



**TEXAS STATE LIBRARY
AND
ARCHIVES COMMISSION**

**FY 2016 Competitive Grants
Contracts Overview**

Presented by
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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

Reference

- ▶▶ Acronyms & abbreviations
- ▶▶ Reference resources

Common acronyms & abbreviations

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

Reference resources

- › 2016 Grant Program Guidelines
- › Grants Management System (GMS)
(<https://gms.tsl.texas.gov>)
- › Uniform Grant Management Standards (UGMS)
Texas Comptroller of Public Accounts
(comptroller.texas.gov/procurement/catrad/ugms.pdf)
- › Supercircular

Supercircular

- › Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Parts 200 and 3187)
(Supercircular)
(www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards#h-4)

Other documents

- ▶ 2016 application +
- ▶ 2016 grant program guidelines
- ▶ 2016 grant (contract) check list
- ▶ TSLAC GMS FAQs
(<https://gms.tsl.texas.gov/help/faq.php>)

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 = TSLAC
 - Subrecipient = Applicant
- ▶ Section II — When
 - September 1, 2015–August 31, 2016 (SFY 2016)
- ▶ 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, indirect costs
- B. Federal funds
- C. How disbursed
 - Reimbursement (default) - request funds every 30 days/no less than once per quarter
 - Advance
 - Requires approval based on demonstrated need
 - Funds for estimated costs for next 30 days
- D. Requesting funds - Grants Management System (GMS)

Section IV - How much

- E. Deadline for requesting funds
 - Supporting documentation required
 - Final request - September 30, 2016
- F. Deadlines for spending funds
 - For obligating or encumbering funds - August 31, 2016
 - For liquidating or paying those encumbrances - October 15, 2016
- G. Interest to be returned to TSLAC if greater than \$500 (advances)
- H. Budget amounts

Section V - Contract Revisions

- ▶ Fiscal changes (Budget Revision)
 - 10% threshold
 - Transferring to \$0 budget category
 - 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.)

Section VI – Equipment/property

- D. Equipment must be reported at the end of the grant year (by October 31, 2016) 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 Subrecipient upon acquisition. Subrecipient must maintain per UGMS, Part III, Subpart C, Sec. 32. (p. 77)

Section VII – Reporting

- ▶ Performance Report
 - Details your activities — program/item/attendance counts (LBB measures), etc.
- ▶ Financial Status Report
 - Indicates how fast you are spending the funds
- ▶ Quarterly (due December, March, June, and September)
 - Special Projects
 - Library Cooperation
 - TextTreasures
- ▶ Semi-annual (due March and September)
 - Texas Reads
 - Impact

Section VII – Reporting

- ▶ Deadlines (B & C)
 - Special Projects, Library Cooperation, and TexTreasuries

Quarter	Performance Reports (A)	Financial Status Reports (FSR) (B)
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 (B & C)
 - Texas Reads and Impact

Period	Performance Reports (A)	Financial Status Reports (FSR) (B)
1 (Sept–Feb)	March 7	March 31
2 (Mar–Aug)	September 7	September 30

Final FSRs must be submitted by October 31, 2016, to report any funds received after August 31, 2016.

Section VII – Reporting

- A. Procedures –
- B. Performance reports
- C. Financial Status Reports (FSRs) — due October 31, 2016, to report any funds received after August 31, 2016
- D. Financial report certification
- E. Grants checklist — due October 31, 2016

Section VII – Reporting

- F. Audit Certification Form — due December 31, 2016
- G. Single audits — If required, Subrecipient must submit a copy to the Federal Audit Clearinghouse (FAC).
- H. TSLAC may withhold the final payment if all reports and forms are not received.

