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2019 Intro to Grants Management Financial Management and Reporting

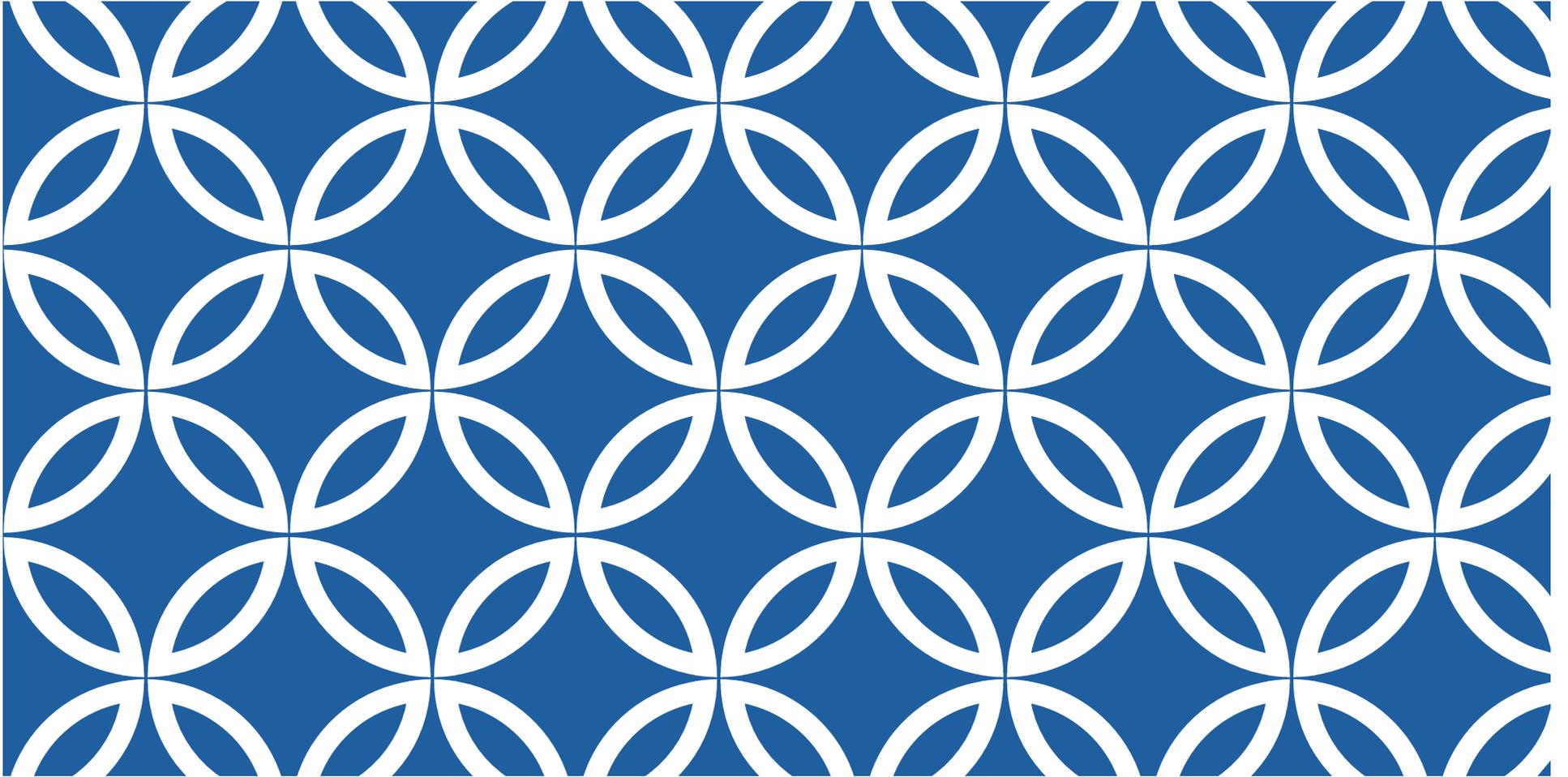
Presented by

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

August 29, 2018

WHAT WE WILL COVER

- ❖ General funding information
- ❖ Financial management
- ❖ Payment process
 - ❖ The flow
 - ❖ Requests for Funds (RFFs)
- ❖ Change requests
- ❖ Next steps and last things



FUNDING INFORMATION



GENERAL FUNDING INFORMATION

- ❖ Federal funds (Federal pass-through)
- ❖ Cannot be used to match other federal grants
- ❖ Reimbursement by default
- ❖ Can be reduced, but not increased
 - By *May 15, 2019* – notify TSLAC if you will not spend all of your funds

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 $> \$5,000/\text{unit}$
- ❖ **Supplies/materials** — books, e-books, crafts, consumables, software*, etc.

