



**TEXAS STATE LIBRARY
AND
ARCHIVES COMMISSION**

Intro to Grants Management 2016

**Part 2
Financial Management and
Reporting**

Presented by
Erica A. McCormick, TSLAC Grants Administrator
Tamra Lavin, TSLAC Grants Accountant

What we will cover

- ▶ General funding information
- ▶ Grant and financial management
- ▶ Payment process
- ▶ Grant revisions
- ▶ Reporting
- ▶ Last things

General funding information

- ▶ Funding
 - Federal funds (from IMLS)
 - Federal funds cannot be used to match other federal grants
 - Must all be used (or as close as you can)
 - Can be reduced, but not increased
 - By July 1, 2016 - notify TSLAC if you will not spend all of your funds by August 31

Grant management

- ▶ Functions assigned
 - Performance reporting
 - Financial reporting
- GMS roles
 - Grantee Official or Program Manager - Programming (Director or Program Manager)
 - *Financial Manager (Business/grants office or accounting department) — person authorized to obligate legal entity and certify that information is true, etc. (Contract Section VII. D.)

Financial management

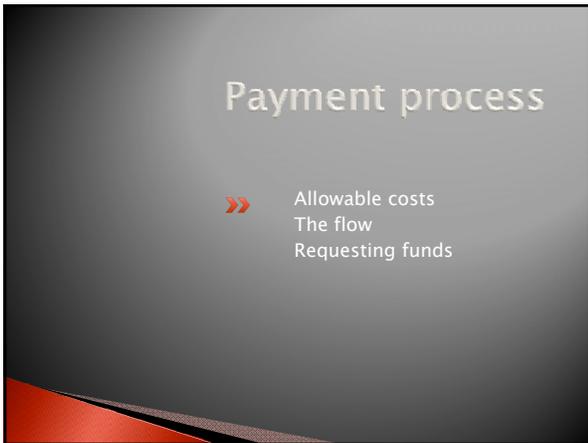
- ▶ Tracking tool (Excel, Quicken, QuickBooks, other accounting software or system)
- ▶ Financial management system*
- ▶ Internal controls*
- ▶ Conflicts of interest*
- ▶ Criminal disclosures*
- ▶ Procurement standards*

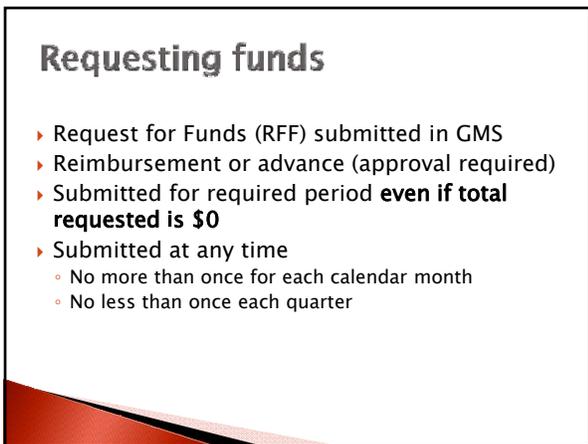
*LSTA Subrecipient Disclosures document

Financial management

- ▶ Documentation (in one* place)
 - Contract & revisions
 - Application
 - Procedures
 - Rules and regulations (Supercircular, UGMS)
 - Expenditures
 - Invoices, purchase orders (encumbrances)
 - Receipts
 - Timesheets (paper or electronic)
 - Payroll







Requesting funds

- ▶ Must submit via e-mail
 - Attachment A (RFF Supporting Documentation Summary) and
 - Supporting documentation (e.g., invoices/receipts, time sheets, payroll documentation)
- ▶ RFFs not processed until supporting documentation received and all report current

Allowable costs

- ▶ Staff (+ fringe benefits)
- ▶ **Travel** specific to carry out the grant-funded project (for program personnel)
- ▶ Equipment or other approved capital expenses (computers, e-readers, furniture, etc.)
- ▶ **Supplies** (books, e-books, crafts, consumables, software*, etc.)

