in sheets (hosted training):** Copies of sign-in sheets are required for reimbursement requests for training that your agency hosts. The sign-in sheets should identify the training and the individuals who were in attendance.
- **Time and Effort Reports:** Time and Effort reports are required for grant awards where personnel costs are requested for the salaries and benefits for full-time employees that are either fully or partially funded by the grant. These positions are primarily funded under Planning and M&A. (As a note, Time and Effort reports are not required for backfill/overtime associated with Training.)
- **After Action Reports/Implementation Plans (Exercises):** After Action Reports/Improvement Plans are required to be submitted with the reimbursement request for any exercises conducted using grant funds.

DELAYS

These are the most common programmatic causes of delays to reimbursement:

1. Missing supporting documents
2. Missing quarterly reports
3. Modifications
4. Extensions



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RAPID CHECK!

Q: What is one reason reimbursement requests are delayed?

Hint: There are four.

- A:**
1. Missing supporting documents
 2. Missing quarterly reports
 3. Modifications
 4. Extensions



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SUPPORTING DOCUMENTATION

- Agendas
 - Reimbursements for all trainings, conferences, workshops or similar that are attended need to include agendas
- Lodging, Meals & Incidentals
- Sign-in Sheets
- Invoices and Receipts



The following is the most common items we find are missing from reimbursement requests:

- Agendas – The single-most requested supporting document during Program review.
 - Used to support the dates of the training.
 - Used to verify lodging, meals & incidentals requests and other travel related claims.
 - Sometimes the agenda is the only document that actually says what the training is. Whatever the situation, we need to make sure we have it in the packet. Training agendas are probably the single most requested items on the Programmatic side of the house.

Missing break downs for travel requests*, sign-in sheets for hosted trainings, and invoices and receipts are all fairly uncommon problems, but they do come up from time to time, so we wanted to call your attention to them.

*Note on meals and incidentals breakdowns—they need to be broken out by meal and can sometimes be hard to locate in the packet. We cannot pay based on travel advances alone for reimbursement requests, and we are only able to reimburse up to the State rate (a copy of the Maximum Reimbursement Rates can be found at: <https://gao.az.gov/sites/default/files/5095%20Reimbursement%20Rates%20160328.pdf>).

RAPID CHECK!

Q: Can a reimbursement request be processed without an invoice or supporting documents?

A: No.



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QUARTERLY REPORTS

- Do we have all of them?
- Are they filled out correctly?
 - Subrecipient Agreement Number
 - Funding Source
 - Period of Performance (Not to be confused with “Reporting Period”)
 - Reporting Period
 - Milestones

The screenshot shows a web-based form titled "Arizona Department of Homeland Security Quarterly Programmatic Report". The form includes fields for "Date Received by AZDHS:", "Date:", "Subrecipient Agreement Number (i.e. 150006-00)", "Agency:", "Funding Source (SHGSP/UASI/OPSG)", "Period of Performance:", "Point of Contact:", "Phone:", "Email:", and "Award Amount:". Below these fields is a section for selecting the reporting period, with radio buttons for "Oct 1 - Dec 31", "Jan 1 - Mar 31", "Apr 1 - Jun 30", and "Jul 1 - Sep 30". There are also checkboxes for "Is this a FINAL/CLOSE OUT report for this grant?" and "If yes, enter the estimated amount of unexpended funds being de-obligated to AZDHS:". A section at the bottom asks "1. What dollar amount has been encumbered or expended to date? Please only include a DOLLAR AMOUNT as the percentage in cell C67 will calculate automatically based on the dollar amount you include." with a "Percentage:" label and a "REVIEW" button.



The first thing a Strategic Planner does when reviewing a reimbursement request is to verify the Quarterly Reports are up-to-date. This is done for two reasons:

1. Quarterly Reports are a contractual requirement in your subrecipient agreement.
2. The system we use won't let us log or process your reimbursement request until we have all of your Quarterly Reports.

