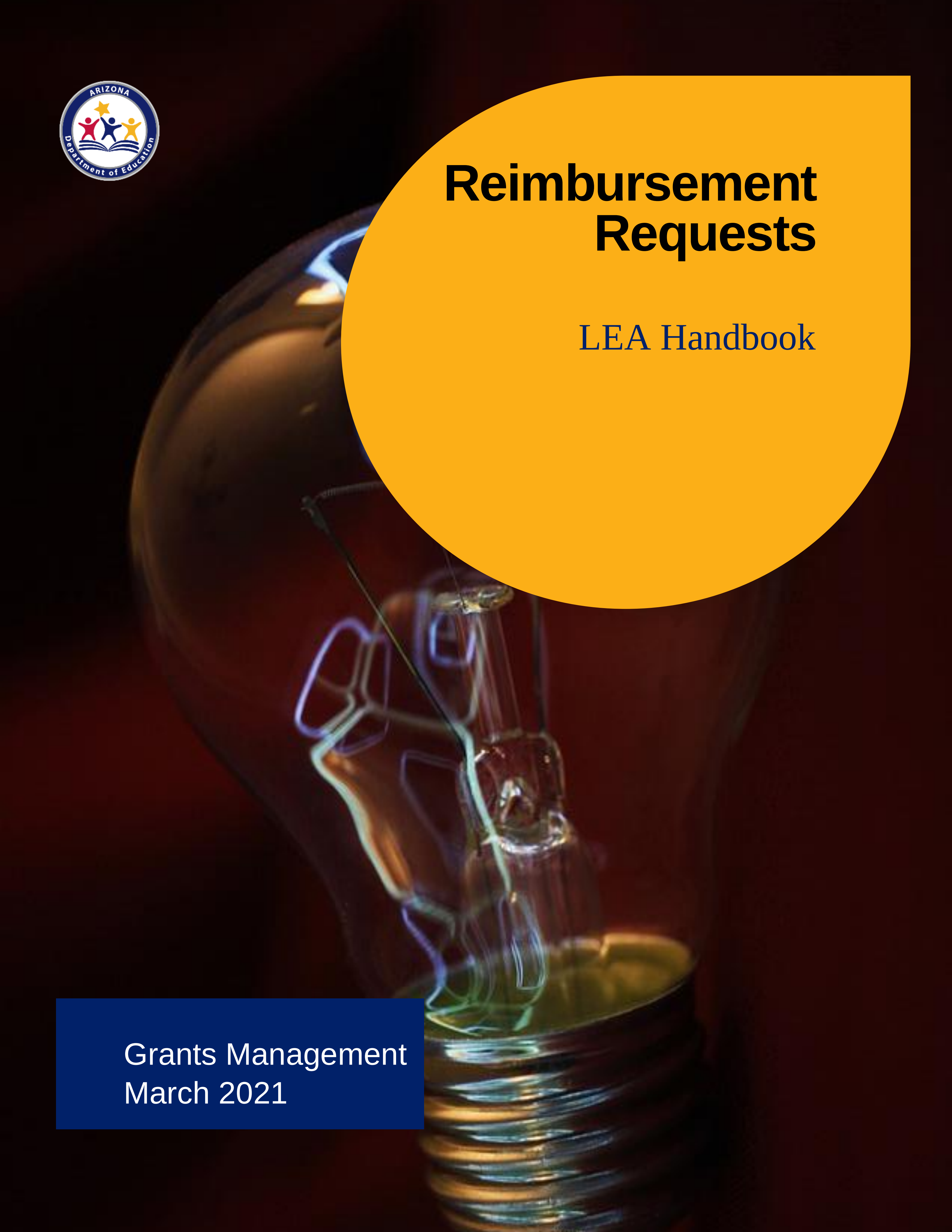

# Reimbursement Requests

LEA Handbook

Grants Management
March 2021

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# Pre-Reimbursement Request Checklist

- ☐ **Is my original funding application in SEA Director Approved status?**
  - If not, you will not be able to initiate a request.

- ☐ **If this is not the first reimbursement, is my last reimbursement request for this project in paid status?**
  - If not, contact Grants Management staff for assistance.

- ☐ **Am I prepared to enter all cumulative expenditure information?**
  - If not, verify that the ependiture information is cumulative for the entire fiscal year to date.

- ☐ **Are any supplemental documents requried for this request?**
  - If your request is for 20% or more of your total allocation, you will be required to upload expenditure summary report.
  - Some grants also require supporting documents such as invoices to be uploaded; contant your Grants Management Coordinator for guidance.

# Reimbursement Request Overview

A reimbursement request (RR) is the manner in which LEAs get the monies that were awarded to them through federal and state grants. The LEA spends grant monies on appropriate items and then requests to be reimbursed for those expenditures. Additional information is needed if the reimbursement request is at 20% or more of the total grant allocation.

Reimbursement requests cannot be created until the original funding application is approved. Reimbursement requests can and should be submitted when the funding application is pending a revision. However, you need to be mindful of changes in budget line items that the revision may require.

## GME Roles associated with a Reimbursement Request

There is only one required role to initiate, update, and submit Reimbursement Requests: **LEA Business Manager**.

**LEA User Access Administrator** is a role that allows an LEA (local education agency) user to assign the proper GME roles to themselves and all other users within their organization. Thus, users who are unable to work with reimbursement requests should check with this individual to ensure the correct role has been assigned.

## Steps in the Process

Original funding application is in SEA Director Approved status

↓

RRs should be submitted regularly throughout the year; though, previous submitted RR must be in paid status before a new RR can be created

↓

Record year-to-date expenditures

↓

Justification and documentation (expenditure summary report) required when requesting 20% or more of the allocation

## Reimbursement Request Submittal Process

A reimbursement request can be submitted as soon as a funding application is approved. After that, reimbursement requests should be sumitted regularly throughout the the life of the project. When requesting 20% or more of the grant allocation, additional justification via Create Comment page as well as an expenditure summary report must be provided.

