

★ Texas State Library and Archives Commission ★



FY 2014 COMPETITIVE GRANTS CONTRACTS OVERVIEW

Presented by Erica McCormick, Grants Administrator

What we will cover

- Reference
- Contract
 - ▣ Sections I-V – Who, when, what, how much
 - ▣ Sections VI-VIII – Equipment, reporting, other requirements
 - ▣ Sections IX-XII – Housekeeping, governing statutes
- Grants checklist
- Next steps
- Questions

POLL

Audience

POLL

Experience

Reference

Acronyms & abbreviations
Reference resources

Common acronyms & abbreviations

- CFR (Code of Federal Regulations)
- FSR (Financial Status Report)
- GMS (TSLAC Grants Management System)
- IMLS (Institute of Museum and Library Services)
- LBB (Legislative Budget Board)
- OMB (Office of Management and Budget)
- RFF (Request for Funds)
- TSLAC (Texas State Library & Archives Commission)
- UGMS (Uniform Grant Management Standards – Texas)

Reference resources

- 2014 Grant Program Guidelines
- Grants Management System (GMS)
(<https://gms.tsl.state.tx.us>)
- GMS FAQs
(<https://gms.tsl.state.tx.us/help/faq.php>)
- Uniform Grant Management Standards (UGMS)
Governor's Office of Budget and Planning
(<http://governor.state.tx.us/files/state-grants/UGMS062004.doc>)

Contract

Sections I-V – Who, when, what, how much
Sections VI-VIII – Equipment, reporting, other requirements
Sections IX-XIII – Housekeeping, governing statutes, signatures

Sections I-III – Who, when, and what

- Section I — Who
 - Grantor = Texas State Library & Archives Commission
 - Grantee = Applicant
- Section II — When
 - September 1, 2013–August 31, 2014 (SFY 2014)
- Section III — What
 - Services and program activities as outlined in the application
 - Contract includes application and subsequent contract revisions

Section IV – How much

- A. Maximum grant award
- B. Federal funds
- C. Requesting funds – through the Grants Management System (GMS)
- D. How disbursed
 - ▣ Reimbursement (default method) – request funds every 30 days/no less than once per quarter
 - ▣ Advance – request funds for estimated costs for next 30 days; **must be approved by TSLAC to request**
 - Special circumstances – lack sufficient working capital and the ability to minimize the time elapsing between transfer of funds from Grantor and disbursement

Section IV – How much

- E. Deadline for requesting funds
 - Final request for reimbursements – September 30, 2014
- F. Deadlines for spending funds
 - For obligating or encumbering funds – August 31, 2014
 - For liquidating or paying those encumbrances – October 15, 2014
- G. Interest
 - Return interest earned if greater than \$100
- H. Budget

Section V – Revisions

- ▣ Section V — Contract revisions
 - ▣ Fiscal changes (Budget Revision)
 - 10 % threshold
 - Transferring to \$0 budget category
 - Program income involved
 - Item changes with significant price/feature differences
 - ▣ Program changes (Program Revision)
 - Third-party services
 - Change in scope or objective

Section VI – Equipment/property

- A. Fiscal changes to line item require a budget revision. (10% rule)
- B. Certain items purchased need to be maintained on inventory if cost is between \$500 and \$1,000.
- C. Approval needed before purchasing equipment costing more than \$5,000/unit. (Form forwarded as needed.)
- D. Equipment must be reported at the end of the grant year (by October 31, 2014) on the Equipment/Property Report available in GMS.
- E. Capitalization threshold letter must be submitted with contract if equipment is to be purchased.
- F. Title vests with grantee upon acquisition. Grantee must maintain per UGMS, Part III, Subpart C, Sec. 32. (p. 77)

Section VII – Reporting

- Performance Report
 - ▣ Details what you are doing; program/item/attendance counts (LBB measures), etc.
- Financial Status Report
 - ▣ Indicates how fast you are spending the funds and in what categories
- Quarterly
 - ▣ Special Projects
 - ▣ Library Cooperation
 - ▣ TexTreasures
- Semi-annual
 - ▣ Texas Reads
 - ▣ Impact

Section VII – Reporting

- Deadlines (A & B)
 - ▣ Special Projects, Library Cooperation, and TexTreasures

Quarter	Performance Report	Financial Status Report (FSR)
1 (Sept-Nov)	December 7	December 31
2 (Dec-Feb)	March 7	March 31
3 (March-May)	June 7	June 30
4 (June-Aug)	September 7	September 30

Section VII – Reporting

- Deadlines (A & B)
 - Texas Reads and Impact

Period	Performance Report	Financial Status Report (FSR)
1 (Sept-Feb)	March 7	March 31
2 (Mar-Aug)	September 7	September 30

- Final FSRs must be submitted by October 31, 2014, to report any funds received after August 31, 2014.