Allowable costs

- ▶ Contractual **services** (instructors, IT functions, speakers, etc.)
- ▶ Consultant fees (travel, accommodation, support services)
- ▶ Indirect costs, overhead or finance & administration (F&A) costs as approved as part of the budget*

Unallowable costs

- ▶ Any costs before September 1, 2015, and beyond August 31, 2016
- ▶ Building construction or renovation
- ▶ Food, beverages, or food delivery equipment or services
- ▶ Awards, honoraria, prizes, or gifts
- ▶ Promotional items

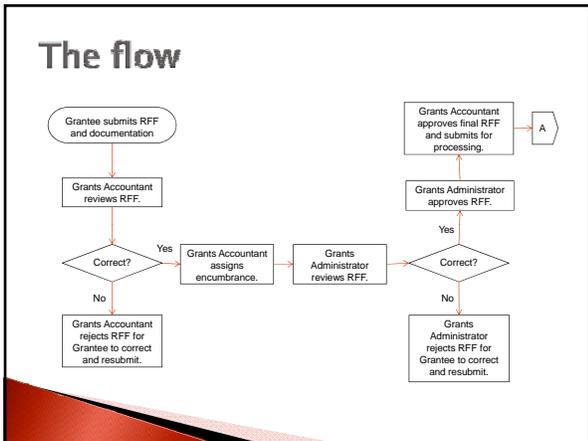
Unallowable costs *(continued)*

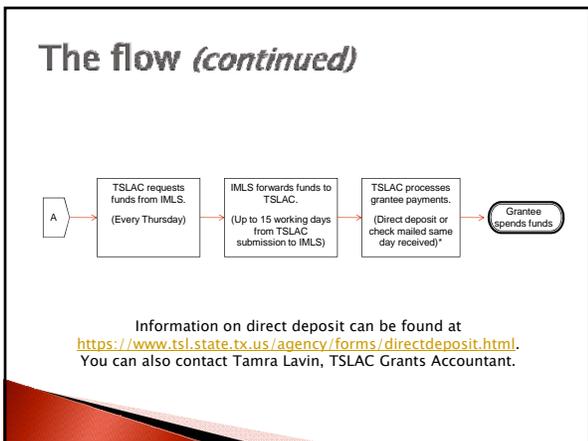
- ▶ Equipment or technology not specifically needed to carry out the goals of the grant
- ▶ Transportation/travel for participants or non-grant funded personnel
- ▶ Collection development purchases not targeted directly to the grant goals nor integral to the service program
- ▶ Databases currently offered or similar to ones offered by TSLAC (i.e., a magazine index database may not be purchased if a comparable one is provided by TSLAC)

Unallowable costs *(continued)*

- ▶ Databases currently offered or similar to ones offered by TSLAC (i.e., a magazine index database may not be purchased if a comparable one is provided by TSLAC)
- ▶ Advertising or public relations costs not directly related to promoting awareness of grant-funded activities
- ▶ Performers or presenters whose purpose is to entertain rather than to educate







RFF – Reimbursement

- ▶ Default payment method
- ▶ For actual expenditures during normal billing cycle
 - Payment date or projected payment date of expenditures should fall within the period covered by the RFF.

RFF – Advances

- ▶ Require approval and documentation* to demonstrate financial hardship
- ▶ For estimated expenditures to be incurred for the upcoming 30 days
- ▶ Defaults to “reimbursement” if excessive balances are kept
- ▶ Must be submitted by 1st of month to cover expenses to be paid in following month
 - Due by October 1 to cover November 1-30

RFF – Advances

- ▶ Limited to what you will spend in the 30 days following receipt of funds
- ▶ Contact
Rebecca Cannon, Accounting Manager
512-463-6626
rcannon@tsl.texas.gov

RFF in GMS

From **Home Page** in GMS, select "Request Funds" as your "Action."

Grantee Summary					
FY	Grant	Grant Abbreviation	Application Due Date	Application Status	Action
2016	Special Projects	Special	03-13-2015	APPROVED	Select One
2015	Impact2: Focus on Family And Early Childhood Literacy	Impact2	03-10-2014	APPROVED	Select One
2013	TexTreasures	TexT	03-10-2014	APPROVED	Request Funds
2014	Impact2	Impact2	02-27-2013	APPROVED	Submit Progress Report
2011	Texa Reads	TexaRds	02-18-2010	NOT SUBMITTED	Submit Performance Report
2009	TexTreasures	TexT	03-14-2008	APPROVED	Submit Equipment Report

Overdue Requests For Funds Summary			
FY	Grant	Grant Abbreviation	Action
2015	Impact2	Impact2	Request Funds
2015	TexTreasures	TexT	Request Funds

RFF in GMS

Request "New" form for each RFF to be submitted.