A reimbursement request can not be submitted after the project end date.

**Draft Started** → **Draft Completed** → **LEA Business Manager Approved**

For expenditures that were obligated after the project begin date but before the substantial approval date (SAD), please reach out to Grants Management to determine if an exception can be granted.

## Expenditure Summary Report

The expenditure summary report is information taken from the LEAs accounting system. This includes information such as purchase summary, purchase amount, and date, and must be connected to specific grants. This information is needed to complete reimbursement requests and it may or may not be required as an attachment in such request.

Creating an expenditure summary report is different in each accounting system. Below are examples from Visions and QuickBooks.

## VISIONS EXPENDITURE SUMMARY REPORT

Reports are needed for some Reimbursement Requests (RRs) and all Completion Reports (CRs)

### 1 GO TO REPORTS

To create a Visions Account Listing Summary Report, log into your Visions and go to Reports.

### 2 SELECT AZ-GRANTS MANAGEMENT REPORT

Selection Parameter Box will open up upon selecting this report.

### 3 SELECT THE APPROPRIATE INFORMATION

Select the appropriate fund, date range, fiscal year (FY), etc.

### 4 MOST FREQUENT INFORMATION CHOICE

To Date: project end date or 90 days past the end. FY: current year only. Fund and/or Account Filter Mask: fund code of the desired grant.

### 5 CLICK OK

This will confirm the action and populate the report on the screen.

### 6 SAVE LOCALLY ON YOUR PC

Once the report is saved, you can attach it in GME's RR's Related Documents or CR's CR Related Documents pages.

## QUICKBOOKS EXPENDITURE SUMMARY REPORT

Reports are needed for some Reimbursement Requests (RRs) and all Completion Reports (CRs)

### 1 GO TO REPORTS

To create a QuickBooks Account Listing Summary Report, log into your QuickBooks and go to Reports.

### 2 SELECT CUSTOM REPORTS

Custom reports need to be selected to proceed to the next step.

### 3 CLICK ON SUMMARY

Reader's digest

This will allow you to get to a section where you will see Modify Report window.

### 4 STEPS FOR *MODIFY REPORT* WINDOW

Under Display tab, select Account List on Display Rows by. Under the Filters tab, select ALL ACCOUNTS on the Account filter.

### 5 CLICK OK

This will confirm the action and populate the report on the screen.

### 6 SAVE LOCALLY ON YOUR PC

Once the report is saved, you can attach it in GME's RR's Related Documents or CR's CR Related Documents pages.

# Reimbursement Request Advance

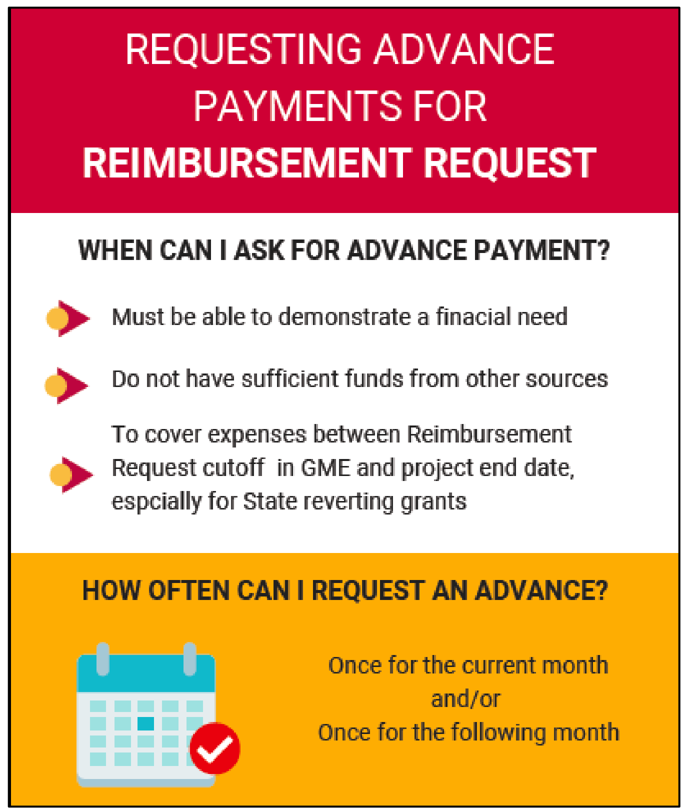

Grant reimbursement request advances may be approved when the LEA can demonstrate a financial need.

The advancement of funds must be needed in order to sufficiently operate the intended program.

LEAs that do not have enough funds from other sources may be eligible for grant advances. An advance, both against state or federal project, can be requested once for the current month and/or once for the following month.

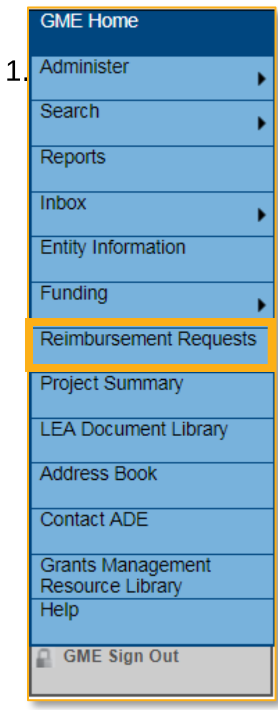
Per Code of Federal Regulations (CFR), you must maintain advance payments of federal awards in interest-bearing accounts, unless noted in 2 CFR §200.305(b)(8)(i-iv). This may cause you to **accrue interest**. All interest earned on *state* grants must be returned. Interest earned on *federal* grants up to $500 per year may be retained for administrative expense. Any additional interest needs to be returned to ADE.

Refer to 2 CFR §200.305(b) for more information about advance payments.