Hints for avoiding delays related to missing Quarterly Reports:

- Submit your Quarterly Report timely.
 - Quarterly Reports are due by the 15th of the month following the end of the quarter.
 - Sometimes, the period of performance for reallocation awards begins within a quarter rather than at the beginning of a quarter. In this instance, a Quarterly Report is still required for the partial quarter.

Example: The period of performance for FFY 2014 UASI Reallocation awards began on March 1st, and the quarter ended March 31st. A Quarterly Report would be required for the period ending March 31st, even though the award was only active for one month of the quarter.
- Ensure that all information is filled out correctly.
 - Subrecipient Agreement Number – this is the 8 digit number that's included in your award letter and subrecipient agreement. It looks something like "150999-01."
 - Funding Source – Which grant did it come from? SHGSP, UASI or OPSG
 - Period of Performance – This can also be found on your subrecipient agreement and award letter. This is the range of dates that expenses are allowed to be encumbered. For a regular grant cycle, this is typically a 12 month period ranging from the 1st of October to the 30th of September the following year. (This is not to be confused with the reporting period).

- Reporting Period – This is the quarter for which you are writing your report.
- Milestones – These are the milestones that were approved for your project in your application.

MODIFICATIONS

- How would a modification delay my reimbursement request?
 - The items in the reimbursement request do not match *precisely* what was requested and approved in the application and award.
Ex: Data Link Upgrade (Microwave vs. Computer-based)
- How to avoid these delays:
 - Review your award documentation
 - Call us to discuss a modification before submitting for reimbursement
- Considered on a case by case basis



Here's an example of a modification that affected a reimbursement:

Bedrock PD had been approved by the RAC to purchase equipment to create a "data connectivity link" to their neighboring jurisdictions. In the application, this data link included the AEL for "Integrated Computer Hardware." When our office reviewed this application, the information threw up zero red flags, and everything seemed to be in order. We assumed that the applicant intended to purchase a server of some kind that would allow them to communicate with their neighbor.

Almost a year later, when we received the reimbursement request, we realized that the item requested was actually a Microwave link that needed to be fixed to a communications tower. As many of you know, fixing anything to an existing structure requires Environmental and Historic Preservation Assessment at the Federal level, which this project had not undergone.

Rather than asking Bedrock PD to foot the \$40,000 associated with the purchase, we had them submit a Modification request to change the project to a Microwave Link, and worked with them to get the EHP approval from the Feds. Ultimately, the reimbursement was approved, but not until more than 6 months after the original reimbursement submission.

This could have been avoided if the stakeholder provided a more-detailed description in their application of the type of equipment being requested and how it would be used.

EXTENSIONS

- Typically comes up for service contracts
 - Ex: Smallville Emergency Management (Notification System)
- Requires an Amendment
- How to avoid delays due to an extension:
 1. Be mindful of your Period of Performance
 2. Know when a service/warranty contract is allowable
 3. Reach out to us when you plan to begin the service contract
- Considered on a case by case basis



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Here's an example of an extension that affected a reimbursement:

Smallville Emergency Management was awarded funding by the RAC to implement a regional mass notification system.

They had to go through their internal processes to accept the award and begin the procurement process. By the time that they were ready to enter into a contractual agreement with the selected vendor and begin the service period, nearly an entire quarter had passed.

The resulting contract for services provided thirteen months of service; however, because the service contract was not established until January, this meant the service agreement would extend four months beyond the grant award's period of performance.

Rather than prorating the reimbursement request and asking Smallville Emergency Management to cover the four months' worth of costs that fell after the period of performance end date, we had them submit an Extension request to modify the period of performance. Because the Extension request was for more than 90 days, RAC approval was required.

Once RAC approval was obtained, an amendment to the Subrecipient Agreement was issued, which also required internal approvals on Smallville Emergency Management's end. The reimbursement request was ultimately approved, but not without several months going by as the process occurred.

RAPID CHECK!

Q: Can expenditures outside of the period of performance be reimbursed?



