

**TEXAS STATE LIBRARY  
AND  
ARCHIVES COMMISSION**

**2018 Intro to Grants Management  
Financial Management and Reporting**

Presented by  
Erica A. McCormick, TSLAC Grants Administrator  
Arturo Villarreal, TSLAC Grants Accountant

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**What we will cover**

- General funding information
- Grant and financial management
- Payment process
- Change requests
- Reporting
- Last things

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**General funding information**

- Funding
  - Federal funds (from IMLS)
  - Cannot be used to match other federal grants
  - Must all be used (or as close as you can)
  - Reimbursement
  - Can be reduced, but not increased
    - By June 15, 2018 – notify TSLAC if you will not spend all of your funds

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### Allowable costs

- **Salaries/wages/benefits** — Subrecipient staff
- **Travel** — specific to carry out the grant-funded project (program personnel NOT participants)
- **Equipment** or other approved capital expenses = capitalization level or > \$5,000/unit
- **Supplies/materials** — books, e-books, crafts, consumables, software\*, etc.

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### Allowable costs

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

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### Unallowable costs

- Any expenses incurred before September 1, 2017, and after August 31, 2018
- Building construction, renovation, or repair, including fixtures or services
- Food, beverages, or food delivery equipment or services
- Awards, honoraria, prizes, or gifts
- Promotional items

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### Unallowable costs (cont'd)

- 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
- Handling fees

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### Unallowable costs (cont'd)

- Databases currently offered or similar to ones offered by TSLAC (i.e., TexShare)
- 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
- Other expenses as excluded in the guidelines or application

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### Subrecipient monitoring

- Subrecipient's responsibility to monitor vendors and subcontractors for eligibility to receive Federal funds
  - Not debarred, suspended, etc.
  - Should have a DUNS # and SAM registration
- Other options
  - Direct hire or
  - Temp services/agency

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### Grant management

- GMS functions assigned
  - Financial reporting
    - Requests for funds and documentation
    - Certification submitted (signed) by whoever is authorized to bind the entity OR authorized proxy

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### Financial management

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

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### Financial management

- Documentation (in one place)
  - Contract & revisions
  - Application
  - Procedures
  - Rules and regulations (Supercircular, UGMS)
  - Expenditures
    - Paid invoices
    - Receipts
    - Timesheets (paper or electronic)
    - Payroll
    - General ledger

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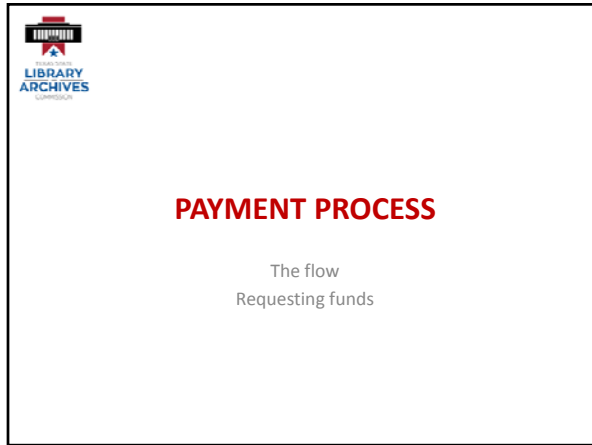
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## PAYMENT PROCESS

The flow  
Requesting funds

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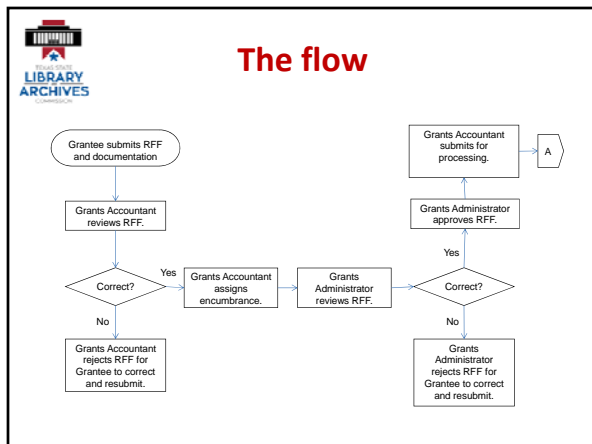
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## The flow