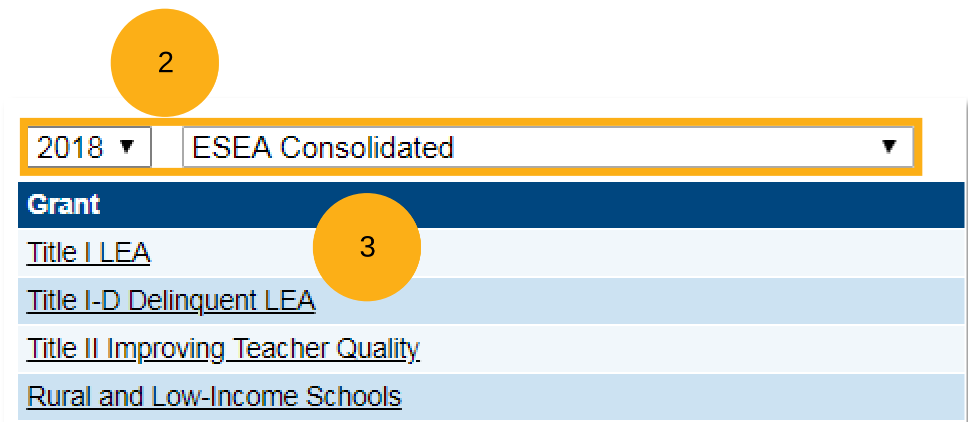


# Reimbursement Requests in GME

## Locating Reimbursement Requests




1. Log into GME and select your organization, on the main menu select Reimbursement Requests.
2. Select the desired fiscal year and funding application.
3. Select the desired grants.

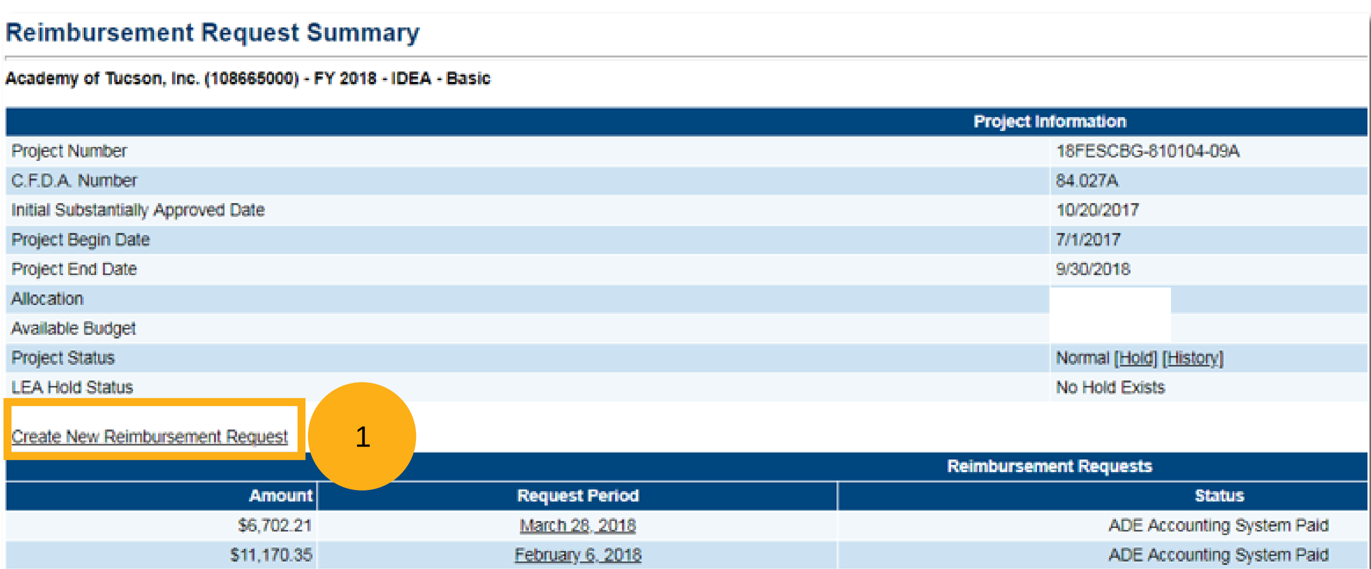



## Reimbursement Requirements Summary Page

Reimbursement requests are created/accessed on the **Reimbursement Request Summary** page.

1. Click Create New Reimbursement Request to create a new request.

To view information on a prior request, click on the date under the Request Period.


Reimbursement Request Summary

Academy of Tucson, Inc. (108665000) - FY 2018 - IDEA - Basic

| | Project Information |
|---|---|
| Project Number | 18FESCBG-810104-09A |
| C.F.D.A. Number | 84.027A |
| Initial Substantially Approved Date | 10/20/2017 |
| Project Begin Date | 7/1/2017 |
| Project End Date | 9/30/2018 |
| Allocation | |
| Available Budget | |
| Project Status | Normal [Hold] [History] |
| LEA Hold Status | No Hold Exists |