ALLOWABLE COSTS

- ❖ **Contractual services** (contractors, 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

UNALLOWABLE COSTS

- ❖ Any expenses incurred before September 1, 2018, and after August 31, 2019*
- ❖ Building construction, renovation, or repair, including fixtures or services
- ❖ Food, beverages, or food delivery equipment or services
- ❖ Awards, honoraria, prizes, or gifts
- ❖ Promotional items

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

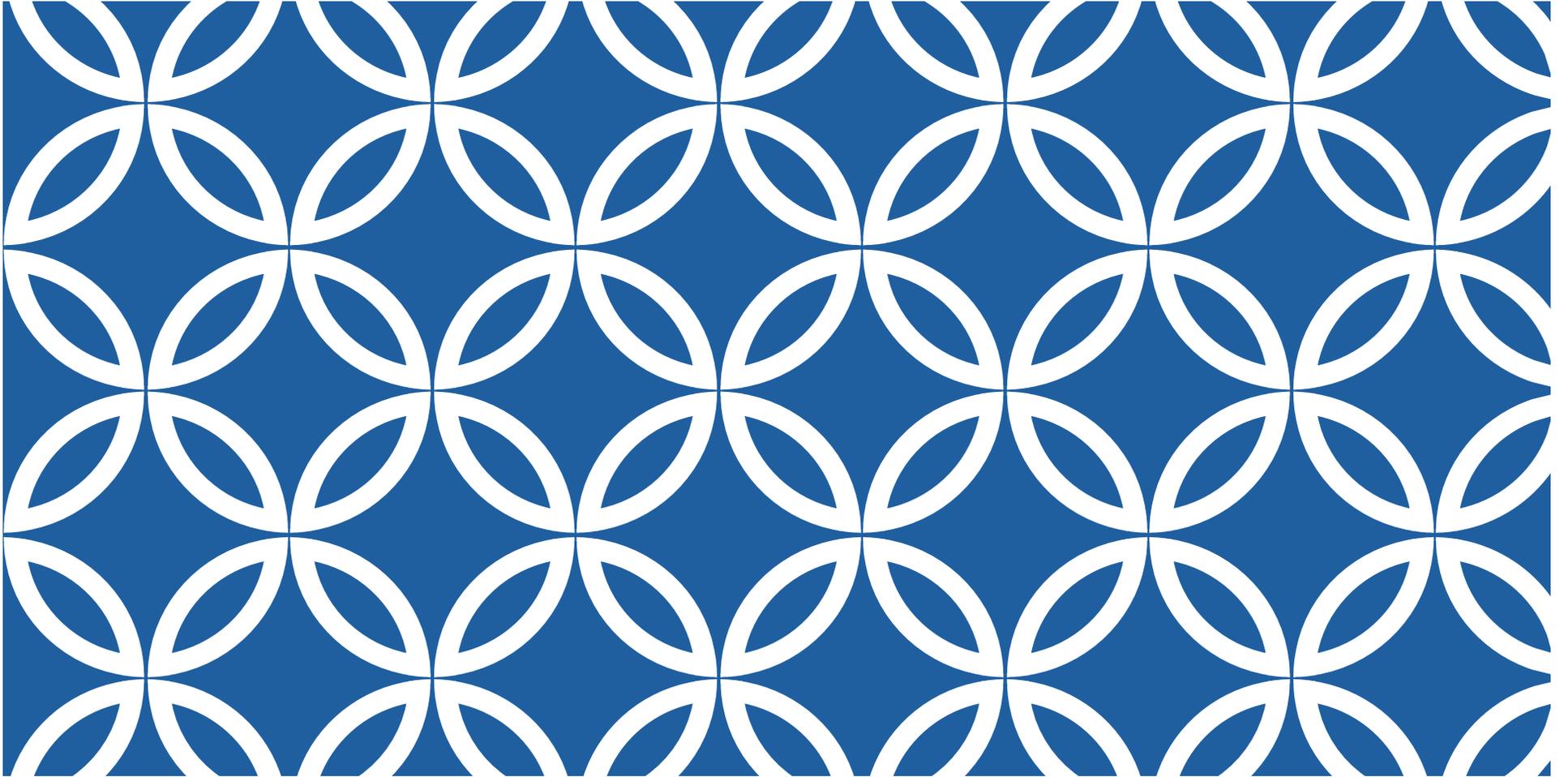
UNALLOWABLE COSTS *(CONT'D)*

- ❖ 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

SUBRECIPIENT MONITORING

- ❖ Subrecipient's responsibility to monitor subcontractors for eligibility to receive Federal funds
 - ❖ Not debarred, suspended, excluded or disqualified, etc. (Contract paragraph XII. F.)
 - ❖ Should have a DUNS # and active SAM registration or signed certification
 - ❖ Services > \$25,000 (not Equipment)





FINANCIAL MANAGEMENT



FINANCIAL MANAGEMENT

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

FINANCIAL DOCUMENTATION

Documentation (in one place)

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

RFF FINANCIAL AUTHORIZATION

- ❖ “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.

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.)*

PROXY LETTER

- ❖ Delivered to Erica McCormick, TSLAC grants administrator

- ❖ On letterhead via e-mail:

I hereby authorize, Andrea Administrator, Assistant City Manager, to sign the required financial certifications on behalf of name of Legal Entity for its 2019 Texas Reads sub-award.