A: No; unless an extension has been submitted/approved and a fully executed amendment is on file.



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FINANCE REIMBURSEMENT GUIDELINES



- The following slides will outline the types of supporting documentation required for expenses within the POETE model;
- The typical reasons for delay from a financial standpoint, and;
- How to alleviate those delays

SUPPORTING DOCUMENTATION (POETE)

Planning & Organization

- Time and Effort reports
 - Must account for 100% of employee's time
 - <http://www.azdohs.gov/Grants/index.asp#Info>
- Payroll records for personnel expenditures
 - Includes salary charges
 - Employee Related Expenses (ERE)

AZDOHS TIME AND EFFORT REPORT

Pay Period: 10/3/2011-10/14/2011 SAMPLE

Employee Name: Mike Smith

Prog. No. (M&A, Planning or Organizational) or other activity	Week 1							Week 2							Grand Total			
	S	S	M	T	W	T	F	S	S	M	T	W	T	F				
1 77111-01 M&A			2	3			5	10				1	5	2	3	5	13.5	
2 77111-01 Planning								0									0	
3 77111-01 Organizational								0									0	
4 88101-01 M&A			2	3	4		3	12					3	5	1	4	5	16.5
5 88101-01 Planning								0									0	
7 General fund			4	2	4			10					8		5	13	23	23
8 COPR grant								0					3			3	3	3
9 Vacation								0							8	8	8	
10 Sick Time						8		8									8	
11 Holiday								0			8					8	8	
12								0									0	
13								0									0	
14								0									0	
15								0									0	
Daily Totals	0	0	8	5	8	8	4	40	0	0	8	5	8	6	40	80	80	
	Week One Total: 40							Week Two Total: 40							80			

I hereby certify that the above allocation of my time is accurate for the time period in which this report covers.

I hereby certify that to the best of my knowledge and belief, the reported time allocation entered in this report is accurate and in accordance with Local, State, and Federal Regulations and Guidance pertaining to reimbursement on Homeland Security Grant funds.

Employee Signature: _____ Date: _____ Supervisor Signature: _____ Date: _____



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SUPPORTING DOCUMENTATION (POETE)

Equipment

- **Invoices**
 - Quotes **are not** acceptable in place of invoices
- **Purchase orders, packing slips or receiving documents**
 - Requested occasionally (start/end of grant)
 - Requested as proof of receipt



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- While the AZDOHS does not always require purchase orders or packing slips, they may be required for the first and last reimbursement requests to ensure that funds were not obligated prior to the beginning of the period of performance and that all goods and services were received and invoiced prior to the end of the period of performance.
- Stakeholders may purchase service agreements and warranties that extend past their period of performance as long as:
 1. Those agreements and warranties are purchased at the same time (incidental) as the equipment

SUPPORTING DOCUMENTATION (POETE)

Agency-Hosted Training (i.e. CERT Training):

- Agenda
- Duration
- Location
- Number of participants
- Sign-in roster
- AZDOHS/DEMA Reimbursement Pre-Approval Request (if training is scheduled/coordinated through DEMA)
- Invoices and proof of payment



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SUPPORTING DOCUMENTATION (POETE)

Training *with* Travel (i.e. NHSC, ATAP, ICTOA):

- Agenda
- Registration documentation
- Hotel receipt showing a \$0 balance
- Documentation showing the hotel was conference/backup conference hotel
- Itemized Lodging, Meals & Incidentals
 - In compliance with the Arizona General Accounting Office Travel Policy
- Call us if you have any questions before making travel plans



Please be aware that reimbursable travel days are the day of or prior to the conference/convention/meeting start and the day of or after the completion. Any exceptions (such as traveling two or more days prior to or after the completion of) must be pre-approved by AZDOHS. Otherwise all costs (lodging, meals and incidentals, taxi, etc.) associated with the extra days will be borne by the traveler.