Grant Management System							
Home Page	Display Application	Request For Funds	Grant Revision	Financial Report	Performance Report	Equipment Report	Help Log out

Awarded Grant	Grant Number	Date Awarded	Amount Awarded
Special		08-04-2015	\$75,000.00

Request For Fund History:
0 request found.

Request#	From	To	Payment Type	Final	Status	Action
						New

RFF in GMS

Payment Type:
Reimbursement
Payment Portion:
Partial or final
Expenditure:
Zero funds expended
Period covered by this request:
From: date to: date

Texas State Library and Archives Commission
Special Projects FY2016

Organization Information
Name: [Redacted]
Legal Entity: [Redacted]
Address: [Redacted]
City, State Zip: [Redacted]
Employer Identification Number: 74000083
DUNS Number: 146362809
SAM Exp. Date:

Click the question icon after a term for further explanation. To print the form use the print command.

Request For Funds #1

Instructions
Reimbursement

Type Of Request
Reimbursement

Payment Type:
Reimbursement

Payment Portion:
 Partial
 Final

Expenditure:
 Zero funds expended

Period Covered By This Request
From: September 1, 2015 - To: September 30, 2015 -

RFF in GMS – For review

Request For Funds

Awarded Grant	Grant Number	Date Awarded	Amount Awarded
Special		08-08-2012	\$47,081.00

Overdue:

No Request For Funds has been submitted for the following quarters: First, and Fourth.

Request For Fund History:

3 requests found:

Request#	From	To	Payment Type	Final	Status	Action
1	09-01-2012	12-31-2012	Reimbursement	<input type="checkbox"/>	APPROVED	View
2	12-01-2012	02-28-2013	Reimbursement	<input type="checkbox"/>	FOR REVIEW	Edit
3	03-01-2013	05-31-2013	Reimbursement	<input type="checkbox"/>	APPROVED	View

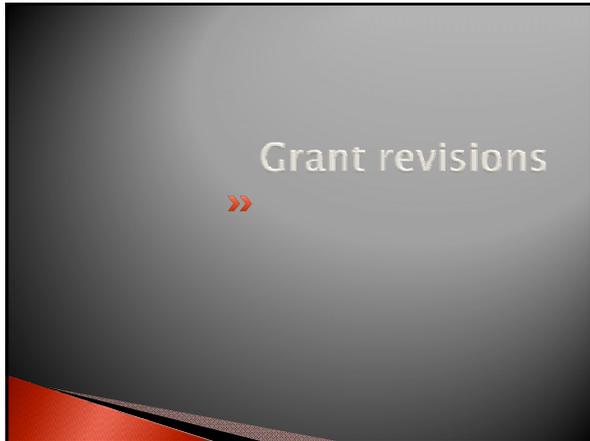
Status — Menu items in red indicate immediate attention is required.

"FOR REVIEW" = edits needed

RFF important dates

- ▶ **July 1, 2016** – last date to request an advance
- ▶ **July 15, 2016** – last date to request a revision
- ▶ **August 31, 2016** – last date to obligate or encumber funds
- ▶ **September 30, 2016** – last date to request a reimbursement (final RFF)
- ▶ **October 15, 2016** – last date to liquidate or pay all obligations and encumbrances





Grant revisions

- ▶ Fiscal changes (Section V. A. of contract)
 - 10% threshold of funding award
 - Transferring to \$0 budget category
 - Item changes with significant price/feature differences
 - Change in purpose
- ▶ Program changes
 - Adding 3rd party services
 - Changing scope or objectives
- ▶ Can have multiple revisions

Grant revisions

From **Home Page** in GMS, select "Submit Grant Revision" as your "Action."

FY	Grant	Grant Abbreviation	Application Due Date	Application Status	Action
2016	Special Projects	Special	03-11-2016	APPROVED	Select One
2015	Impact12 Focus on Family And Early Childhood Literacy	Impact12	03-10-2014	APPROVED	Select One Open Application
2015	TexTreasurers	TextT	03-10-2014	APPROVED	Select One Submit Grant Revision
2014	Impact1	Impact1	02-27-2013	APPROVED	Select One
2011	Texas Reads	TXreads	02-26-2010	NOT SUBMITTED	Submit Performance Report
2009	TexTreasurers	TextT	03-14-2008	APPROVED	Submit Equipment Report

Grant revisions

Home Page | Display Application | Request for Funds | **Grant Revision** | Financial Report | Performance Report | Equipment Report | Help | Log out