Sincerely,

City Manager [or County Judge, Superintendent, etc.]

Your City [County, etc.]

- ❖ Can be combined in one letter

FINANCIAL REPORTING IN GMS

- ❖ Requests for funds and documentation
- ❖ GMS roles
 - Create/update/no submit RFF
 - Create/update/submit RFF
 - RFF Read only

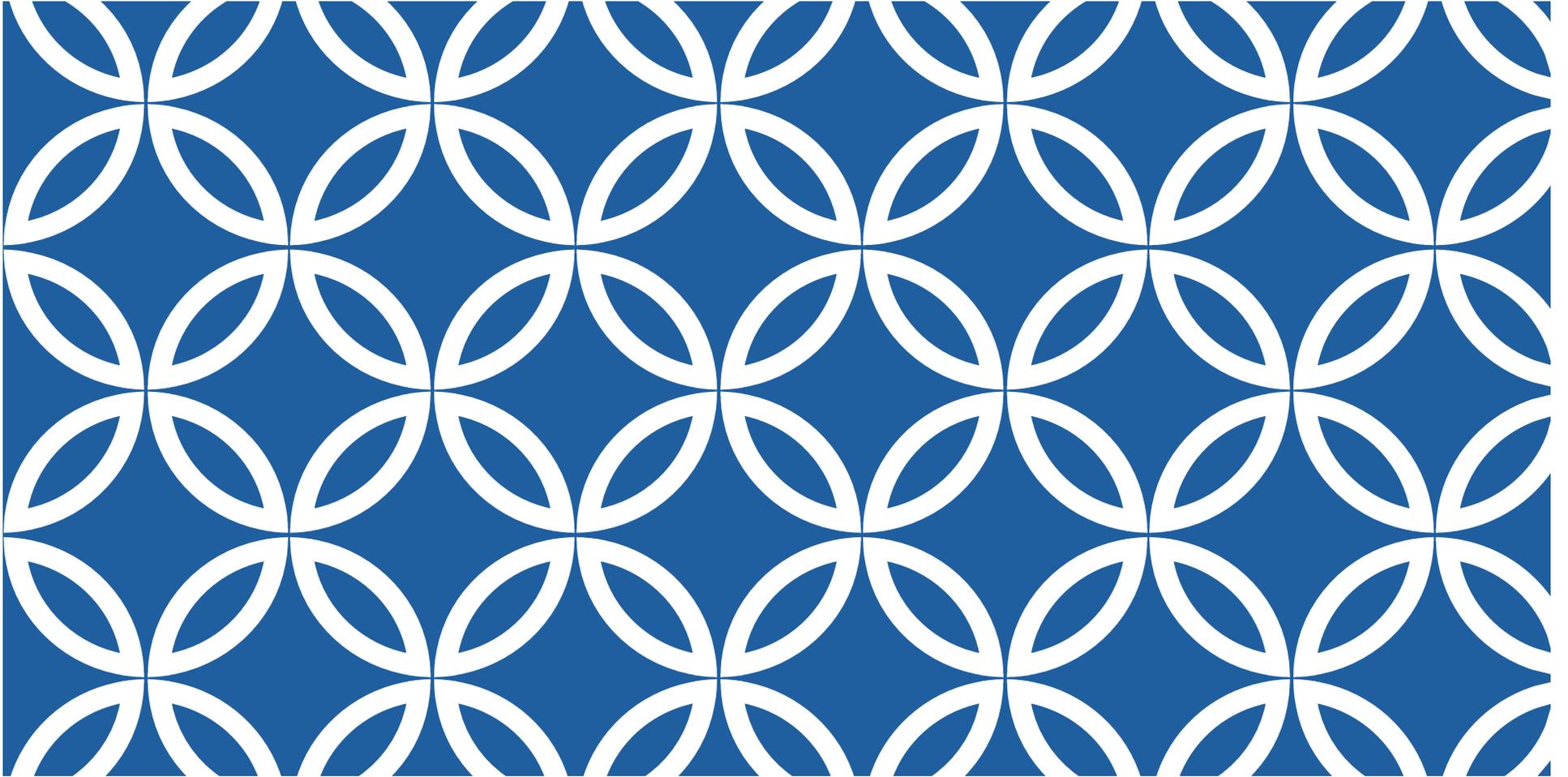
(“Submit” role = financial certification “signature”)
- ❖ Certification submitted (signed) by whoever is authorized to bind the entity OR authorized proxy

FINANCIAL STATUS REPORTING

Spend-down plan

- ❖ Distributed in May 2019
- ❖ Summarizes spending as reported in RFFs to date
- ❖ Asks subrecipients to estimate expenditures for remaining budget period.
- ❖ Due May 15, 2019, or other specified date