Section VIII – General terms and conditions

- ▶ A-C. Follow the 2016 grant program guidelines, UGMS, and Supercircular
- ▶ D – E. Copyright
- ▶ F. Publicity – acknowledge IMLS and TSLAC and provide one set of all public relation materials to TSLAC at end of program year
 - 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

- ▶ G. Audits
 - Desk audits – by TSLAC third party auditors
 - Sample of Subrecipients chosen in Q3-Q4
 - 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

- ▶ H. Retention of grant documents – until Dec. 31, 2021
 - S.B. 20 (Section 441.1855) – State agency retention of contracts and related documents – 7 years
- ▶ I. Grant termination – 30 days notice
 - Grant activities and reporting
 - Funding
 - Staffing – reporting, retention, equipment/supply disposition

Section IX – Enforcement

- A. Noncompliance remedies
 - Withhold payment temporarily
 - Disallow activity or action
 - Grant termination
 - Withhold further awards
 - Other remedies
- B. Hearings and appeals
- C. Suspension and termination
- D. Debarment and suspension

Section X – Contacts

- ▶ Program issues, revisions, reporting (GMS roles, basic functionality), and equipment reports
Erica McCormick, Grants Administrator
512-463-5527, emccormick@tsl.texas.gov
- ▶ Payments, requests for funds, FSRs
Tamra Lavin, Grants Accountant
512-463-5472, tlavin@tsl.texas.gov
- ▶ Advance payments and financial issues
Rebecca Cannon, Accounting Manager
512-463-6626, rcannon@tsl.texas.gov
- ▶ 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. All costs are will be used as intended in grant
 - C. Indirect costs not used as direct costs
 - D. No promises or gifts
 - E. No funds used for lobbying
 - F. CIPA form (www.tsl.texas.gov/ld/consulting/tech/cipa.html#main-content)
 - G. Legally able to participate in grant (accreditation)
 - H. Additional e-rate and CIPA compliance
 - I. Copyright compliance (copies, digitization)

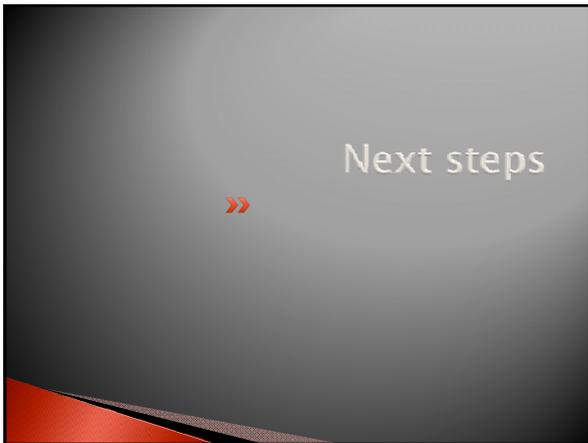
Sections XII – Certifications

- J. Trafficking
- K. Compliance with copyright law
- L. Assurances
 - Nepotism
 - Public information – Project information available to the public
 - Open meetings
 - Reporting child abuse
 - Nondiscrimination
 - Labor standards
 - Political activity
 - EPA compliance of facilities
 - Smoking prohibition
 - Tax laws
 - Grant program guidelines
 - HIV/AIDS work place guidelines

Sections XIII – Signatures

- ▶ Subrecipient (designee authorized to enter into contracts)
 - Prints and signs 2 hard copies*
 - Mails copies to TSLAC Library Development and Networking
- ▶ Grantor
 - Director and Librarian signs both copies (fully executed)
 - TSLAC mails copy (or copies) back to Subrecipient to file





Contract

- Distributed via e-mail (Date TBA)
- Due October 1
- Contract overview webinar archive – review
- Process
 1. Subrecipient will print a copy for authorized person to sign.
 2. Subrecipient will mail/e-mail signed copy to TSLAC.
 3. TSLAC assistant state librarian will sign the copy (fully executed).
 4. TSLAC will mail/e-mail a signed copy to Subrecipient and keep other for files.

What do you do next?

- ▶ Print 2 copies* of the contract.
- ▶ Have each copy signed by authorized signatory – in blue ink.
- ▶ Mail signed copies to the TSLAC Library Development and Networking Division:

Texas State Library and Archives Commission
P.O. Box 12927
Austin, TX 78711-2927

What do you do next?