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### The flow *(continued)*

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    graph LR
      A[A] --> B[TSLAC requests funds from IMLS. (weekly)]
      B --> C[IMLS forwards funds to TSLAC. (Up to 15 working days from TSLAC submission to IMLS)]
      C --> D[TSLAC processes grantee payments. (Direct deposit or check mailed within 2 days of receipt)*]
      D --> E(Grantee receives funds)
  
```

Information on direct deposit can be found at  
<https://www.tsl.texas.gov/sites/default/files/public/tslac/admin/DirectDepositFormandInstructions.pdf>.  
 You can also contact Art Villarreal, TSLAC Grants Accountant,  
[grants.accounting@tsl.texas.gov](mailto:grants.accounting@tsl.texas.gov).

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### 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.

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### 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 1<sup>st</sup> of month to cover expenses to be paid in following month
  - Due by October 1 to cover November 1-30

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### RFF – Advances

- Limited to what you will spend in the 30 days following receipt of funds
- Forward documentation

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### Requesting funds

- Request for Funds (RFF) submitted in GMS (grants.tsl.texas.gov)
- Submitted for required period **even if total requested is \$0\***
- Submitted at any time
  - No more than once every 30 days (TSLAC preference for grants totaling \$10,001 +)
  - No less than once each quarter (\$0 and grants totaling \$10,000 or less)

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### Requesting funds

- GMS roles
  - Must have correct role for task
    - Create/update/no submit RFF
    - Create/update/submit RFF
    - RFF Read only
  - “Submit” role – financial certification “signature”

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### RFF Financial Certification

- “Signature” – by authorized individual or proxy
  - All reports are true, complete, and accurate,
  - All the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award
- “Proxy” requires a letter from authorized individual authorizing a proxy.

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### RFF Financial Certification

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise.  
 — (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).  
 —(Contract Section VII. D.)

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### Requesting funds

- Must submit via GMS
  - Paid invoices
  - Receipts
  - Timesheets (paper or electronic)
  - General ledger
- RFFs not processed until supporting documentation received and all reports current

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## RFF – Submission

- Gather all supporting documentation – paid invoices, receipts, time sheets, payroll registers, general ledgers, etc. included in the RFF.

*Note:* If only part of the total invoice or receipt is being reimbursed, circle/mark the items and amounts to be reimbursed.

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## RFF in GMS

From **Home Page** in GMS, select “RFF.”

Accounts	Contacts	Grants	Accounts	Contacts	Grants
NG Grants	Grant Review	RFF	NG Grants	Grant Review	RFF
Performance Re...	Final Report	Pre Award Asses...	Perform...	Final Rep.	Pre Award...
Change Request	Budget Change...	Documents	Change ...	Budget C.	Docume...

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## RFF in GMS

- RFF sections
  - Request for Funds
  - Request for Funds Details
  - Summary of RFF by Budget Category
  - Payment Info
- Numbers sequentially for system not by grant
  - RFFs
  - RFF details
- Submission dates are on a timer - every 30 days

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### RFF in GMS

RFF Number	Grant	Grant Number	Total Request Amount	Status Reason	Date Paid	Created On
330002	Service needs a brand also	478-17000	\$5,000.00	Submitted		7/18/2016 12:09 PM

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### RFF in GMS

RFF Number	Grant	Grant Number	Total Request Amount	Status Reason	Date Paid	Created On
330002	Service needs a brand also	478-17000	\$5,000.00	Submitted		7/18/2016 12:09 PM

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### RFF in GMS

**Request For Funds**

RFF Number: \_\_\_\_\_

Grant: \_\_\_\_\_

Grant Number: \_\_\_\_\_

Grant Program: \_\_\_\_\_

RFF Contact: \_\_\_\_\_

Next Possible RFF Submit Date: \_\_\_\_\_

Legal Entity: \_\_\_\_\_

**Save**

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**Request For Funds**

Record created successfully

RFF Number: 15452668  
Date: 8/30/2017 - Gemini says no  
Grant Number: 475-11701  
Grant Program: Special 5  
RFF Contact: [Redacted]  
Next Possible RFF Submit Date: 10/31/2017 10:57 AM  
Legal Entity: City of Chicago

Submit RFF:  Yes  No

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)

Final Request For Funds

Date Submitted: [Redacted]

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**Request For Funds Details**

Request For Funds Details

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
No records are available in this view								

Summary of RFF by Budget Category

Current Remaining Budget	Current Request	Remaining Balance
Salaries/Wages/Benefits	Salaries/Wages/Benefits Req	Available Salaries/Wages/Benefits
