



## DIF/CFD Reimbursement Request Submittal Guidelines

### General

- All last lane improvements, including but not limited to, Asphalt Concrete (AC) pavement for the curb adjacent lane, curb and gutter, sidewalk, street light, parkway landscaping, fire hydrant, air-vac, blow-off, are not DIF eligible. **(DIF only)**
- Interim improvements such as temporary AC dike, CSP riser, interim striping, etc, are not DIF eligible. **(DIF only)**
- The total requested amount for all segments within the same DIF Program cannot exceed the **Maximum DIF Program Funded Cost**, see Tab M for more details. **(DIF only)**
- The total construction cost shall be consistent in all submitted documents, including Tab L, the Invoice Summary, the Summary of Cost, and the Summary of Checks and Invoice.
- The submittal should only include supporting documents related to the requested segments. The following are examples of documents that shall not be included in the submittal:
  - Applications for Business License, Development, Encroachment Permit, etc.
  - Bid documents
  - Calculation worksheet
  - Change order, invoice, receipt, and progress billing that has no reference or not related to the requested segment
  - Check Request Form
  - Development Agreement
  - Duplicate items
  - Email
  - Engineering Cost Estimates
  - Fee schedule
  - Unsigned work order, contract, change order, payment request
- At a minimum, a pdf bookmark shall be created for **EACH** tab of the DIF & CFD Facilities Documentation Requirement Checklist, agreement, contract, and change order.
- The requested segment must be included in the DIF and/or CFD agreements. The description of the requested segment shall match the ones in the DIF and/or CFD agreements. If the requested segment is not included or if the segment description is not the same, an amendment to the agreement will be required.

### Cover Letter

- A cover letter shall be included with each submittal and shall include the following:
  - Total requested amount and the requested amount for each segment
  - An exhibit showing the locations of the infrastructure improvements included in the reimbursement request.
  - Response to previous comments

- When the total construction cost or any cost item is distributed among different segments (e.g. ST-01, ST-13, ST-15) and/or different DIF categories (e.g. FO, ST, WT), the cover letter shall explain how the cost was distributed.
- If the contract and/or change order covers multiple segments, the cover letter shall explain how the corresponding contract value of the requested segment is determined. For example, a Professional Engineering Services Contract can include the design work for multiple sections, which can be in different locations. The cover letter shall describe how the Total Contract Cost is split between the different segments.

**Tab I – City Engineer Form (CFD Only)**

- The segment number, description, and location of the requested segments shall be included on the top of the Confirmation and Approval by The City Engineer Form and Attachment A of the form.
- The paragraphs that are not applicable to the requested segments on the City Engineer Form shall be removed or crossed out.
- If there are multiple segments included in the submittal, the individual segment costs and the total segment cost shall be included in Attachment A of the City Engineer Form.

**Tab L – Summary of Expended and Eligible Costs Form**

- Each cost reported in Tab L shall match the amount shown in other documents, including Attachment A of the City Engineer Form, Change Order Summary, Checks and Invoices Summary, Summary of Costs, Payment and Reimbursement requests.
- A copy of **ALL** contracts, change orders, invoices, and unconditional waivers with vendors (contractors, engineers, consultants, etc) listed on the form must be submitted.

**DIF Only**

- The **DIF Program No. and Description** shall be based on the **DIF Program Project No.** and the **Segment Description** in the DIF Credit and Reimbursement Agreement of the requested segment.
- The **Maximum Eligible Cost** shown in Exhibit 4 of the DIF Credit and Reimbursement Agreement shall be based on the most updated Total DIF Program Cost, using the number from the most current approved DIF study, not the one from the DIF Credit and Reimbursement Agreement. The **Total DIF Segment Cost** in Tab L shall be the same as the most updated **Maximum Eligible Cost**.
- The **Maximum Expended & Eligible Cost** shall be the difference between the **Total DIF Segment Cost** and the **Total NMC Builder Design Cost**.

**DIF Credit Facilities - Expended and Eligible Costs**

DIF Program Project No. and Description:	
Total DIF Program Cost:	
Total NMC Builder Design Cost:	
Maximum Expended & Eligible Cost:	\$ -

**CFD Only**

- The **CFD Segment No. and Description** shall be based on the **Requested Segment No.** and the **Segment Description** in the Acquisition and Funding Agreement of the requested segment.