In regards to documentation showing the hotel was a conference/backup conference hotel: The State of Arizona Accounting Manual (SAAM) provides the following guidance on lodging for non state conferences (SAAM Topic 50, Section 40):

2. Non-state (which is to say, those events not hosted by the State) conferences, conventions and meetings.

2.1. Lodging reimbursements related to these events may not exceed the least expensive single room rate published in the conference brochure for the conference designated lodging; this may not necessarily be the host hotel.

2.1.1. At times, other rates, such as government rates, that are lower than the published conference rate, may be available. Those arranging travel related to conferences should always inquire as to the availability of lower rates.

2.1.2. Frequently, accommodations at a lower cost but on a par with the hotels listed in the conference brochure are conveniently located within reasonable walking distance of the event; those making arrangements should investigate such opportunities to reduce cost.

2.1.3. Non-state personnel, such as contractors, if sent to a conference in connection with State business are, if attendance and travel-related expenses will be paid by the State (no matter the funding source, e.g., a Federal or private grant or award), subject to the same limitations as apply to State employees.

SUPPORTING DOCUMENTATION (POETE)

Exercise

- Agenda
- Sign-in-roster
- DEMA/AZDOHS approved request form
- Exercise After-Action Report (HSEEP)
- Invoices and proof of payment



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RAPID CHECK!

Q: What are allowable reimbursable travel days?



A: One day prior to the start of the event and one day after the completion of the event.



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FINANCE REASONS FOR DELAY

1. Reimbursement Request Form issues
2. Missing support documentation
3. Cost-related delays:
 - Unallowable Costs
 - Cost Clarifications
 - Costs outside of the period of performance
4. Missing quarterly reports



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REIMBURSEMENT REQUEST FORM ISSUES

Reporting Periods

 **Not Accepted**

Contract Number	123456-01		
Reporting Period From:	10/1/2016		
Reporting Period To:	10/31/2016		
Funds Begin	10/1/2015	Funds End	9/30/2016

 **Accepted**

Contract Number	123456-01		
Reporting Period From:	10/1/2015		
Reporting Period To:	11/30/2015		
Funds Begin	10/1/2015	Funds End	9/30/2016

Contract Number	123456-01		
Reporting Period From:	8/31/2015		
Reporting Period To:	9/30/2015		
Funds Begin	10/1/2015	Funds End	9/30/2016

Contract Number	123456-01		
Reporting Period From:	10/1/2015		
Reporting Period To:	9/30/2016		
Funds Begin	10/1/2015	Funds End	9/30/2016



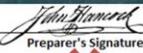
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- These cells must be filled in
- Stakeholders have discretion to enter whatever dates (Stonegarden excluded) that are logical to them
 - This is a change from previous years. We're opening this up to the stakeholders discretion.
- If unsure what dates to use, we suggest that the reporting period "from" date be the date of the first obligation for the request and the "to" date be the last payment date for the request

REIMBURSEMENT REQUEST FORM ISSUES

- Missing second signature or duplicate signatures
 - Internal control
 - State of Arizona Accounting Manual Topic 05: Internal Controls; Section 05 General Internal Controls Policy and Procedure 2: “All transactions – payroll, disbursements, purchases, personnel actions, etc. – should be approved by a designated person.”

 Preparer's Signature	John Hancock, President of Congress Name/Title	123-704-1776 Phone Number
		
Stakeholder Authorizing Signature	Name/Title	Phone Number

 Preparer's Signature	John Hancock, President of Congress Name/Title	123-704-1776 Phone Number
 Stakeholder Authorizing Signature	John Hancock, President of Congress Name/Title	123-704-1776 Phone Number



One individual should prepare and sign the request and a separate individual should review it and authorize it. This is an internal control which provides assurance that to the best of his/her knowledge both individuals believe the reported expenses are valid and are consistent with the terms of the contract.

SAAM Topic 05 Internal Controls; Section 05 General Internal Controls:

2. All transactions—payroll, disbursements, purchases; personnel actions, etc.—should be approved by a designated person. Any person designated an approval authority over any transaction should:

- 2.1. Be at the level of management appropriate for such authority.
- 2.2. Have the requisite operational, procedural and financial expertise to determine the appropriateness of the transactions over which he has approval authority.

