

APPENDIX A



Oregon Department of Transportation (ODOT) **Request for Reimbursement Supporting Documents Checklist**

General Instructions

- € All reimbursement requests (RR) must include the required documentation as described in the signed agreement or as listed below.
 - All required documentation should be attached to OPTIS RR.
 - Items that do not support the reimbursement(s) being requested should not be attached.
- € RR documentation: invoices must include the date(s) of service, invoice number, grant agreement number, total reimbursement costs listed on invoice, not to exceed the grant amount.
- € All project costs must be documented and comply with the executed grant agreement. Federal reimbursement costs must comply with 2 CFR 200 2 CFR 225.

Required Supporting Documents per Project Type:

Administration

- € Written detailed documentation of time expended and an invoice, account payable statement or comparable document that shows administration performed for the grant reimbursement requested.
- € Documentation should include dates of service, hours of service, who provided service and grant or allocated costs for grant reimbursement.
- € For internal agency staff projects, please provide spreadsheet or similar document showing the time worked, hourly rate for labor, title/classification and all work performed for the period. Summary must include all expenses for the period claimed.

Operations

- € All items are entered into OPTIS by line item (salary, gas, rent, insurance, etc.). Each item should have its own line with a description.
- € Receipts must be kept on file locally and may be requested by RTC for further clarification.
- € Fare revenue should be subtracted from the operations cost and can appear as a negative number on the OPTIS APR.

Purchased/Contract Service (FTA Circular 4220.1E, 49 CFR Part 18-19, Circular 4220.1f)

- € A copy of the third party service agreement contract (first invoice and renewal only). If the contract is amended, include a copy of the amendment. Contracts should include all federal clauses as required by grant, the type of service or payments being made.
- € Submit the invoice for the same period as the reimbursement request. The original invoice from the vendor must show invoice number, date, vehicle/maintenance costs description unit price, discount if any, sales tax, freight/shipping charges and total for each product or service.
- € All third party costs must be clearly defined for the services provided (e.g., dates of service, service miles, service hours, hourly rates and title/classification). All work performed must be consistent with the third party service agreement contract.

Reimbursement Guidance

Mobility Management

- € Original invoice if purchased mobility management that includes the date, invoice number, standard agreement number, reimbursement period and amount requested (not to exceed the grant amount).
- € A copy of purchase order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges and total.
- € An original invoice from the vendor. Invoice should include invoice number, date and description (manufacturer, model and serial number) of each product or service item.
- € Spreadsheet showing all expenses charged against the agreement broken out by description, rate and hours. All purchases must be supported with vendor invoices. All other expenses (travel, training, conferences, etc.) must be supported with receipts.
- € Proof of payment made to vendor or a copy of the method of payment (showing paid in full).
- € Items should match up with deliverables that were noted in the SOW.

Planning

- € Planning projects may include transit development plans, coordinated plans, capital improvement plans and other short and long-term planning documents and processes. Planning processes typically create documents or other deliverables. Those deliverables should be attached to the relevant reimbursement request. If specific deliverables were not produced, a narrative should be attached describing what activities occurred, for example, public outreach or meetings.
- € Documentation of completed deliverables noted on invoice. Items will depend on agreement specifics and could be different for internal and external planning staff.
- € Original invoice from the vendor. Invoice should include invoice number, date and description (manufacturer, model and serial number) of each product or service item.

Preventive Maintenance

- € If applicable, include a copy of the third party service agreement contract (first invoice and renewal only).
- € Third party vendor/contractor service invoice for the same period as the reimbursement request (if applicable).
- € Original invoice from the vendor showing invoice number, date, description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges and total for each product or service item (if applicable).
- € Manufacturer warranties/copy of extended warranties (if applicable).
- € *Preventive Maintenance – Capital Expense Invoice* attachment or comparably detailed document. This should contain VIN, date of service, description of service, cost of service and agency name. Invoices are not required, but should be kept on file and may be requested by RTC.
- € PM items may include planned maintenance, lube, oil filter, one time major rebuild, vehicle washes and parts not associated with vehicle accidents. Items claimed using insurance should not be included in reimbursement requests.

Reimbursement Guidance

Vehicles

YOUR AGENCY'S LETTERHEAD

(DATE)

(NAME), Regional Transit Coordinator for Region
ODOT Rail and Public Transit Division
555 13th St. NE
Salem, OR 97301-4179

Re: Vehicle Reimbursement Request

Dear Mr. or Ms. (NAME):

(SUBRECIPIENT AGENCY NAME) has received delivery of (X number of) vehicle(s) and is requesting reimbursement for the purchase of this vehicle(s). The following information is provided as requested:

- The total cost for the purchase was (\$)
- Total passenger capacity _; number of ADA Stations ; total passenger capacity with ADA deployed
- There was a rebate of (\$) for each vehicle
- Rebates have/have not been deducted from the total amount listed above
- This reimbursement request is from ODOT Agreement # (XXXXXX)
- The vehicle(s) were accepted by subrecipient on (MM/DD/YYYY)
- The vehicle(s) were put into transit service on (MM/DD/YYYY)
- The source of local matching funds for this purchase is (IDENTIFY – ex. STF, subrecipient general funds, local taxes, donations)
- Copies of invoices for all expenses claimed are enclosed
- DMV license and title registration expenses are NOT included in the costs to be reimbursed, and I understand they cannot be charged to the vehicle purchase agreement
- The Required Pre-Award and Post-Delivery Certification form for each vehicle is enclosed
- For vehicle replacements, VIN of vehicle being replaced

Please advise me if there is, anything else required to process this request.