Consulting Fees	Consultant Fees Req	Available Consulting Fees

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**Request For Funds**

Total Cost	Total Request Amount	Available Total Budget
21020.00	0.00	21020.00

Payment Info

Date Paid: [Redacted] Payment ID: [Redacted]

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### RFF in GMS

Request For Funds Details

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Requested On
No records are available in this view								

Choose Action... Submit Add

Choose Action... Submit Add

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### RFF Details

Add

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

Payment Date

Amount Claimed \*

Comment

Cancel Save

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### RFF Details

Invoice Number

ABC123

Vendor Name

Books R Us

Budget Category

Supplies/Materials

Payment Date

9/1/2016

Amount Claimed \*

123.46

Comment

Board books

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## RFF Details

**Request For Funds Details**

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status/Message	Created On
100003	ABC123	Books R Us	9/1/2016	Supplies/Materials	\$123.45	Best books	New	9/6/2016

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## RFF Details

**Add** 100003

General	General
RFF Detail ID	RFF Detail ID
Invoice Number	Invoice Number
Vendor Name	Vendor Name
Budget Category	Budget Category

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## RFF Details — Item Lists

**Supplies/Materials**

- Accessories - computer, camera/video
- Apps (tablets, mobile devices)
- Audio books/CDs
- Camera/video equipment
- Computers - Desktop/laptop
- Computers - Network
- Computers - Tablets, e-readers
- Consumables (paper, toner, etc.)
- DVDs
- E-books
- Electronics and robotics
- Furniture
- Manipulatives
- Mobile devices (iPods)
- Print materials (Books, documents)
- Printers/scanner
- Software
- Storage supplies (bins, backpacks, archival, etc.)
- Textiles (cloth, t-shirts, tablecloths)
- Tools

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### RFF Details — Item Lists

**Services**

- Promotion
- Computer services
- Databases
- Postage
- Printing
- Signage
- Software as a service (SaaS)
- Speaker fees
- Support - Computer
- Support - Web
- Training - patrons
- Training - staff
- Venue fees (room rental, etc.)

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### RFF Details — Attachments

100003

**Notes**

Add a note:  
spreadsheet with details

Attach File:  
AM-OmekiVisitsApril2016\_04-01-2016\_04-30.csv

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### RFF Details

**Notes**

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### RFF Details



**Request For Funds Details**

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
<input type="checkbox"/> 100003	ABC123	Books R Us	9/1/2016	Supplies/Materials	\$123.46	Board books	New	9/6/2016
<input type="checkbox"/> 100004	XYZ789	KXZ to Me	9/9/2016	Services	\$94.00		New	9/6/2016

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### RFF Summary



**Summary of RFF by Budget Category**

Current Remaining Budget	Current Request	Remaining Balance
Salaries/Wages/Benefits 0.00	Salaries/Wages/Benefits Req 0.00	Available Salaries/Wages/Benefits 0.00
Supplies/Material 15000.00	Supplies/Materials Req 123.46	Available Supplies/Materials 14876.54
Equipment 20.00	Equipment Req 0.00	Available Equipment 20.00
Services 6000.00	Services Req 94.00	Available Services 5906.00
Indirect Costs 0.00	Indirect Costs Req 0.00	Available Indirect Costs 0.00
<b>Total Cost</b> 21020.00	<b>Total Request Amount</b> 217.46	<b>Available Total Budget</b> 20802.54

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### RFF Financial certification



Submit RFF  
 Yes  
 No

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Final Request For Funds

Date Submitted

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## RFF — Submitted

**Request For Funds**

RFF Number: 100003  Final Request For Funds

Grant: Too many dogs, not enough cats Date Submitted: 9/7/2016 9:25 AM

Next Possible RFF Submit Date:

Legal Entity:

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## RFF — To be submitted

**Request For Funds**

RFF Number: 100004

Grant: Too many dogs, not enough cats

Next Possible RFF Submit Date: 10/7/2016 9:25 AM

Legal Entity:

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## RFF Notes

- Purchase orders are not acceptable, except in payment advances.
- RFFs can only be submitted once every 30 days. The next possible RFF submission date appears in each RFF.
- If not all items on a receipt/invoice submitted for payment will be reimbursed, please mark the items to be reimbursed.
- Documentation may be batched and submitted as one file or batched by vendor and date for multiple invoices to a single vendor paid with a single payment.
- Descriptions for the **Supplies/Materials** and **Equipment** categories should include the type of item. See *Item Lists* below.
- Descriptions for the **Services** category should include the type of service.

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### RFF Notes

- Purchase orders are not acceptable, except in payment advances.
- If not all items on a receipt/invoice submitted for payment will be reimbursed, please mark the items to be reimbursed.
- Descriptions for the **Supplies/Materials** and **Equipment** categories should include the type of item. *See Item Lists.*