RAPID CHECK!

Q: What is one reason for delay that the Finance team encounters?

Hint: There are four.



- A:**
- Reimbursement Request Form Issues
 - Missing support documentation
 - Cost-related delays
 - Missing Quarterly Reports



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MISSING DOCUMENTATION

- Agendas for trainings and exercises
- Proof of payment
- Invoices



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- Missing support documentation includes:
 - Missing invoices
 - Missing proof of payment
 - Missing travel claims
- Using the checklist and reimbursement instructions may alleviate any issues with missing documentation.

COST-RELATED DELAYS

- **Only purchase:**
 - Equipment, supplies, services, and training expenses awarded in the approved budget narratives
- **Do not procure/obligate:**
 - Equipment, supplies, or services prior to the Period of Performance
 - 2CFR200 §200.309: “A non-Federal entity may charge to the Federal award only allowable costs incurred during the period of performance”



- Cost-related delays include:
 - Charging for expenses that were not approved in the application
 - Not adjusting travel expenses to fall in line with SAAM reimbursement rates (SAAM Topic 50, Section 95)
 - Costs that were encumbered prior to the beginning of the period of performance
 - Recurring expenses (such as cell phones and aircards) that extend after the period of performance (for example, if the POP ends on September 30 and the cell phone bill covers September 15-October 14, only the portion of the bill from September 15 to September 30 can be charged) must be prorated.

COST-RELATED DELAYS

- **Travel-related expenses:**
 - Default to the State of Arizona Accounting Manual policies, hotel rates, and Meal and Incidentals (M&I) rates
 - <https://gao.az.gov/publications/saam> (Travel is Topic 50)
- **Contact AZDOHS in advance of scheduling travel if you are unsure of whether or not your travel expenses are allowable**



It's never a bad idea to contact us in advance of scheduling travel just to make sure your planned expenses will be reimbursed (especially when it comes to rental vehicles, long term travel, and hotel charges for other than the host hotel).

QUARTERLY REPORTS

- Remember!
 - Reimbursement requests cannot be processed if quarterly reports are not up to date and on-file with AZDOHS.

Arizona Department of Homeland Security Quarterly Programmatic Report	
Date Received by AZDOHS:	
Date:	
Subgrantee Agreement Number (i.e. 130006-00)	Agency:
Funding Source (SHSGP/US/ISOP/SG)	Period of Performance:
Point of Contact:	Phone:
Email:	Award Amount:
Please check the box of the quarterly reporting period and SELECT A YEAR FROM THE DROP-DOWN MENU	
<input type="checkbox"/> Oct 1 - Dec 31	
<input type="checkbox"/> Jan 1 - Mar 31	
<input type="checkbox"/> Apr 1 - Jun 30	
<input type="checkbox"/> Jul 1 - Sep 30	
Is this a FINAL/CLOSE OUT report for this grant?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, enter the estimated amount of unexpended funds being de-obligated to AZDOHS:	
If yes, is the Property Control Form attached? (if applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. What dollar amount has been encumbered or expended to date? Please only include a DOLLAR AMOUNT as the percentage in cell C67 will calculate automatically based on the dollar amount you include.	
Percentage:	REVIEW



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- Our grants management system is coded in such a way that if quarterly reports are not entered within 15 days of the end of the quarter, reimbursements cannot be processed, even if the reimbursement was submitted before the 15 day grace period.

REIMBURSEMENT PACKET CHECKLIST

- Reimbursement Form Requirements
- Support Documentation
 - POETE
- Proof of Payment
- Signatures

Arizona Department of Homeland Security
Reimbursement Request Checklist
(This checklist is not intended to be submitted to ADOHS.)