Sincerely,

(NAME), (TITLE)
(Subrecipients Agency Name)

ODOT – RPTD Pre-Award & Post-Delivery Vehicle Purchase Certification Form

By the signature of its authorized representative, the subrecipient identified below certifies the following:

A. PRE-AWARD PURCHASER'S REQUIREMENTS CERTIFICATION (all purchases over \$5,000)

As required by Title 49 CFR Part 663 Subpart B, the vehicle(s) listed below is/are the same product(s) described in the subrecipient's solicitation specifications. The proposed manufacturer is a responsible manufacturer with the capacity to produce a vehicle that meets the specifications.

_____ Subrecipient's required documentation is complete and is part of the procurement file.

B. PRE-AWARD BUS TESTING (all vehicle purchases except sedans, vans and mini-vans)

The vehicle(s) obtained in this procurement complies with 49 USC A 5323(c) and 49 CFR Part 665. Misrepresenting the testing status of a vehicle acquired with federal financial assistance may subject recipient's organization to civil penalties (49 CFR Part 31) and FTA may also suspend or debar a manufacturer under the procedures in 49 CFR Part 29.

_____ Altoona/STURAA bus test report for each vehicle is a part of subrecipient's procurement file.

C. PRE-AWARD BUY AMERICA COMPLIANCE CERTIFICATION (for purchases over \$150,000)

As required by Title 49 CFR Part 663 Subpart B, the vehicle(s) and equipment to be purchased meet(s) the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982 as amended. The subrecipient signing below has reviewed the documentation provided by the manufacturer which lists the following: (1) the proposed component and sub-component parts of the vehicle(s) and equipment identified by the manufacturer, country of origin and cost; and (2) the proposed location of the final assembly point for the vehicle(s) and equipment, including a description of the activities that took place at the final assembly point and the cost of final assembly.

_____ Transit Vehicle Manufacturer's Buy America certification for each vehicle is attached.

D. DISADVANTAGED BUSINESS ENTERPRISE COMPLIANCE (DBE) (purchases with FTA funds)

As required by Title 49 CFR I have obtained a copy of the vehicle manufacturer's DBE certification (verified at this FTA website: https://www.fta.dot.gov/12326_5626.html) that this vehicle manufacturer has obtained 49 CFR § 26.49 DBE certification; has listed its current office address; and has established a DBE goal reflecting the guidance in 49 CFR Part 26.45, and is therefore an eligible manufacturer.

_____ Transit Vehicle Manufacturer's DBE certification is attached

E. FEDERAL MOTOR VEHICLE SAFETY STANDARDS (FMVSS) CERTIFICATION (all vehicles)

The vehicle(s) described below meet(s) all Federal Motor Vehicle Safety Standards which are applicable to this type of vehicle. Any modifications to vehicle(s) have not violated the integrity of the structure, design, or systems that have been tested to conform to the FMVSS for this vehicle(s).

_____ Transit Vehicle Manufacturer's FMVSS certification is attached.

F. POST-DELIVERY PURCHASER'S REQUIREMENTS CERTIFICATION (for purchases over \$5,000)

As required by Title 49 CFR Part 663 Subpart B, after visually inspecting and road-testing the vehicle(s) listed below, I certify that the vehicle(s) meet(s) the purchase contract specifications.

_____ Subrecipient's required documentation is complete and is part of the procurement file.

YEAR, MAKE, MODEL: _____ VIN: _____

For certification of multiple vehicles of the same year, make, and model, attach a list of the VINs for each vehicle.

REGISTERED OPERATOR: _____ SUBRECIPIENT: _____

1st SECURITY INTEREST HOLDER (required): **ODOT Rail and Public Transit Division**

2nd SECURITY INTEREST HOLDER (if subrecipient is not operator): _____

Grant Agreement No. _____ Subrecipient Address: _____

SIGNATURE: _____ TITLE: _____ DATE: _____

Reimbursement Guidance

Equipment

- € Copy of the ODOT-approved purchase order including item description, quantity, unit price, discount (if any), sales tax, freight/shipping charges and totals.
- € Original invoice from the vendor showing invoice number, date, and description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges and total for each product or service item.
- € Receipt of equipment which must include equipment description, purchase date, installation date and verification equipment is in working order
- € Spreadsheet showing the unit price, discount (if any), sales tax, freight/shipping charges and total
- € Statement that equipment has been accepted and is in working order (can be included in the cover letter for invoice)
- € Manufacturer warranties/copy of extended warranties
- € Proof of payment made to vendor or copy of the method of payment. Cancelled check or bank statement showing check number and "paid in full".
- € Picture(s) of equipment – can be electronic format on CD or portable drive.

Transit Facility Development/Construction

- € If applicable, include a copy of the ODOT-approved third party service agreement contract (first invoice and renewal only).
- € Copy of purchase orders including all items description, quantity, unit price, discount (if any), sales tax, freight/shipping charges and totals.
- € Original invoice from the vendor showing invoice number, date, description (manufacturer, model and serial number), unit price, discount (if any), sales tax, freight/shipping charges and total for each product or service item.
- € Statement that facility is constructed or is in a particular phase of construction. In addition, documentation showing that equipment has been received and accepted.
- € Spreadsheet showing all expenses, including those charged against the Federal grant broken out by description, rate, hours, and all phases of facility construction.
- € Manufacturer warranties/copy of extended warranties
- € Proof of payment made to vendor or copy of the method of payment. Cancelled check or bank statement showing check number and paid in full.
- € Picture(s) of facility/equipment – can be electronic format on CD or portable drive.

Debt Payment (STIF Formula Only)

- € Documentation on the debt such as, loan origination or bond purchase agreement, which state the terms (principal, interest, duration, etc.) of the debt payment
- € Approval of governing body to secure debt e.g., approved meeting minutes
- € Documentation of project delivery for which the bond was issued e.g., purchase orders for debt funded vehicles