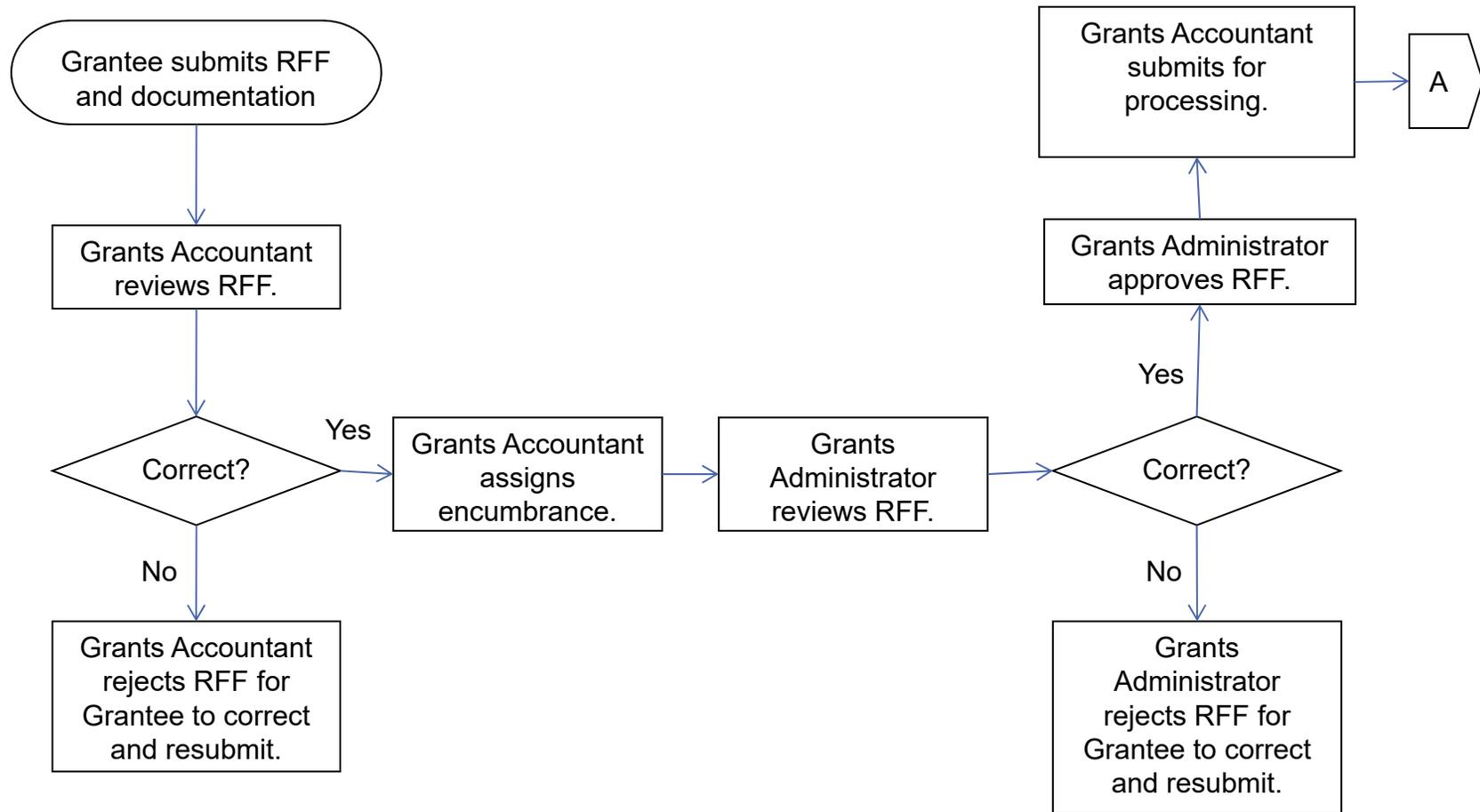




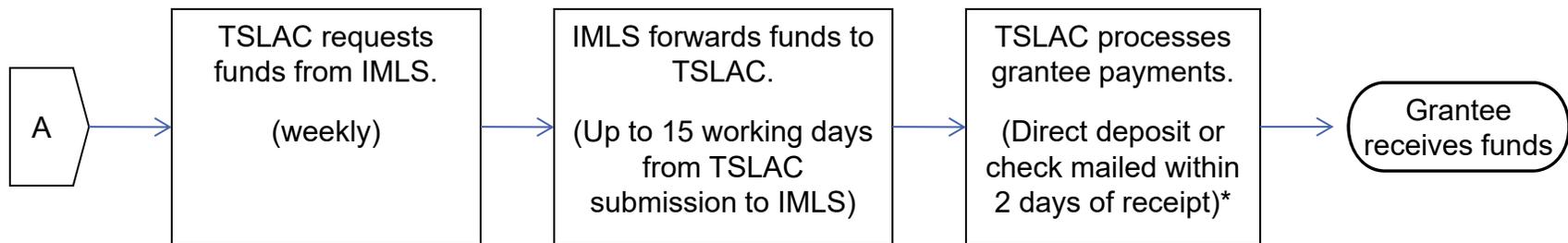
PAYMENT PROCESS

The flow
Requesting funds

THE FLOW



THE FLOW *(CONTINUED)*



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.