Create New Reimbursement Request

1

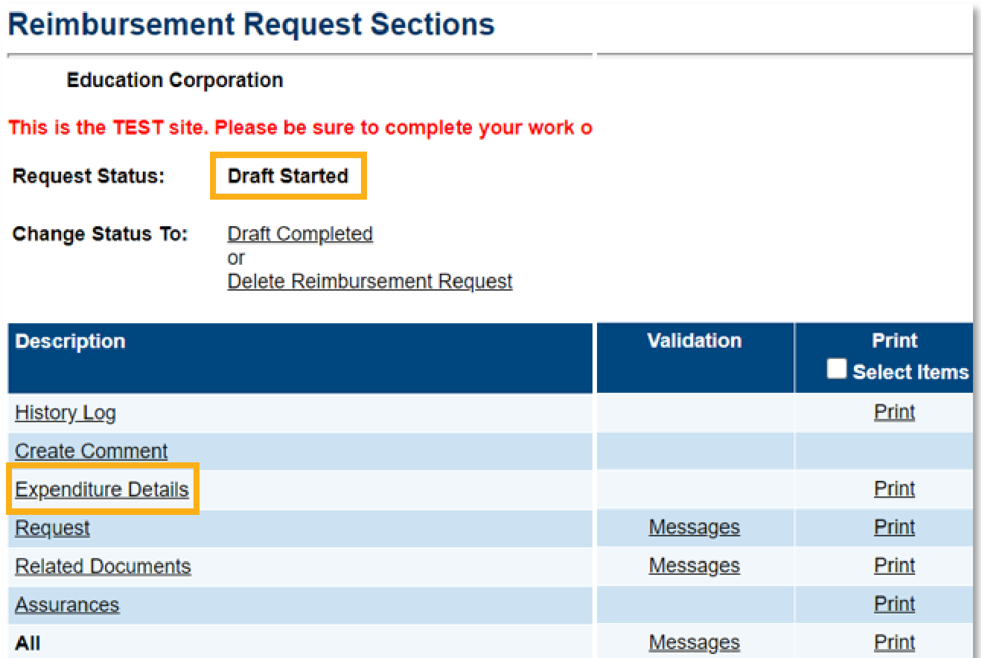
Reimbursement Requests

| Amount | Request Period | Status |
|---|---|---|
| $6,702.21 | March 28, 2018 | ADE Accounting System Paid |
| $11,170.35 | February 6, 2018 | ADE Accounting System Paid |

# Reimbursement Requirements Sections Page

After you click on the link to create a new request (or view a previous request), you are directed to the **Reimbursement Request Sections** page.

- This page utilizes the same functionality as the **Funding Application Sections** page.
- Be sure the request status is **Draft Started** in order to enter data for a new request.
- The first page to be completed is Expenditure Details.



**Reimbursement Request Sections**

Education Corporation

This is the TEST site. Please be sure to complete your work o

Request Status: Draft Started

Change Status To: Draft Completed
or
Delete Reimbursement Request

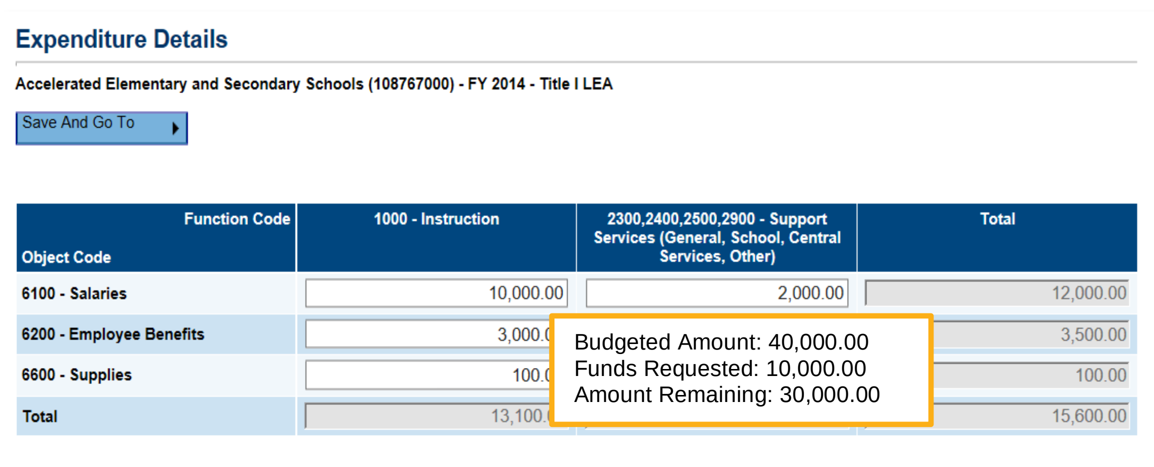
| Description | Validation | Print<br>Select Items |
|---|---|---|
| History Log | | Print |
| Create Comment | | |
| Expenditure Details | | Print |
| Request | Messages | Print |
| Related Documents | Messages | Print |
| Assurances | | Print |
| All | Messages | Print |

## Expenditure Details Page

The Expenditure Details page requires the user to enter year-to-date expenditures for approved budget line items.

Amounts from previous request(s) are automatically populated on this page – users will continue to add *cumulative year-to-date* expenditure amounts when updating subsequent requests.

- **Tip**: for accurate reporting and to avoid validation and audit issues, do not enter only the payment amount to receive but enter true **cumulative** expenditures



**Expenditure Details**

Accelerated Elementary and Secondary Schools (108767000) - FY 2014 - Title I LEA

Save And Go To

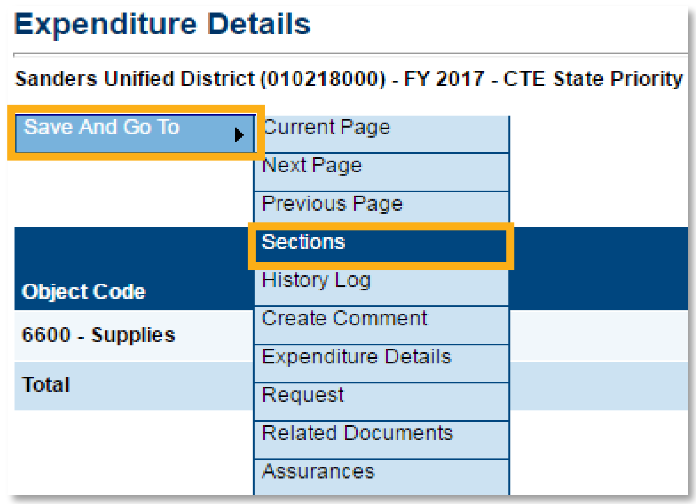
| Function Code<br>Object Code | 1000 - Instruction | 2300,2400,2500,2900 - Support Services (General, School, Central Services, Other) | Total |
|---|---|---|---|
| 6100 - Salaries | 10,000.00 | 2,000.00 | 12,000.00 |
| 6200 - Employee Benefits | 3,000.( | | 3,500.00 |
| 6600 - Supplies | 100.( | | 100.00 |
| Total | 13,100.( | | 15,600.00 |

Budgeted Amount: 40,000.00
Funds Requested: 10,000.00
Amount Remaining: 30,000.00

Hover over each cell to see the approved budget amount for each function/object code.