Budget/Program Revision Requests

Awarded Grant	Grant Number	Date Awarded	Amount Awarded
Special			\$34,720.00

Request#	Revision Type	Date Modified	Status	Action
				New

Grant revisions

Revision Number: 021041

Texas State Library and Archives Commission

Special Projects FY2014

Organization Information

Name: [Redacted]
Legal Entity: [Redacted]
Address: [Redacted]
City, State Zip: [Redacted]
Employer Identification Number: 14020004
DUNS Number: 21642004
SAM Exp. Date: [Redacted]

Grant Information

Type: Special Projects
Fiscal Year: 2014
Grant Number: 010
Federal Award Number: 14-001-01-0000-13
CFDA Number: 45.200

Click the question icon (?) after a term for further explanation. To print the form use the print command on your browser's menu. Required fields are indicated by a red asterisk (*).

Grant Revision #1

Check either box or both to indicate the type of your revision and click the continue button.

Program Revision
 Budget Revision

[Home](#) [Back](#)

Program revisions

Revision Number: 021041

Texas State Library and Archives Commission

Special Projects FY2014

Organization Information

Name: [Redacted]
Legal Entity: [Redacted]
Address: [Redacted]
City, State Zip: [Redacted]
Employer Identification Number: 14020004
DUNS Number: 21642004
SAM Exp. Date: [Redacted]

Grant Information

Type: Special Projects
Fiscal Year: 2014
Grant Number: 010
Federal Award Number: 14-001-01-0000-13
CFDA Number: 45.200

Click the question icon (?) after a term for further explanation. To print the form use the print command on your browser's menu. Required fields are indicated by a red asterisk (*).

Revision # Program Changes

List changes in the purpose of the grant funds that do not require budget changes.

Describe the program change requested? *

Provide a change justification? *

[Home](#) [Back](#) [Save](#)

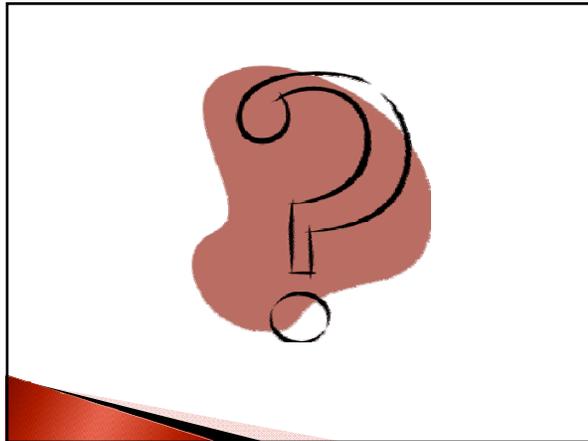
Budget revisions

List changes in the purpose of the grant funds that do not require budget changes.

Section B: Budget Changes
Make changes in the dollar amounts of the budget to show exactly what you want to change.

Budget Category	Original Amount	Proposed Budget Change
Personnel	\$ 400.00	
Travel	\$ 300.00	
Travel	\$ 0.00	
Equipment / Property	\$ 0.00	
Supplies (incl. Library Materials)	\$ 200.00	
Supplies Equipment	\$ 300.00	DELT ----- proposed by 1
Services	\$ 200.00	
Consultant Fees	\$ 0.00	
Indirect Cost	\$ 0.00	DELT ----- added 1.11 added with description
Total	\$ 1,200.00	

Print Submit Save



Reporting

» Financial Status Report (FSR)
Equipment Report

Financial Status Report (FSR)

- Reports expenditures and reimbursements for the reporting period
- Due on last day of each reporting month

Grant	Due
<ul style="list-style-type: none"> • Special Projects • Library Cooperation • TexTreasures 	4x/year (Dec, Mar, June, Sept)
<ul style="list-style-type: none"> • Texas Reads • Impact 	2x/year (Mar and Sept)

Refer to **Contract Section VII** for the deadlines for your particular grant.

To submit your FSR

- You will need:
 - "Approved" RFFs that fall within the reporting period
 - Total amount of reimbursements received from TSLAC by the end of the reporting period

FSR in GMS

From **Home Page** in GMS, select "Submit Financial Report" as your "Action."