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 or more)
 - ❖ No less than once each quarter (\$0 and grants totaling \$10,000 or less)
- ❖ *Not processed until all documentation is submitted and all reports current.*

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
- ❖ Limited to what you will spend in the 30 days following receipt of funds
- ❖ Defaults to “reimbursement” if excessive balances are kept
- ❖ Must be submitted by 1st of month to cover expenses to be paid in following month
 - ❖ Ex. Due by October 1 to cover November 1-30

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

RFF IMPORTANT DATES

- ❑ **May 15, 2019*** – last date to submit spending plan
- ❑ **June 1, 2019** – last date to request an advance
- ❑ **June 15, 2019** – last date to request a revision
- ❑ **July 31, 2019** – last date to obligate or encumber funds
- ❑ **August 1, 2019** – last date to request a reimbursement (final RFF)
- ❑ **September 15, 2019** – last date to liquidate or pay all obligations and encumbrances (advances)

RFF — SUBMISSION

Gather all supporting documentation

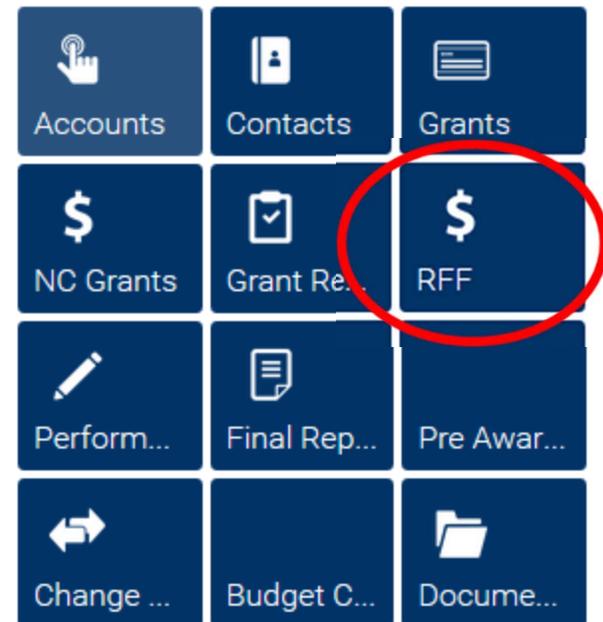
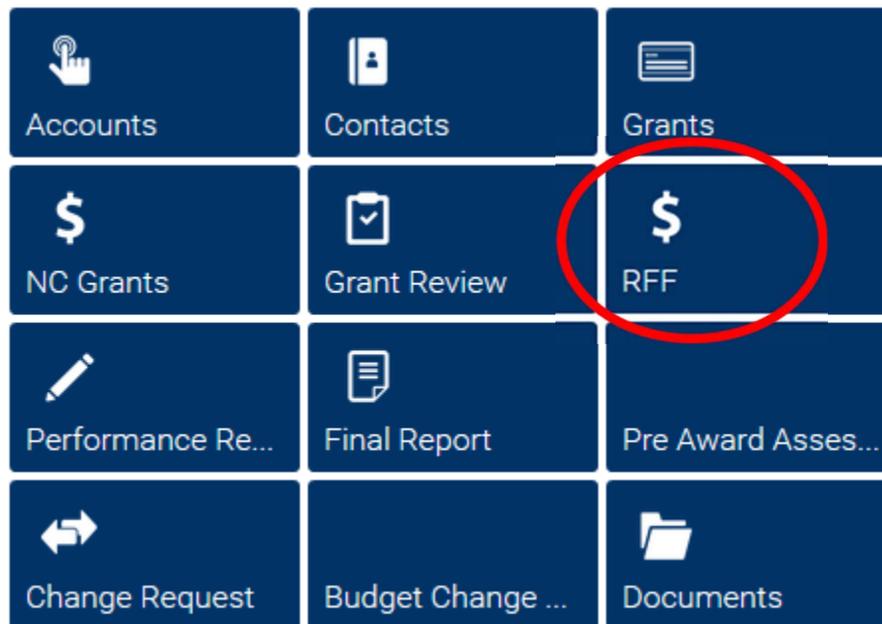
- paid invoices
- receipts
- time sheets
- payroll registers
- general ledgers

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



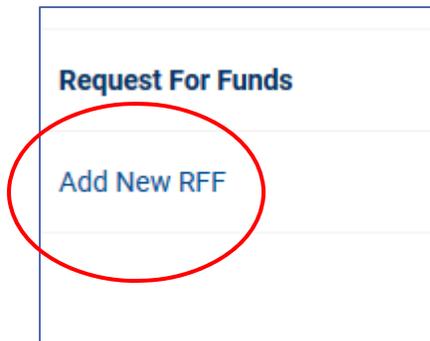
RFF IN GMS

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



RFF IN GMS

Request For Funds		Request For Funds						Keyword	Search
Add New RFF		VIEWS	Request For Funds					Export	
<input checked="" type="checkbox"/>	RFF Number	Grant	Grant Number	Total Request Amount	Status Reason	Date Paid	Created On		
<input type="checkbox"/>	100615	478-18TST - Ain't no stopping us now	478-18TST	\$0.00	New		8/28/2018 12:41 PM		
<input type="checkbox"/>	100509	ERG-1800T - Rebuilding Texas Libraries - Harvey	ERG-1800T	\$1,234.56	Paid Complete	7/18/2018	5/11/2018 1:29 PM		



