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
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

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Performance Report</th>
<th>Financial Status Report (FSR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (Sept-Nov)</td>
<td>December 7</td>
<td>December 31</td>
</tr>
<tr>
<td>2 (Dec-Feb)</td>
<td>March 7</td>
<td>March 31</td>
</tr>
<tr>
<td>3 (March-May)</td>
<td>June 7</td>
<td>June 30</td>
</tr>
<tr>
<td>4 (June-Aug)</td>
<td>September 7</td>
<td>September 30</td>
</tr>
</tbody>
</table>
Section VII – Reporting

- **Deadlines (A & B)**
  - Texas Reads and Impact
  
<table>
<thead>
<tr>
<th>Period</th>
<th>Performance Report</th>
<th>Financial Status Report (FSR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (Sept-Feb)</td>
<td>March 7</td>
<td>March 31</td>
</tr>
<tr>
<td>2 (Mar-Aug)</td>
<td>September 7</td>
<td>September 30</td>
</tr>
</tbody>
</table>

- 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

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

- 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 Close out — October 31, 2014
2014 Grant Checklist

Section I. Grant Start-Up
Please verify that each of the tasks listed has been completed, if applicable, within the first two months of the grant period. Have the person responsible for ensuring the completion of each task initial and date when the task is completed. For the Guidelines and Rules section, simply indicate who will be responsible for ensuring compliance. If the category is not applicable to your situation, write N/A in the Responsibility column. Please return this form to TSLAC by November 1, 2013.

<table>
<thead>
<tr>
<th>Category Description (Contract Reference)</th>
<th>Responsibility</th>
<th>Initial Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract Execution</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grantee submits at least two signed hard copies of grant contract to TSLAC.</td>
<td></td>
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<tr>
<td>Grantee receives at least one copy of the fully executed contract from TSLAC.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prior Approvals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written Prior Approval requests submitted for approval of purchase of equipment or property costing more than $5,000 per unit as listed in the Equipment/Property budget category. (VI-C)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prior Approval received authorizing purchase of equipment costing more than $5,000 per unit as listed in the Equipment/Property budget category. (VI-C)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grantee submits a statement certifying the governing entity’s capitalization level. For equipment/property purchases only. (VI-D)</td>
<td></td>
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</tr>
<tr>
<td>Guidelines and Rules</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grantee complies with the Grant Program Guidelines for SFY 2014. (VIII-A)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grantee complies with the applicable rules for administering the grant program as referenced in the Texas Administrative Code (TAC): 13 §§ TAC 2.710–2.712 (Texas Reads) or 13 TAC §§ 2.910–2.912 (Impact); and 13 TAC §§ 2.110–2.119 (General Grant Guidelines). (VIII-B)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Grantee will comply with the following rules and guidance as applicable from the Texas Uniform Grants Management Standards (UGMS) (<a href="http://www.governor.state.tx.us/files/state-grants/UGMS062004.doc">www.governor.state.tx.us/files/state-grants/UGMS062004.doc</a>), federal regulations (Code of Federal Regulations), and federal Office of Management and Budget (OMB) grants circulars (<a href="http://www.whitehouse.gov/omb/grants_circulars.htm">www.whitehouse.gov/omb/grants_circulars.htm</a>):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Cost Principles for State and Local Governments and Other Affected Entities (UGMS, Section II; adapted from OMB Circular A-87 (2 CFR 225)) or Cost Principles for Educational Institutions (2 CFR 220) or Cost Principles for Non-Profit Organizations (2 CFR 230);</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) State Uniform Administrative Requirements for Grants and Cooperative Agreements (UGMS, Section III; adapted from OMB Circulars A-102) or Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (2 CFR 215); and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) State of Texas Single Audit Circular (UGMS, Section IV; adapted from OMB Circular A-133).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grantee complies with the IMLS’ 45 CFR Part 1183, Uniform Administrative Requirements for Grants and Cooperative Agreements to States &amp; Local Governments. (VIII-D)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Next steps
What do you do next?

- Print two copies of the contract
- Have each copy signed by authorized signatory – in blue ink
- Mail both signed copies to the TSLAC Grants Accountant
  - Contracts will be signed by Assistant State Librarian.
  - Final signed (fully executed) copy will be mailed to you.
- File the final copy in your grant file
  - Label it – “TSLAC 2014 Impact* Grant – Contract”
  - Set aside a file drawer or other storage container
- Get busy!
Questions

Program issues, revisions, reporting, GMS registration/roles
Erica McCormick, Grants Administrator
800-252-9386 or 512-463-5527, emc Cormick@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

Contacts