Grantee Summary

FY	Grant	Grant Abbreviation	Application Due Date	Application Status	Action
2010	Special Projects	Special	03-11-2010	APPROVED	Select One
2010	Impact2: Focus on Family And Early Childhood Literacy	Impact2	03-10-2014	APPROVED	Select One
2015	TexTreasures	Text	03-10-2014	APPROVED	Prepare Funds
2014	Impact	Impact	02-27-2013	APPROVED	Submit Grant Report
2011	Texas Reads	Ysroads	02-29-2010	NOT SUBMITTED	Submit Reimbursements Report
2009	TexTreasures	Text	03-14-2008	APPROVED	Submit Equipment Report

Overdue Requests For Funds Summary

FY	Grant	Grant Abbreviation	Action
2015	Impact2	Impact2	Go To
2015	TexTreasures	Text	Go To

Overdue Financial Status Reports Summary

FY	Grant	Grant Abbreviation	Action
2015	Impact2	Impact2	Go To

Submitting your Final FSR

- ▶ Submitted for financial activity in September 2016
- ▶ Can only be submitted if you have spent all budgeted funds AND received the funds requested in your FINAL RFF
 - GMS will not let you submit a Final FSR with a balance due to your library (i.).
- ▶ Can be submitted before the deadline
- ▶ Balances > \$1 must be returned to TSLAC. ("Refund due" message in Remarks)



Equipment Report

- ▶ Only for "Equipment/Property" and "Supplies-Equipment" budget line items
- ▶ Due before or by October 31, 2016

FY	Grant	Grant Abbreviation	Application Due Date	Application Status	Action
2015	Impact3 Focus in Business and Workforce Development/Digital Library	Impact3	03-10-2014	APPROVED	Select One
2015	Impact33 Focus in E-Content Access and Delivery	Impact33	03-10-2015	OPEN	Select One
2015	Special Projects	Special	03-10-2014	APPROVED	Request Funds
2015	Text/Treasuries	Text	03-10-2014	NOTAWARDED	Submit Grant Revision
2014	Special Projects	Special	03-10-2013	APPROVED	Submit Financial Report
2013	Special Projects	Special	03-09-2012	APPROVED	Submit Financial Report

FY	Grant	Grant Abbreviation	Action
2014	Special Projects	Special	Submit

Equipment Report

Revision Released for 02/28/14

Texas State Library and Archives Commission

Fiscal Year 2015

Organization Information

Name: [Redacted] Grant Information: Agency: [Redacted] Project: [Redacted]

Legal Entity: [Redacted] Fiscal Year: [Redacted]

Address: [Redacted] Grant Number: [Redacted]

City, State, Zip: [Redacted]

Equipment Identification Number: [Redacted]

Click the question icon (?) after a term for further explanation. To print the form use the print command on your browser's menu. Required fields are indicated by a red asterisk (*).

Equipment Report

Status: [Redacted]

NOT SUBMITTED

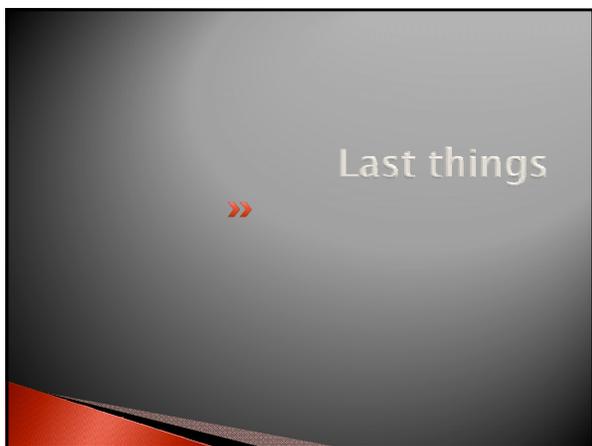
Equipment/Property Description	Serial # or Other Unique ID Number	Date Acquired (MM/YY)	Expenditure (\$)	Action
		01/15	1.00	Added
		01/15	0.00	Added
		01/15	0.00	Added
		01/15	0.00	Added
			Total: \$1.00	

Print Update Save

Add More Equipment/Property

You must save any changes to the current form before adding more number of the items. Enter number of the items to be added: [Redacted]





Submitting requests and reports

- ▶ Grantee
 - Fill in information in each section, if applicable, and save often.
 - Double check your entries.
 - Submit before or by due date.
 - Check the "Final Report" box if submitting the final FSR.
- ▶ TSLAC
 - Review information.
 - Approve or send back "for review" (for revision).
 - Process payment.

Contacts

Program issues, budget/program revisions, performance reports

Erica McCormick
Grants Administrator
emccormick@tsl.texas.gov
800.252.9386 or 512.463.5527

Requests for funds and financial reports

Tamra Lavin
Grants Accountant
tlavin@tsl.texas.gov
512.463.5472