# Navigating the Reimbursement Request

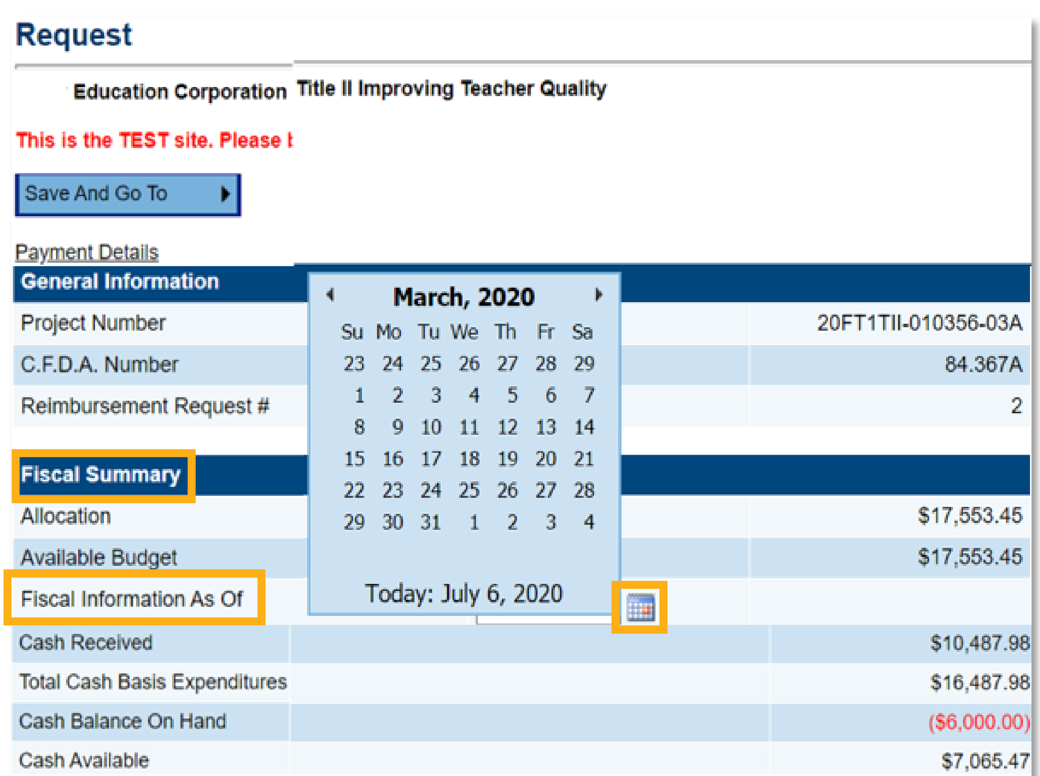
- Utilize the quick return Save and Go To menu to easily navigate through the reimbursement request components.
- Hover over Save and Go To and navigate to the next page to be completed in order to save the data that was entered. All applicable components must be completed to submit the reimbursement request.




## Request Page

### Fiscal Summary on the Request Page

GME populates most fields on the Request page. The Fiscal Summary section of the page recaps the allocation, budget information, and cash information including total expenditures (entered by you on the Expenditure Details page). Only one field on this page is **always required** – Fiscal Information As Of.

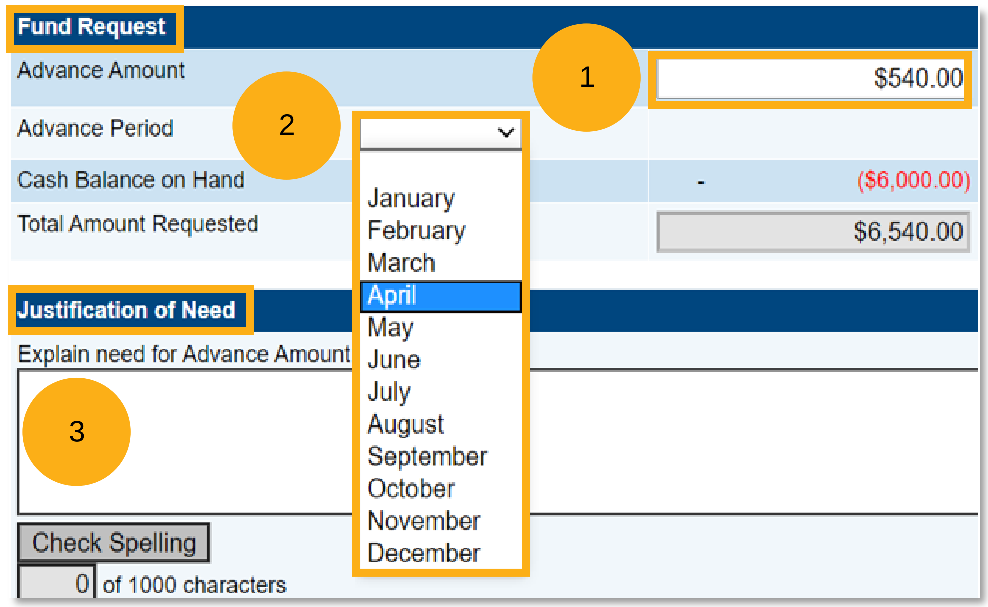



- You must select a **Fiscal Information As Of** date by clicking on the calendar in this section and selecting a date. This date can represent a particular fiscal period ending date, the date the request is submitted, or any other date of significance to the organization.