- ▶ Await the fully executed copy.
 - Director/Librarian sign copies.
 - Staff mail signed copy (or copies) back to you.
- ▶ Mark ALL contract dates on your calendar(s).
- ▶ Make additional copies as necessary.
- ▶ File the final copy in your grant file.
 - Label it – "TSLAC 2016 Impact* Grant - Contract"
 - Set aside a file drawer or other storage container

Grants checklist



2016 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, 2015
 - Project period and Closeout — October 31, 2016

2016 Grant Checklist

Section I. Grant Start-Up
Please verify that each of the tasks below 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, 2015.**

Category	Description (Contract Reference)	Responsibility	Initial	Date
Contract Execution	Subrecipient submits at least two signed hard copies of grant contract to TSLAC.	Lucy Librarian	LoL	9/2/15
	Subrecipient receives at least one copy of the fully executed contract from TSLAC.	Lucy Librarian	LoL	9/30/15
Prior Approvals	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)	N/A		
	Prior Approval received authorizing purchase of equipment costing more than \$5,000 per unit as listed in the Equipment/Property budget category. (VI-C)	N/A		
Certification	Subrecipient submits a statement certifying the governing entity's capitalization level with the signed contract. For equipment/property purchases only. (VI-E)	Betty Budget	BB	6/10/15
Guidelines and Rules (Please indicate who will be responsible for ensuring compliance with the referenced documents during the project period. Please contact the Grants Administrator with any questions.)	Subrecipient complies with the Grant Program Guidelines for 2015-2016. (VII-A)	Lucy Librarian		
	Subrecipient complies with the applicable Rules for Administering the Grant Program as referenced in the Texas Administrative Code (TAC): 13 TAC §§ 2.310-2.312 (Library Cooperation) or 13 TAC §§ 2.410-2.412 (Special Projects) or 13 TAC §§ 2.010-2.212 (Text/Treasuries); and 13 TAC §§ 2.110-2.119 (General Grant Guidelines). (VII-B)	Lucy Librarian		
	The Subrecipient will comply with the rules and guidance as applicable (VII-C): 1) Texas Uniform Grants Management Standards (UGMS) (comptroller.texas.gov/governmentcontracts/signing.pdf); and 2) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Parts 200 and 3187) (www.fiscal.texas.gov)	Adam Administrator		

Section II. Project period (September 1, 2015–August 31, 2016)

Please verify that each of the tasks below has been completed, if applicable, at the end of each reporting period. Have the person responsible for each task initial and date the applicable column when the task is completed. If the category is not applicable to your situation, write "N/A" in the **Responsibility** column. **Do not submit the form until the end of the full grant period or when all activities have been completed.**

Category	Description (Contract Reference)	Responsibility	Q1	Q2	Q3	Q4
Performance Reports	Subrecipient submits the quarterly Performance Report to TSLAC by due date. (VII-A)	Ruth Reference	RR	6/6/14		
Financial Status Reports (FSR)	Subrecipient submits the quarterly FSR to TSLAC by due date. (VII-B)	Betty Budget	BB	4/29/14		
Requests for Funds (RF)	Subrecipient uses the TSLAC RFF form to request payments through the Grant Management System (GMS) no more than once per month, and no less than once per quarter. (VI-C)	Betty Budget	BB	9/1/14		
Fiscal Changes	Subrecipient submits any fiscal changes to the approved budget via GMS by July 15, 2016. (VI-A)	Betty Budget	N/A			
Programmatic Changes	Subrecipient submits any programmatic changes to approved application via GMS by July 15, 2016. (VI-B)	Lucy Librarian	N/A			
Equipment Inventory	Subrecipient complies with UGMS Part II, Subpart C, Sec. 32 (d)(3) requiring certain items of equipment to be maintained on inventory if the item's cost is between \$500 and \$1000. (VI-B)	Tim Techy	TT	12/1/14		
	Subrecipient maintains records on all equipment/property with acquisition costs above the governing entity's capitalization level. (VI-D)	Tim Techy	TT	12/1/14		
	Subrecipient follows UGMS Subpart C, Sec. 32 (e) for disposal of equipment/property. (VI-E)	Tim Techy	N/A			
Acknowledgments	Publicity relating to the grant award includes acknowledgment of the Institute of Museum and Library Science and the Texas State Library and Archives Commission. (VII-E)	Lucy Librarian	LoL	10/1/14		



Contacts

- ▶ Program issues, revisions, reporting, GMS registration/roles
 - Erica McCormick, Grants Administrator
 - 800-252-9386 or 512-463-5527, emccormick@tsl.texas.gov
- ▶ Payments, Requests for Funds, FSRs
 - Tamra Lavin, Grants Accountant
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