REIMBURSEMENT OF COSTS FORM Prepared by the project beneficiary, or another person responsible with

- **Reporting Period Dates**
 - Reporting Period from - Date cannot be outside of the period of performance.
 - Reporting Period to - Date cannot be outside of the period of performance.
- **Current Period** - Enter amount you are seeking on this reimbursement.
- **Year to Date** - Enter total amount reimbursed to date (which includes any ADOHS reductions to previous reimbursements) UP TO the amount of this request.

BUDGET CODE	AMOUNT	SUPPORT DOCUMENTATION	DATE OF PERFORMANCE	REIMBURSEMENT PERIOD
Personnel/Personal Services	Contractor Compensation	Equipment	Travel	Final Reimbursement
• Time and Effort Report Form	• Daily Activity Report	• Invoice Only (Statement of Work available)	• Receipts	• Per diem, lodging, vehicle and parking (if not reimbursed via other Accounting Office (AO) codes)
• Travel and Security Expenses	• Fuel Expenses	• Agency Statement	• Receipts	• Copy of Vehicle Order and Parking (if not reimbursed via other Accounting Office (AO) codes)
• Other Expenses	• Payroll (including overtime, holiday, and sick pay)	• Agency Statement	• Receipts	• Copy of Vehicle Order and Parking (if not reimbursed via other Accounting Office (AO) codes)
• Other Expenses	• Payroll (including overtime, holiday, and sick pay)	• Agency Statement	• Receipts	• Copy of Vehicle Order and Parking (if not reimbursed via other Accounting Office (AO) codes)

CHECK FOR PAYMENT Acceptable types of payment include cash, check or payment of credit card to requestor.

- Copy of Cashed Check
- Electronic Funds Transfer (EFT) (Must include name, date, amount, bank, and signature or EFT number)
- Official Accounting Transaction Detail

OTHER

- Quarterly Programmatic Reports (Disaggregated quarterly reports will delay reimbursement processing)

TWO SIGNATURES REQUIRED Required for all reimbursements.

- Preparer
- Authorized Agency Official

ANY QUESTIONS? Please don't hesitate to call us. 602.542.7013



- This checklist is a tool for stakeholders and is not required for submission and approval of reimbursement requests
- It is a summary of the types of issues we see from a financial standpoint that cause most of the delays in reimbursements
- Refer to slide 31

RAPID CHECK!

Q: When are you encouraged to call AZDOHS?



A: Any time you are unsure – preferably **before** you obligate or expend funds, not after.



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GOAL: COMPLETE AND CORRECT REIMBURSEMENT REQUEST PACKET UPON INITIAL SUBMISSION

METHODS

- RAPID Seminar
- One-on-one stakeholder outreach to new stakeholders
- Enhancing the reimbursement form (effective FFY 2016)
- Better, more accessible informational tools
- Updated website



Referring back to the beginning of the seminar where we shared our goal – To receive Complete and Correct Reimbursement Request Packet upon initial submission thus reducing the timeframes to process reimbursements, we would like to recap the items we went over today.

- Seminar: it is our hope that this seminar provided information that will help us work together to accomplish that goal by providing further clarification on what our process is and what is required to have a complete reimbursement packet.
- 1 on 1: If you have questions regarding a specific agency transaction, please contact us. We are glad to have a 1 on1 discussion with you. Also, if you know there are new personnel that will become involved in the grant process, please let us know so that we can reach out to them and provide 1 on 1 training.
- Enhance the Reimbursement Request form:
 - Comment boxes have been added to provide additional information on what is to be entered. Refer to slide 29.
 - Lessened the restriction in the “Reporting Period” boxes
- Informational tools
 - Developed a checklist for the stakeholder to use as they prepare their reimbursement request
 - Added two additional tabs to the Reimbursement Request form: 1) Reimbursement instructions and 2) Checklist
 - These, along with today’s PPT, will be posted on our website
- Updated Website – although still underway and hopefully updated by this fall, we hope to provide a more intuitive and user-friendly website

ADMINISTRATION

- Q & A
- Contact List
- Participant Feedback Form



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