## Fund Request and Justification of Need

If funds are needed in advance of expenditures, all four steps need to be completed:

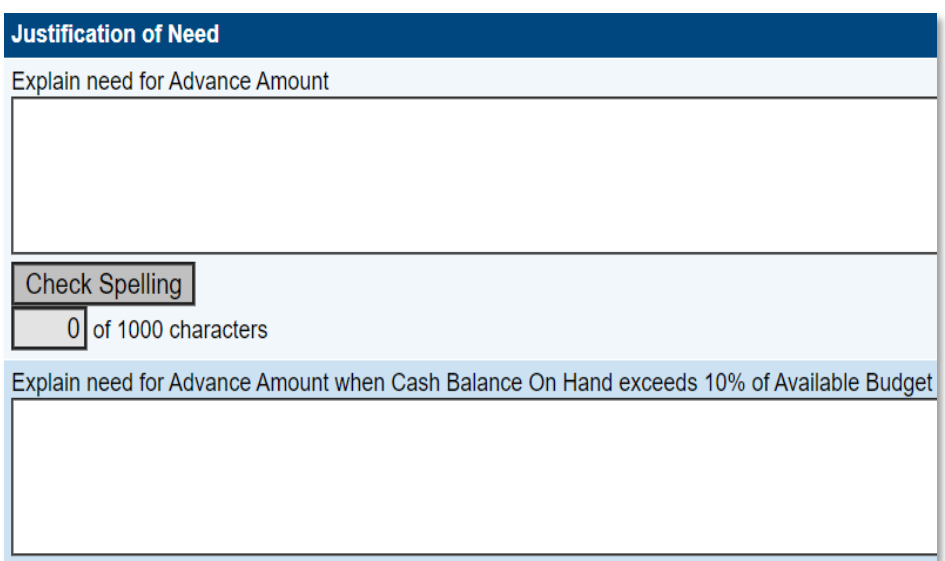
1. Enter **Advance Amount**.
2. Select **Advance Period** (current month or next month only).
3. **Explain need for Advance Amount** in the **first text box** provided under Justification of Need section. Address why the advance is needed, how it will be used/what for, and when it will be used.




In addition to these three steps, **documentation** posted in Related Documents under Optional Documents is required (see Related Documents Page). Examples of acceptable documentation are purchase orders (POs), invoices, encumbrance, requisitions.

The Fund Request section includes the Total Amount Requested by taking the information from the Fiscal Summary and Advance Amount combined. If an advance is requested, the total is adjusted accordingly. If **not** requesting any advance payment, do **not** enter an **Advanced Amount** or **Advance Period** as this would cause a validation error not letting you submit the request.

Justification of Need section of the Request page is used in very specific situations only:




- First text box is applicable only when asking for advance payment (as mentioned above).
- Second one applies when asking for advance when cash balance on hand exceeds 10% of available budget (e.g. if you had previous advance payment that you have not fully expended and recorded on Expenditure Details page).

**IMPORTANT**

**Reimbursement Request Sections**

**Education Corporation**

**This is the TEST site. Please be sure to complete your work o**

**Request Status:** **Draft Started**

**Change Status To:** Draft Completed
or
Delete Reimbursement Request

| Description | Validation | Print<br>Select Items |
|---|---|---|
| History Log | | Print |
| Create Comment | | |
| Expenditure Details | | Print |
| Request | Messages | Print |
| Related Documents | Messages | Print |
| Assurances | | Print |
| **All** | Messages | Print |

Check how much you are asking to be reimbursed (Total Amount Requested under Fund Request):

- When requesting **20% or more** of your allocation, a justification comment via Create Comment page (found on Reimbursement Request Sections page) is required to be provided, along with expenditure documentation in the Related Documents page.

## Related Documents Page

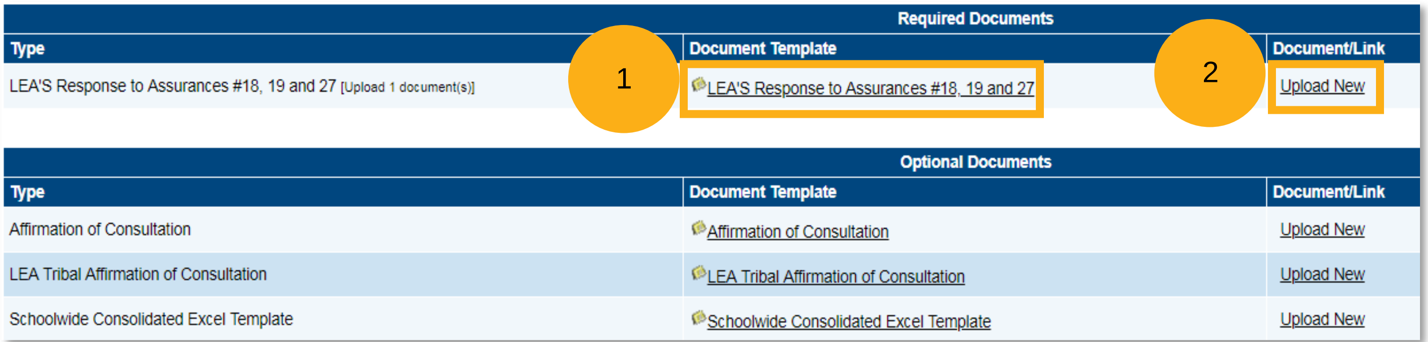
The reimbursement request's Related Documents page allows you to upload supporting documents per grant or program area requirements, such as invoices, time sheets, etc. There are two types of documents:

- **Required**: must be uploaded for the reimbursement request to be submitted, otherwise the system will create a validation error and prevent submission of such request.
- **Optional**: the system will not prevent submission of the reimbursement without these documents, but this section should be reviewed to see if there are any documents needed for submittal of your specific request. E.g. expenditure summary report from your accounting system is an optional document that is required if asking for 20% or more of your allocation.

