

Reimbursement Request Requirements for American Recovery & Reinvestment Act/Clean Water Act 604(b) Projects

Introduction

At minimum, reimbursement requests are required for quarters when total life-to-date project expenditures reach or exceed 25%, 50%, 75% and 100% of the total award amount. If desirable, sub-recipients may also submit reimbursement requests for quarters where none of the above milestones was achieved.

When submitting a reimbursement request, documentation is only required for the period indicated on the Expenditure and Reimbursement Report form. It is not necessary to provide documentation for the entire life of the project with each reimbursement request. If the sub-recipient waits until 25% of the award is expended, documentation must be submitted for all costs up to the 25% milestone. If the next reimbursement request occurs when 50% of the award is expended, documentation must be submitted for all expenditures from 25% to 50% of the award amount, and so forth.

Regardless of the quarter when a reimbursement request is submitted, it must include the three forms described in the next section, all required documentation, and *must be received by the 21st of the month after the end of the quarter*. Hard copies of all reimbursement requests (including original signatures) should be mailed to Pieter Bridge at the address below. A copy of each reimbursement request should be sent to the NYSDEC project manager(s) assigned to your project (this copy may be submitted via email).

Mailing address for hard copies of reimbursement requests:

*Pieter Bridge
NYSDEC, Division of Water
Bureau of Program Resources
625 Broadway, 4th Floor
Albany, NY 12233-3507*

Forms to be Submitted with Reimbursement Requests

The following documents (**signed and dated**) are required with **all** sub-recipient reimbursement requests. These documents are available on the DEC website (www.dec.ny.gov/lands/64514.html).

1. Expenditure Reimbursement Report Form (MS Excel, 4 Mb)

- Remember to include any advance amounts or previous payments received in the reimbursement summary section.
- Be sure all dates fall within the specified Reporting Period on the cover page.
- Provide specific details when listing quarterly activities performed by each employee on the Personal Services and Contractual Services Summary Pages.
- Associate expenditures with work plan tasks. An easy alternative to relisting quarterly tasks in the small space provided on the summary pages is to either create a key on your quarterly report project progress matrix, or include a related contract task key with your reimbursement request. See Attachment I on page 5 for an example Related Contract Task Key.

2. Self-Certification Form (PDF, 12 Kb)

3. State Aid Voucher (PDF, 122 Kb)

NOTE: If project costs include both eligible and ineligible costs, a breakdown of those costs, a description of their relation to the project as well as an explanation of the cost share determination must be included with the reimbursement request. All documentation associated with this project must be maintained for a period of six years beyond the end of this contract term or three years beyond the close out of any federal grant under which these costs are claimed by DEC, whichever is greater.

Documentation Requirements for Reimbursement Requests

The Expenditure and Reimbursement Report form includes the sections listed below. The following documentation must be submitted with each Reimbursement Request:

1. Personal Services (hours worked by employees)
 - i. Submit daily time and activity records for each individual employee, signed by the appropriate supervisor **OR** complete, sign and submit the Personal Services Summary sheet that also certifies that original daily time and activity records are available for inspection. The summary sheet and original records must include: the employee's name and/or title; hourly rate; relation of tasks performed to the contract, including the dates and numbers of hours worked each day; and total costs claimed for each individual (hourly rate times the number of hours worked).
 - ii. In most cases, time spent on the project by elected officials is not eligible for reimbursement. However, when prior approval is received by the project manager, time spent by an elected official in lieu of hiring additional staff may be reimbursable. Even when approved by the project manager, the cost will only be reimbursed at the local prevailing wage rate of the routine title used to perform the task, not at their official salary.
2. Non-Personal Services (travel, equipment, supplies & materials, contracts and other)
 - i. Travel
 - o Signed and dated receipts for all travel expenditures **OR** complete, sign and submit the Travel Expenditure Summary sheet that also certifies that original travel records are available for inspection. Travel summary sheet and original receipts must include: the traveler's name and/or title; the date, origin and destination of travel; the relation of the trip to the project; the method of travel; and the method of calculating mileage (i.e., rate per mile), if it is claimed.
 - ii. Equipment
 - o Signed and dated copies of payment vouchers, invoices with check number and date issued or copies of canceled checks must be submitted **OR** complete, sign and submit the Equipment Summary sheet that also certifies that original equipment purchase records are available for inspection. The summary sheet and original vouchers and invoices should include: payee;

description of item; amount; and relation of the item to the project if not clearly identified in approved project work plan.

iii. Supplies & Materials

- Signed and dated copies of payment vouchers, invoices with check number and date issued or copies of canceled checks must be submitted **OR** complete, sign and submit the Supplies and Materials Summary sheet that also certifies that original supply and material purchase records are available for inspection. The summary sheet and original vouchers and invoices should include: payee; description of item; amount; and relation of the item to the project if not clearly identified in approved project work plan.

iv. Contracts

- Signed and dated copies of payment vouchers, invoices with check number and date issued or copies of canceled checks must be submitted **OR** complete, sign and submit the Contractual Services Summary sheet that also certifies that original contractual services records are available for inspection. The summary sheet and original vouchers and invoices should include: payee; description of contracted service; amount; and relation of the service to the project if not clearly identified in approved project work plan.

v. Other (please specify)

- Signed and dated copies of payment vouchers, invoices with check number and date issued or copies of canceled checks must be submitted. Voucher or invoice should include: payee; description of item; amount; and relation to the project.
- If indirect costs are claimed on something other than personnel services above, indicate the current rate, costs included in that rate, and to which amount the indirect rate is applied.

Attachment I: Example Contract Task Key

Creating a task key such as this is an alternative to entering descriptions of quarterly activities reported in the quarterly report on the Project Progress table, in the small spaces provided on the reimbursement request summary sheets. The numeric levels of the task key are the tasks listed on the Project Progress table of the quarterly report.¹ The alpha levels of the task key are quarterly activities as shown on the Project Progress table.² Once this task key is created, text entered in the Related Contract Task columns on the reimbursement request summary sheets can be limited to number-letter combinations (i.e. 1-C, 2-B, 7-A, etc.).

Related Contract Task Key

1. Develop or obtain a set of principles against which to compare plans and codes.
 - A. Visited five web sites about Smart Growth
 - B. Visited three web sites about LID
 - C. Spoke with four professionals.
 - D. Prepared and received approval of Master Principles document.
2. Solicit ten (10) municipalities to participate.
 - A. Contacted 20 municipalities by telephone to request time on town board agenda.
 - B. Scheduled agenda time with 15 municipal boards.
 - C. Prepared presentation.
 - D. Attended six municipal board meetings.
3. Collect comprehensive plans and municipal codes to review.
 - A. Received comprehensive plans and municipal code documents from two municipalities.
6. Prepare Quarterly Reports
 - A. Document Progress throughout quarter.
 - B. Prepare quarterly report using templates and submit to DEC.
7. Prepare Reimbursement Requests
 - A. Document expenditures throughout quarter

¹ These tasks should be the same tasks originally listed in the project work plan.

² Note that tasks 4 and 5 did not have any quarterly activity and are therefore not included in this task key created for the reimbursement request.