Section VII – Reporting

- B. Final FSRs
Submitted by October 31, 2014, to report any funds received after August 31, 2014
- C. Grants checklist due October 31, 2014
- D. Internal audits - Grantee must send to TSLAC a copy of all management letters issued by an auditor with the reporting package.
- E. TSLAC may withhold the final payment if all reports are not submitted.

Section VIII – General terms and conditions

- A-D. Follow the 2014 grant program guidelines, UGMS, CFR, and OMB Circulars
- E. Publicity – acknowledge TSLAC and IMLS and provide one set of all public relation materials to TSLAC
 - Informational material – press releases, newspaper articles, brochures, displays, web sites, collection items, bookmarks, book plates, etc.
 - Events – programs, public events, media events

Section VIII – General terms and conditions

- F. Audits
 - ▣ Desk audits – by TSLAC third party auditors
 - Sample of grantees chosen mid-year
 - Review of performance and financial reporting documentation
 - ▣ Audit findings
 - No surprises
 - ▣ Audit responses
 - Auditors inform TSLAC about findings
 - TSLAC provides response as needed to auditor

Section VIII – General terms and conditions

- G. Retention of grant documents – until Dec. 31, 2021
- H. Grant termination – 30 days notice
 - ▣ Grant activities and reporting
 - ▣ Funding
 - ▣ Staffing – reporting, retention, equipment/supply disposition

Section IX – Enforcement

- Noncompliance remedies
 - ▣ Withhold payment temporarily
 - ▣ Disallow activity or action
 - ▣ Grant termination
 - ▣ Withhold further awards
- Hearings and appeals
- Suspension and termination

Section X – Contacts

- Program issues, revisions, reporting (GMS roles, basic functionality), and equipment reports
 - Erica McCormick, Grants Administrator
 - 512-463-5527, emccormick@tsl.state.tx.us
- Advance payments and financial issues
 - Rebecca Cannon, Accounting Manager
 - 512-463-6626, rcannon@tsl.state.tx.us
- Payments, Requests for Funds, FSRs
 - Tamra Lavin, Grants Accountant
 - 512-463-5472, tlavin@tsl.state.tx.us
- GMS issues – GMS Help

Sections XI-XII – Law and certifications

- Section XI – Texas law
- Section XII – Certifications
 - A. Activities are within scope of organization and rules
 - B. No promises or gifts
 - C. No bribes
 - D. CIPA form (<https://www.tsl.state.tx.us/ld/consulting/tech/cipa.html#main-content>)
 - E. Legally able to participate in grant (accreditation)
 - F. Additional CIPA compliance
 - G. Copyright compliance (copies, digitization)

Sections XII – Certifications

- H. Assurances
 - Nepotism
 - Public information – Project information available to the public
 - Open meetings
 - Reporting child abuse
 - Nondiscrimination
 - Political activity
 - EPA compliance of facilities
 - Smoking prohibition
 - Tax laws
 - Grant program guidelines
 - HIV/AIDS work place guidelines

Sections XIII – Signatures

- Grantee (designee authorized to enter into contracts)
 - ▣ Prints and signs 2 hard copies
 - ▣ Mails copies to TSLAC Grants Accountant
- Grantor
 - ▣ Interim Director and Librarian signs both copies (fully executed)
 - ▣ TSLAC mails one copy back to Grantee to file

Grants checklist

2014 Grant Checklist

- Tracks completion of reporting activities
- 3 sections — Start-up, Project period, Close out
- Tracked by reporting periods
 - ▣ Outlines the responsible party for each task
 - ▣ Indicates who completed the task and when
 - ▣ Indicates who verified the completion
- Submission deadlines
 - ▣ Start up — November 1, 2013
 - ▣ Project period and Closeout — October 31, 2014

Questions

Contacts

Program issues, revisions, reporting, GMS registration/roles)
Erica McCormick, Grants Administrator
800-252-9386 or 512-463-5527, emccormick@tsl.state.tx.us

Advance payments and financial issues
Rebecca Cannon, Accounting Manager
512-463-6626, rcannon@tsl.state.tx.us

Payments, Requests for Funds, FSRs
Tamra Lavin, Grants Accountant
512-463-5472, tlavin@tsl.state.tx.us