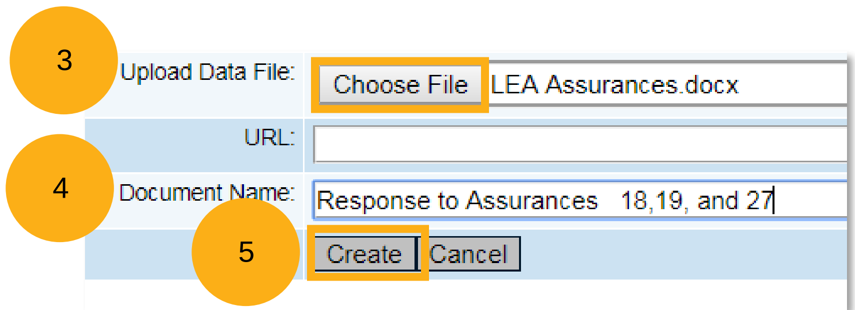
Any document templates provided need to be saved locally on your device prior to completing and uploading them. If opened without saving locally, the information you provide on the documents will not be saved.

### Uploading Documents

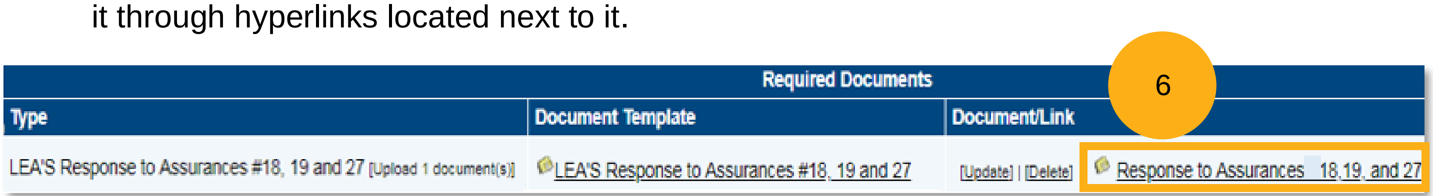
1. Select the template (if provided) and save it on your device (e.g. PC desktop). Enter the information on the saved template, then save and close the document. If no template is provided, ensure your own document needed is saved on your device.
2. Select Upload New hyperlink. (Only reimbursement request that is in Draft Started or Revision Started status will allow you to upload documents. You will not see the Upload New link if your request is in any other status.)




3. Select Choose File to upload locally saved document.
4. Type in the document name (be specific but avoid lengthy names or special characters).
5. Select Create.




6. Your document will be available under Document/Link. You have the option to update or delete it through hyperlinks located next to it.




## Assurances Page

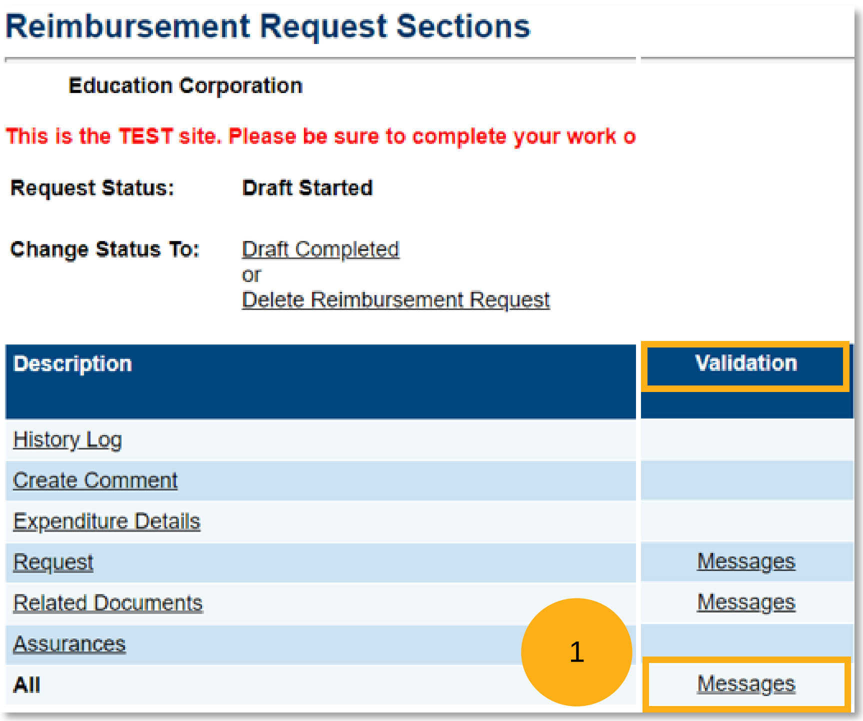
The Assurances page provides a statement which you, as the **LEA Business Manager** (entity representative), must read prior to submitting the request for approval.

## Validation Messages

Validation messages should be reviewed prior to changing the request's status. There are two types of messages:

1. **Error**: prevents submission and must be corrected if you would like to proceed.
2. Warning: does not prevent submission but points out potential issues that should be reviewed prior to submission.

