

# HUDSON RIVER ESTUARY PROGRAM FINANCIAL REPORT GUIDELINES 2019

## Frequency and Schedule

As part of NYS Grants Reform, **Financial Reports are required** to be submitted on a **quarterly** basis, within thirty (30) days following the end of the quarter. Quarters are based on the NYS fiscal year as follows:

- First Quarter: April – June  
**Report due by July 30**
- Second Quarter: July – September  
**Report due by October 30**
- Third Quarter: October – December  
**Report due by January 30**
- Fourth Quarter: January – March  
**Report due by April 30**

Please see the Grantee Guidelines provided in the initial contract packet for additional information about the reporting schedule for your contract.

## Required Forms

The following forms and associated documentation are required as part of the financial reporting task:

### **A. New York State Aid Voucher**

**Complete Sections 2, 4, 6 & 8 (highlighted in yellow on the voucher form)**

- **Section 2: “Payee ID”** – enter the organization’s Federal Identification Number
- **Section 4: “Payee Name and Address”** – organization name and address
- **Section 6: “Description of Charges”** – *Do not list the individual expenses in this section.* This will be done on the Attachment A-Grant Payment Summary Sheet (letter B below). Please enter the following information in this section:
  - “Hudson River Estuary Program Grant Contract # (fill in contract #)  
Reimbursement of Attached Expenses
- **Section 8: “Payee Certification”** – sign and date
- **TOTAL** – enter the Total Expense from the Attachment A-Grant Payment Summary Sheet. This total should include the match and the expenses for reimbursement. *Do not fill in any of the other fields below the Total.*

### **B. Attachment A - Grant Payment Summary Sheet**

- **Column 1: Work Element** – use the line item type from the contract expenditure budget: personal services (salary or fringe benefits), contractual services, travel, equipment, or other
- **Column 2: Description of Work, Materials, Services** – describe type of work/service for the line item
- **Column 3: Contractor / Vendor/ Employee** – name of person or entity/vendor who completed the work/service
- **Column 4: Invoice # Date** – vendor’s invoice number and date of invoice
- **Column 5: Check #/ Date** – check number and date of the check that paid the invoice. If a credit card was used, note “credit” in this field and the date of the credit card statement.
- **Column 6: Portion for Grant Reimbursement** (if applicable) – the amount of the expense to be reimbursed
- **Column 7: Match Portion** (if applicable) – the amount of the expense contributed as match
- **Column 8: Total** – total of the Grant Reimbursement and Match columns
- *Include all Match amounts on the Attachment A, including any in-kind work*
- This form *must be signed and notarized* at the bottom

**C. Supporting Documentation for Expenses from Attachment A**

All line items on the Attachment A must be substantiated by supporting documentation, including all amounts for Grant Reimbursement (Column 6) and Match (Column 7). Supporting documentation includes copies of invoices, receipts, payroll documents, timesheets, etc. to substantiate the detail of the expense, as well as copies of checks or credit card statements (with the item highlighted or circled) to verify actual payment of expenses. If a receipt or invoice shows as paid with a \$0 balance, copies checks/credit card statements are not required.

**D. Certificate of Compliance**

Complete the requested information in the form. This form must be signed by a certifying officer of your organization or municipality. The amount to be certified is the Total amount from the Attachment A-Grant Payment Summary (specifically, the total line from Column 8).

**Report Submission**

Please submit **one signed report** (**electronic ONLY**) on a quarterly basis according to the schedule noted on the previous page. Payment will be released upon approval of the quarterly progress report.

If the request is part of the Final Report, please see the **HRE Final Report Guidelines 2019** for additional requirements for the Final Report. Note final financial reports must include a **Final Payment Release Form** signed by a certifying officer of your organization or municipality. The final payment will be released upon Project Manager approval of the Final Report.

All forms required for the financial report are in electronic format, and are provided at time of contract execution. Forms will also be posted on the Estuary Program Grants web page at <http://www.dec.ny.gov/lands/5091.html>.

Please direct all report submissions and questions to:

Susan Pepe, Grants Coordinator  
Hudson River Estuary Program  
NYSDEC  
625 Broadway, 4<sup>th</sup> Floor  
Albany, NY 12233-3506

Phone: (518) 402-8270

Email: [susan.pepe@dec.ny.gov](mailto:susan.pepe@dec.ny.gov)

**Minority and Womens' Business Program – Quarterly Report (If Applicable)**

If M/WBE reporting applies to your contract, you will need to complete reporting as required in the contract. If applicable, complete the M/WBE Quarterly Report Form available online at <http://www.dec.ny.gov/about/48854.html>. This report should be **submitted directly to the NYS DEC M/WBE unit** at [mwbe@dec.ny.gov](mailto:mwbe@dec.ny.gov) by **the 10th day following each end of quarter** over the term of the Contract (**do not** send a copy to the Grants Coordinator). For further assistance about the applicability of M/WBE, or completing the M/WBE quarterly form, please contact the M/WBE Department at (518) 402-9240 or [mwbe@dec.ny.gov](mailto:mwbe@dec.ny.gov).