- Descriptions for the **Services** category should include the type of service. *See Item Lists.*

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### RFF Notes

- Documentation may be batched
  - Submitted as one file for up to 15 invoices;
    - » Included in first RFF Detail record
    - » Indicate in description that all invoices are in the single file
  - Can be batched by vendor and payment date for multiple invoices to a single vendor
    - » Included in first RFF Detail record for vendor
    - » Batched by month or quarter as requested

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### RFF important dates

- RFFs can only be submitted once every 30 days.
- RFFs are due by end of month following payment period
  - Grants less than \$10,000 report quarterly
    - December (September-November)
    - March (December-February)
    - June (March-May)
    - September (June-August)
  - Grants greater than \$10,000 report monthly

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### RFF important dates

- **June 15, 2018** – last date to submit spending plan
- **July 1, 2018** – last date to request an advance
- **July 15, 2018** – last date to request a revision
- **August 31, 2018** – last date to obligate or encumber funds
- **September 30, 2018** – last date to request a reimbursement (final RFF)
- **October 15, 2018** – last date to liquidate or pay all obligations and encumbrances (advances)

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### CHANGE REQUESTS

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 **Change Requests**

- 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 3<sup>rd</sup> party services
  - Changing scope or objectives

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 **Change Requests**

- MUST GET PERMISSION TO SUBMIT
- Can have multiple revisions
- Can decrease total grant funds, but NOT increase

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 **Change Requests**

From Home Page in GMS 2018, select "Budget Change Request."

Accounts	Contracts	Grants	Accounts	Contracts	Grants
NC Grants	Grant Review	RFF	NC Grants	Grant Re.	RFF
Performance Re...	Report	Pre Award Asses...	Perform...	Pre Award	
Change Request	Budget Change ...	Documents	Change	Budget C...	Docume...

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**Change Requests**

LIBRARY ARCHIVES

Grant Budget Change Requests

Views: Grant Budget Change Requests

**Add Budget Change Request**

Request ID	Grant	Sub Recipient
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**Change Requests**

LIBRARY ARCHIVES

**General**

Sub Recipient \*  
Texas Lutheran University  I want to decrease my awarded budget

Grant \*  
Too many dogs, not enough cats

Change Request Contact \*

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**Change Requests**

LIBRARY ARCHIVES

**Sections**

- General
- Details
  - Reason for the change request (high level)
- Budget Details
  - Current Budget
  - Proposed Budget
  - Change Reason

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**Change Requests**

**General**

Sub Recipient \*  
Texas Lutheran University

Request ID  
10002

Grant \*  
Too many dogs, not enough cats

I want to decrease my awarded budget

Change Request Contact \*  
Martha Rinn

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**Change Requests**

**Details**

Change Reason

**Budget Details**

Current Budget	Proposed Budget	Change Reason
Current Budget	Proposed Budget	Change Reason
Salaries/Wages/Benefits	Proposed Salaries/Wages/Benefits	Salaries/Wages/Benefits Reason
0.00	0.00	

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**Reallocation**

**Budget Details**

Current Budget	Proposed Budget	Change Reason
Current Budget	Proposed Budget	Change Reason
Current Supplies/Materials	Proposed Supplies/Materials	Supplies/Materials Reason
13000.00	10000.00	Supplies didn't cost as much as quoted.
Current Equipment	Proposed Equipment	Equipment Reason
20.00	5020.00	Because of discounts, can now buy equipment that will help us reach more people faster. Quoted price: 4999
Current Services	Proposed Services	Services Reason
6000.00	6000.00	

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**Reallocation**

Reallocating funds — To be Allocated=\$0.00

Current Total Budget	Proposed Total Budget	To Be Allocated
21000.00	21000.00	0.00

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**Change Requests**

Current Total Budget: 21000.00 | Proposed Total Budget: 0.00 | To Be Allocated: 21000.00

**Grant Budget Change Requests**

Request ID	Grant	Sub-Recipient	Change Request Contact	Submit Date	Status	Reason	Created On
10002	Too many dupes, not enough cats	Texas Lutheran University	Martha Rios	9/7/2016	Returned		9/7/2016 9:41 AM

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**LIBRARY ARCHIVES COMMISSION**

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## Financial Status Reporting

- Created from information provided in the RFF details
- Financial Status Report
  - Real time table that pulls from submitted RFFs
  - Does not need to be submitted
  - Status available at any time

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## 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, payments, and financial status

**Arturo Villarreal**  
Grants Accountant  
grants.accounting@tsl.texas.gov  
512.463.5472

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