RFF IN GMS

Request For Funds	<input type="button" value="Save"/>
Add New RFF	
	<h3>Request For Funds</h3> <p>RFF Number <input type="text"/></p> <p>Grant <input type="text" value="REDACTED"/></p> <p>Grant Number <input type="text"/></p> <p>Grant Program <input type="text"/></p> <p>RFF Contact <input type="text" value="REDACTED"/></p> <p>Next Possible RFF Submit Date <input type="text"/></p> <p>Legal Entity <input type="text"/></p> <p><input type="button" value="Save"/></p>

RFF IN GMS

Request For Funds							Keyword	Search
VIEWS							Request For Funds ▾	
✓	RFF Number	Grant	Grant Number	Total Request Amount	Status Reason	Date Paid	Created On ↓	
<input type="checkbox"/>	100002	Sammie needs a friend also	478-17000	\$5,000.00	Submitted		7/19/2016 12:09 PM	

RFF IN GMS

RFF sections

- Request for Funds* header
- Request for Funds Details*
- Summary of RFF by Budget Category
- Payment Info

RFF IN GMS



Record created successfully.

Request For Funds

RFF Number

100028

Grant

475-T1701 - Sammie says no

Grant Number

475-T1701

Grant Program

Impact 3

RFF Contact

Next Possible RFF Submit Date

3/17/2017 10:57 AM

Legal Entity

City of Irving

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

RFF IN GMS

Request For Funds Details

Request For Funds Details

Choose Action...

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 0.00	Salaries/Wages/Benefits Req 0.00	Available Salaries/Wages/Benefits 0.00
Consulting Fees 0.00	Consultant Fees Req 0.00	Available Consulting Fees 0.00
Total Cost 21020.00	Total Request Amount 0.00	Available Total Budget 21020.00

Payment Info

Date Paid	Payment ID
<input type="text"/>	<input type="text"/>

RFF IN GMS

Request For Funds Details

Request For Funds Details Choose Action... ▾ Submit Add

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								

Choose Action... ▾ Submit Add

Comment	Status Reason	Created On
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RFF DETAILS

Add

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

- Salaries/Wages/Benefits
- Consultant Fees
- Travel
- Supplies/Materials
- Equipment
- Services**
- Indirect Costs

Cancel Save

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

RFF DETAILS

Request For Funds Details

Request For Funds Details

Choose Action...

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

RFF DETAILS

Add

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

100003

 **ACTIONS** Choose Action...

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

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

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.)

RFF DETAILS — ATTACHMENTS

100003

Notes

Add a note:

spreadsheet with details

Attach File:

AM-OmekaVisitsApril2016_04_01-2016_04_30.csv

RFF DETAILS

The image shows a screenshot of a web application interface for 'RFF DETAILS'. The interface includes a 'Notes' section with an 'Add Note' button. At the bottom right, there are 'Cancel' and 'Save' buttons. A red circle highlights the 'Save' button.

Notes

Add Note

Cancel Save

RFF DETAILS

Request For Funds Details

Request For Funds Details

Choose Action...

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	XYZ to Me	9/6/2016	Services	\$94.00		New	9/6/2016

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
Total Cost 21020.00	Total Request Amount 217.46	Available Total Budget 20802.54

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

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:

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

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.

