

Arizona Department of Homeland Security Reimbursement Instructions (2013 and retroactive to all open grant awards)

The Arizona Department of Homeland Security (AZDOHS) is implementing revised reimbursement procedures for the 2013 grant programs. These instructions pertain to all grants managed by the AZDOHS. Please read these instructions carefully and contact your agency's grants project specialist (listed at the end of these instructions) for any questions.

REIMBURSEMENT REQUEST FORM

1. The AZDOHS will supply stakeholders with a reimbursement request form and instructions once all required award letter documentation required is received.
 - This form includes information supplied during the application process, such as contact information, address, and line-item budget. **Any changes to this form are unauthorized and reimbursement requests accompanied by an altered form may 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.
 - Stakeholders may recreate this form in a software package of their choosing; however, all information must remain consistent.
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 reimbursed prior to this particular reimbursement request (Stakeholders will be notified when expenses are being denied or reduced and should make corrections to their copies of the reimbursement request accordingly) **PLUS** the amount they are asking for in Current Period.
 - **This is a formula change from previous years, so 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). Reimbursement requests will not be processed without both signatures. The AZDOHS will contact the preparer for any clarifications.
4. A completed reimbursement request form **must** include: reporting period from and to dates, current period expenditures, year to date expenditures, budget remaining, contact information and both signatures.

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 should include:
 - Copies of canceled warrants or Electronic Funds Transfer (EFT) documentation.
 - Documentation from an official accounting system which documents the payee, date and 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 currently opened in which salary is being charged (form available at <http://www.azdohs.gov/Grants/index.asp> under “Stakeholder Forms”).
 - Daily Activity Reports for any overtime or mileage for Operation Stonegarden.
 - Signed Validation Forms for Operation Stonegarden.
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.
3. When submitting for training expenditures, explain type of training, when the training took place, where the training took place and any other information that may be helpful in determining allowability.
- For training and exercise expenditures, the following copies 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, please place the supporting documentation (invoices, proof of payment, etc.) in the order in which they appear on the reimbursement request form.
- For example, if you have 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 per diem adjustments for any lodging or travel expenditures including any applicable taxes to fit within the state rates.**
- Reimbursement of travel related expenditures must be consistent with the stakeholder’s policies and procedures as well as the State of Arizona Accounting Manual (SAAM), found at <http://www.gao.state.gov>. 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/Documents/Grants/NoncompetitiveProcurementRequestForm.xls>.) 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). **The AZDOHS will begin accepting electronic submissions beginning with the FY2013 audits.**
 - **Electronic versions should be submitted to:**
Lois George at lgeorge@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, clarifications or lack required supporting documentation and can cause delays in reimbursing other expenses, which in any other case could be reimbursed more quickly.**
- 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/Documents/Grants/AZDOHSModificationRequestForm.xls>
- Submit hardcopies (emailed and faxed requests will not be accepted).
- Delinquent quarterly reports will delay reimbursement processing.

FINANCE CONTACT LIST

Finance	Regions responsible for reimbursement requests	Name	Office
Assistant Director – Finance and Administration		Terry Riordan	602-542-7056
Budget Manager	State Agencies	Kevin Mancino	602-542-1716
Grants Project Specialist	Central, and Phoenix UASI	Lois George	602-542-7047
Grants Project Specialist	Stonegarden and South	Simone Courter	602-542-7037
Grants Project Specialist	North, East, and West	Nicole Elmer	602-542-7036

THE FOLLOWING INSTRUCTIONS PERTAIN TO STATE AGENCIES ONLY:

Beginning on June 11, 2012 all state agencies must include completed State of Arizona Companion Transaction Entry/Transfer (GAO-614) and Bach Header Record forms (GAO-500) when submitting for reimbursements. 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, agencies are only required to complete and sign the Agency 1 information as the batching agency. The AZDOHS will complete Agency 2 information. Stakeholders may either enter the transaction amount or leave the amount blank. If the agency decides to enter the transaction amount and the reimbursement is reduced, the agency will be required to submit a new form. Otherwise, if the transaction amount is left blank, the AZDOHS will enter the dollar amount prior to reimbursement.

Once the AZDOHS processes reimbursements, the forms will be submitted to the General Accounting Office (GAO), where GAO will deposit funds into the proper accounts specified by Agency 1.