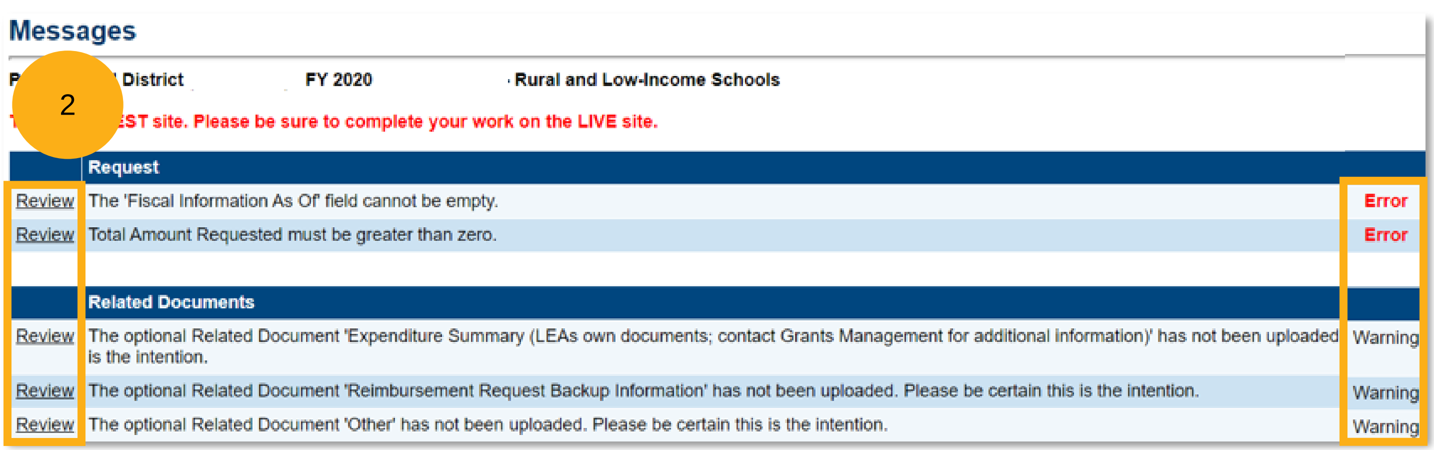
## Assessing Validation Messages




1. On the **Reimbursement Request Sections** page, select Messages under the Validation column. Do so on the **All** row to see all validation messages rather than individual ones.

On the next page, you will see your validation messages grouped up by their location. On the far right, you can see if the message is an error or a warning.

2. Select the specific Review link next to the message you want to review (and correct). You will be directed to the page where the error or warning has occurred, so the review (and correction, if necessary) can be done.



# Frequently Asked Questions

1. **If my reimbursement is at 20% or more of the allocation, what do I need to do?**

   There are two required items:
   1. A justification as to why the request is at 20% or more of the allocation will be required for the approval. The justification is entered in the History Log (via Create Comment page) of the request prior to the submission of it.

   2. In addition to the justification, an expenditure documentation will be required for the approval. Expenditure documentation needs to be uploaded in the Related Documents page in the reimbursement request. The expenditure documentation should indicate the time frame in which the expenditures occurred, the grant they were paid out of, and the types of expenditures. Examples of the expenditure documents are financial reports from accounting systems, such as Visions, Quickbooks, etc. or invoices for expenditures.

2. **What do I do if I do not know all my expenditures by the reimbursement request fiscal year end submittal deadline?**

   Only **valid expenditures** should be entered on the reimbursement request (RR). An **advance payment** within an RR may be allowable. Final expenditures can be updated on the completion report (CR) and will be reimbursed via CR approval (with exception of state reverting grants).

3. **Which grants allow advance payments?**

   Advances can be requested against all state and federal projects as long as financial needs can be demonstrated.

4. **If I submit my reimbursement request by the close of business day on the submittal due date, will it be approved?**

   No. All requests submitted must be received **by noon** in time to be both ***reviewed and approved*** by Grants Management staff by the end of the business day. We strongly encourage submission of all requests well in advance of the deadline date. Reimbursement requests submitted late in the due day run the risk of not being received in time to be both reviewed and approved by 5pm, depending on volume of pending requests. Submissions received after 5pm will be returned and will need to be deleted by the LEA.

5. **If the project end date for a grant is AFTER the close of the fiscal year, do I need to request all my funds by the reimbursement request deadline?**

   If the project end date for a grant occurs AFTER the close of the fiscal year, the period between the reimbursement request deadline and the first business day of the new fiscal year (in July) is a ***blackout period*** for request submissions.

You may resume submitting reimbursement requests on the first business day of the new fiscal year and continue until the last date of the project period. *Please note* – it is not appropriate to submit a request for all remaining funds by the fiscal year end submission deadline unless there are actual expenditures to match. If appropriate, final expenditures should be updated on the completion report (CR) and reimbursed via CR closeout (if allowed per grant guidelines).


**6. What do I do about reimbursement requests for state grants?**

Several state grants do not allow carryover into the next fiscal year and/or do not pay out against final expenditures via completion report closeout (so-called state reverting grants). Prior to the end of the year, please contact your program area specialist if you have questions regarding spending all funds allocated to you. They can assist you with program specific guidance prior to submitting your final reimbursement request.

**7. What do I do if I have expenditures that occurred prior to the Project Begin Date?**

Expenditures prior to the Project Begin Date are **not permitted** for any grants.

**8. What do I do if I have federal grant's expenditures that occurred prior to my Substantial Approval Date (SAD), if the SAD is after the Project Begin Date?**

For expenditures that were obligated after the Project Begin Date but before the Substantial Approval Date, please reach out to Grants Management to see if an exception can be granted via the **Pre-Award Cost form**.

Per 34 CFR 76.708a sub-grantee cannot obligate funds until the application has been submitted in a state where it can be substantially approved. 2 CFR §200.458 allows approval of pre-award costs prior to the effective date of the award where such costs are necessary for efficient and timely performance of the scope of work; to the extent that the costs would have been allowed if incurred after the date of the Federal award and only with written approval.

All pre-award requests are subject to review and may not be available in future years. ADE reserves the right to verify and/or request additional information to approve the request.

## Helpful Tips

### CANNOT

**Reimbursement requests cannot be submitted after project end date (final disbursement will take place upon completion report approval, except state reverting grants)**

### DO NOT

**Do not enter advance information in the Fund Request section of the request page if only expenditure reimbursement is being requested**

### VERIFY

**Verify that supporting documents, such as expenditure reports, invoices, time reports, etc. are uploaded in the Related Documents page**

### SUBSEQUENT

**Subsequent requests cannot be created until prior request is in ADE Accounting System Paid status**

## Need Assistance?

| **Grants Management System (GME)** | **Passwords/ADEConnect Support** |
|---|---|
| Phone: 602.542.3901 | Phone: 602.542.7378 |
| Help Desk: https://helpdeskexternal.azed.gov | Help Desk: https://helpdeskexternal.azed.gov |