- The **Total CFD Segment Cost** shall be based on the Acquisition Cost of the requested segment in the Acquisition and Funding Agreement.
- The **Maximum Expended & Eligible Cost** shall be the difference between the **Total CFD Segment Cost** and the **Total NMC Builder Design Cost**.

**CFD Segments - Expended and Eligible Costs**

CFD Segment No. and Description:	
Total CFD Segment Cost:	
Total NMC Builder Design Cost:	
Maximum Expended & Eligible Cost:	\$ -

- The **Total Expended and Eligible Costs** shall be the sum of the **Actual Cost Grand Total** and the Design/Construction Management Cost and shall not exceed the **Maximum Expended & Eligible Cost**.

Actual Cost Grand Total \$ -

5% Construction Management Limitation Amount \$ -

15% Design & Construction Management Limitation Amount \$ -

Total Expended and Eligible Costs \$ -

**Tab M – Summary of Actual and Eligible Costs Form (DIF Only)**

- The **DIF Program Project No.** and the **DIF Program Project Description** shall be obtained from the most current approved DIF study, not the one in the DIF Credit and Reimbursement Agreement.
- The **Segment Description** and **Total DIF Program Costs per Segment** shall be based on the **Segment Description** and the **Maximum Eligible Costs** in the DIF Credit and Reimbursement Agreement of the requested segment.
- The **Maximum DIF Program Funded Costs (From DIF Program)** shall be based on the Estimated Cost or the Remaining Estimated Cost from the most current approved DIF study.
- If there are multiple segments included in the submittal, the form shall include the sum of **Total DIF Program Costs per Segment** for all segments.

**Summary of Actual Expended and Eligible Costs**

**DIF Actual Costs**

DIF Category	DIF Program Project No.	DIF Program Project Description	Segment Description	Total DIF Program Costs per Segment	Maximum DIF Program Funded Costs (From DIF Program)

**Tab P – Contracts and Change Orders**

- All contracts and change orders must be signed.
- Backup documents are required to justify the eligibility of the change orders.
- A signed proposal is not a valid substitute for a signed contract.

#### **Tab Q – Invoices on the Expended and Eligible Costs Form**

- All invoices must be signed by a valid party.
- A payment breakdown or summary is not a valid substitute of a signed progress invoice.
- In general, reimbursement can only be made up to the quantities shown on the Record Drawings. The extra quantities are not considered to be constructed because they were not recorded in the record drawings. Therefore, the quantities requested for reimbursement shall not exceed the quantities shown on the record drawings. Justification will need to be provided for special consideration. **(CFD Only)**
- If Record Drawings were not provided in a CFD submittal, Tab Q will not be reviewed because the quantities shown on the invoices and the total construction cost cannot be verified. **(CFD Only)**

#### **Tab S – Permits**

- The Encroachment Permit provided shall be related to the improvements for the requested segments. The following information can be used to determine if the provided permit is a valid permit:
  - The location information shown for the job site matches the location of the improvements for the requested segment.
  - The Description of Work on the permit matches the DIF category of the requested segment.
  - The drawing numbers listed on the permit correspond to the correct approved/record drawings.

#### **Tab T – Approved Plans (DIF Only) or Record Drawings (CFD Only)**

- Approved plans must be signed by the City Engineer.
- Record drawings must be stamped “Record Drawings”.
- Approved plans/Record Drawings for all requested segments must be provided.
- The locations shown on the Approved Plans/Record Drawings must match the locations of the requested segments.
- For CFD submittals, record drawings are required. Approved plans cannot be used to substitute for the record drawings. **(CFD Only)**

#### **Tab U – Notice of Completion (NOC)**

- The improvements and locations described in the NOC shall match those of the requested segments.
- For example, if the requested segment is submitted for WT-011 Water Main in Archibald Avenue, the NOC shall show Archibald Avenue as the project location and the improvement work completed is for water main improvements.

#### **Tab V – Unconditional Waiver Release Forms**

- Cancelled checks can be provided in lieu of unconditional waiver release forms for those work that received payment as part of the DIF reimbursement.

#### **Tab W – Off-site Improvements Acceptance Letter (CFD Only)**

- The improvements and locations described in the Acceptance Letter shall match those of the requested segments.

#### **Tab X – Warranty Bond (CFD Only)**

- The improvements/locations/Project No. described in the Warranty Bond shall match those of the requested segments.