RFF NOTES

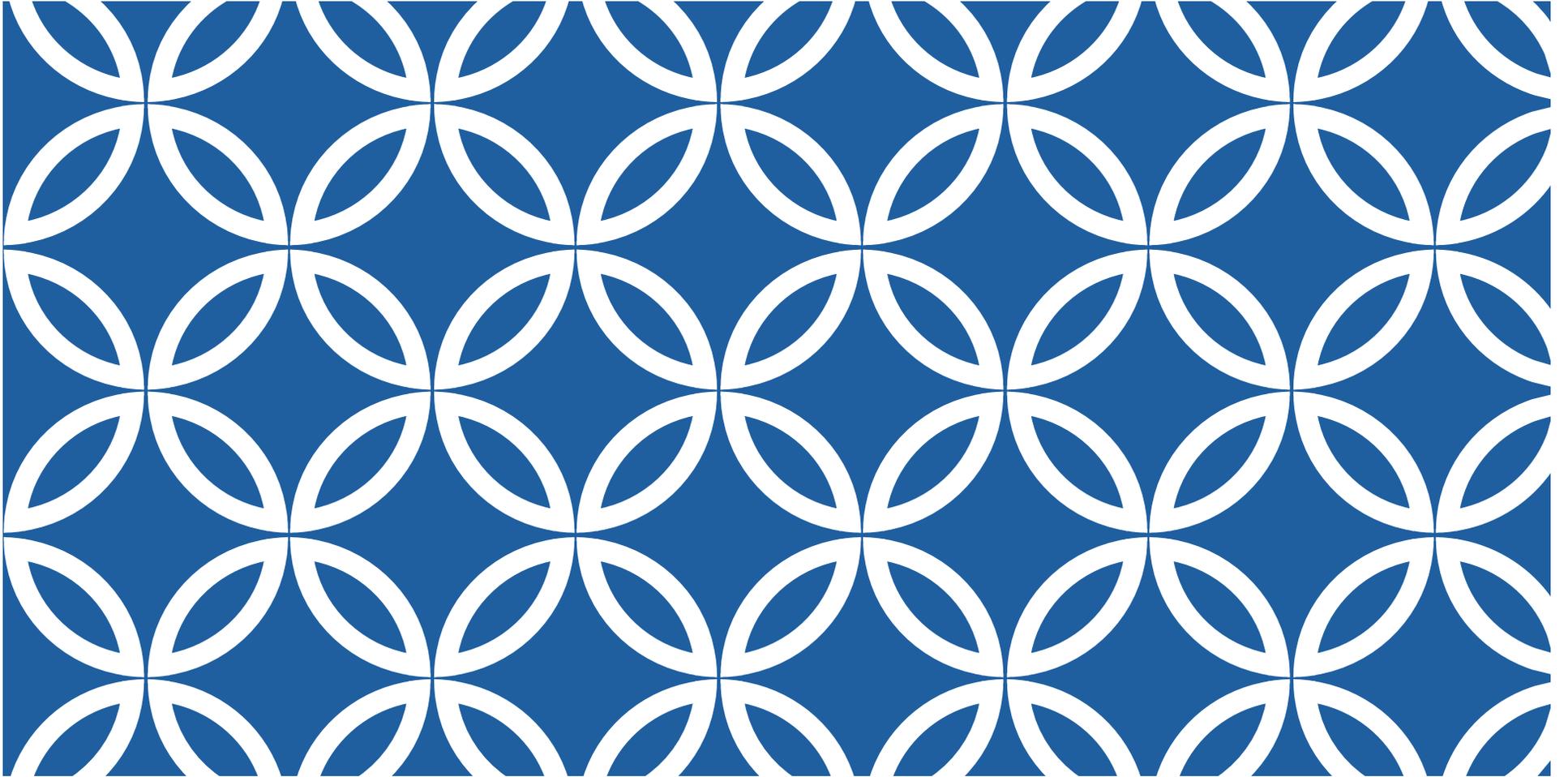
Documentation can be batched

- Submit as one file (<5MB)
- Scan in order of RFF Detail records
- Include in first RFF Detail record
- Indicate in description that all invoices are in the single file
- Batch by month or quarter as requested
- Can be batched by vendor and payment date for multiple invoices to a single vendor

RFF NOTES

- ❖ Descriptions for the **Supplies/Materials** and **Equipment** categories should include the type of item and quantity. See *Item Lists*.
- ❖ Descriptions for the **Services** category should include the type of service. See *Item Lists*.





CHANGE REQUESTS



CHANGE REQUESTS

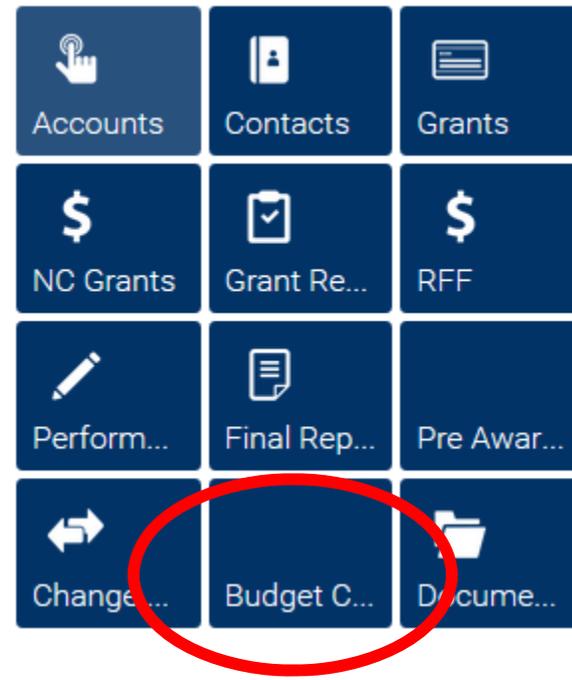
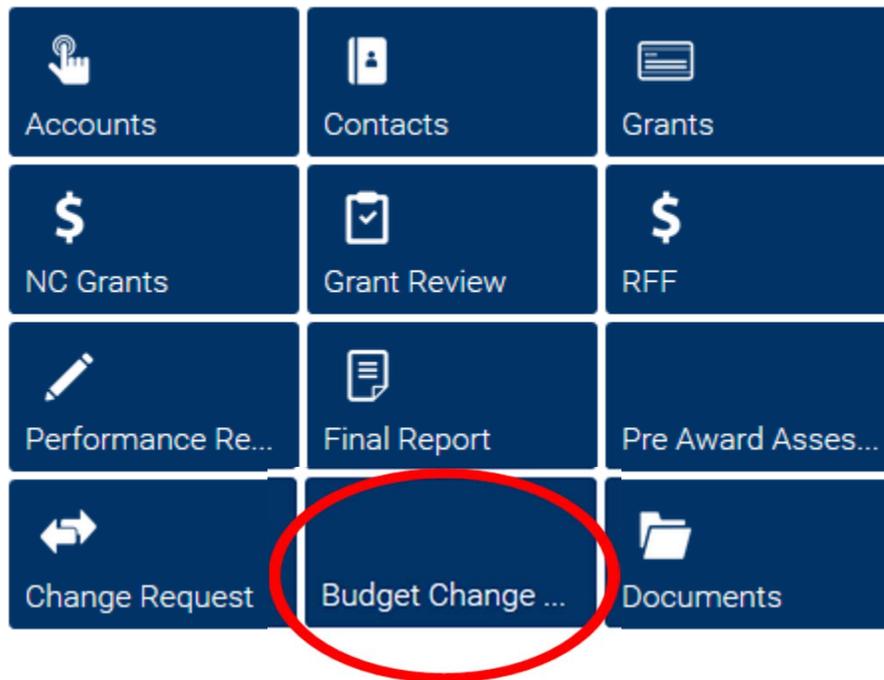
- ❖ Fiscal changes (Section V. A. of contract)
 - 10% threshold of funding award
 - Transferring to \$0 budget category
 - Item changes with significant price/feature differences
 - Change in purpose
- ❖ Program changes
 - Adding 3rd party services
 - Changing scope or objectives

CHANGE REQUESTS

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

CHANGE REQUESTS

From **Home Page** in *GMS 2019*, select “Budget Change Request.”



CHANGE REQUESTS

Grant Budget Change Requests

Add New Budget Change Request

Grant Budget Change Requests

VIEWS Grant Budget Change Requests

<input checked="" type="checkbox"/>	Request ID	Grant	Sub Recipient
<input type="checkbox"/>	10060	478-18TST - Ain't no stopping us now	Texas State Library & Archives Commission
<input type="checkbox"/>	10050	478-18TST - Ain't no stopping us now	Texas State Library & Archives Commission
<input type="checkbox"/>	10049	478-18TST - Ain't no stopping us now	Texas State Library & Archives Commission

CHANGE REQUESTS

General

Sub Recipient *

Texas State Library & Archives Commission

Grant *

478-18TST - Ain't no stopping us now

Grant Number

478-18TST

Grant Program

Special Projects Test

Change Request Contact *

Bethany Wilson

Request ID

10060

I want to decrease my awarded budget

Status Reason

New

Submit Change Request

Submit Date

CHANGE REQUESTS

Sections

❖ General

❖ Details

- Reason for the change request (high level summary)

❖ Budget Details

- Current Budget
- Proposed Budget
- Change Reason

CHANGE REQUESTS

Details

Change Reason

Budget Details

Current Budget

Proposed Budget

Change Reason

Salaries/Wages/Benefits

Proposed Salaries/Wages/Benefits

Salaries/Wages/Benefits Reason

REALLOCATION

Budget Details

Current Budget

Current Budget

Proposed Budget

Proposed Budget

Change Reason

Change Reason

Current Supplies/Materials

15000.00

Proposed Supplies/Materials

10000.00

Supplies/Materials Reason

Supplies didn't cost as much as quoted.

Current Equipment

20.00

Proposed Equipment

5020.00

Equipment Reason

Because of discounts, can now by equipment that will help us reach more people faster. Quoted price: 4999

Current Services

6000.00

Proposed Services

6000.00

Services Reason

REALLOCATION

Funds to be Allocated = \$0.00

Current Total Budget	Proposed Total Budget	To Be Allocated
\$ 15,000.00	\$ 14,500.00	\$ 500.00
Save		

Current Total Budget	Proposed Total Budget	To Be Allocated
\$ 15,000.00	\$ 15,000.00	\$ 0.00
Save		

CHANGE REQUESTS

Save

General

Sub Recipient *

Texas State Library & Archives Commission

Grant *

478-18TST - Ain't no stopping us now

Grant Number

478-18TST

Grant Program

Special Projects Test

Change Request Contact *

Bethany Wilson

Request ID

10060

I want to decrease my awarded budget

Status Reason

New

Submit Change Request

Submit Date

CHANGE REQUESTS



Record updated successfully.

General

Sub Recipient :

Texas State Library & Archives Commission

Grant :

478-18TST - Ain't no stopping us now

Grant Number:

478-18TST

Grant Program:

Special Projects Test

Change Request Contact :

Bethany Wilson

Request ID:

10060

I want to decrease my awarded budget

Status Reason:

Submitted

Submit Date:

8/28/2018 12:18 PM

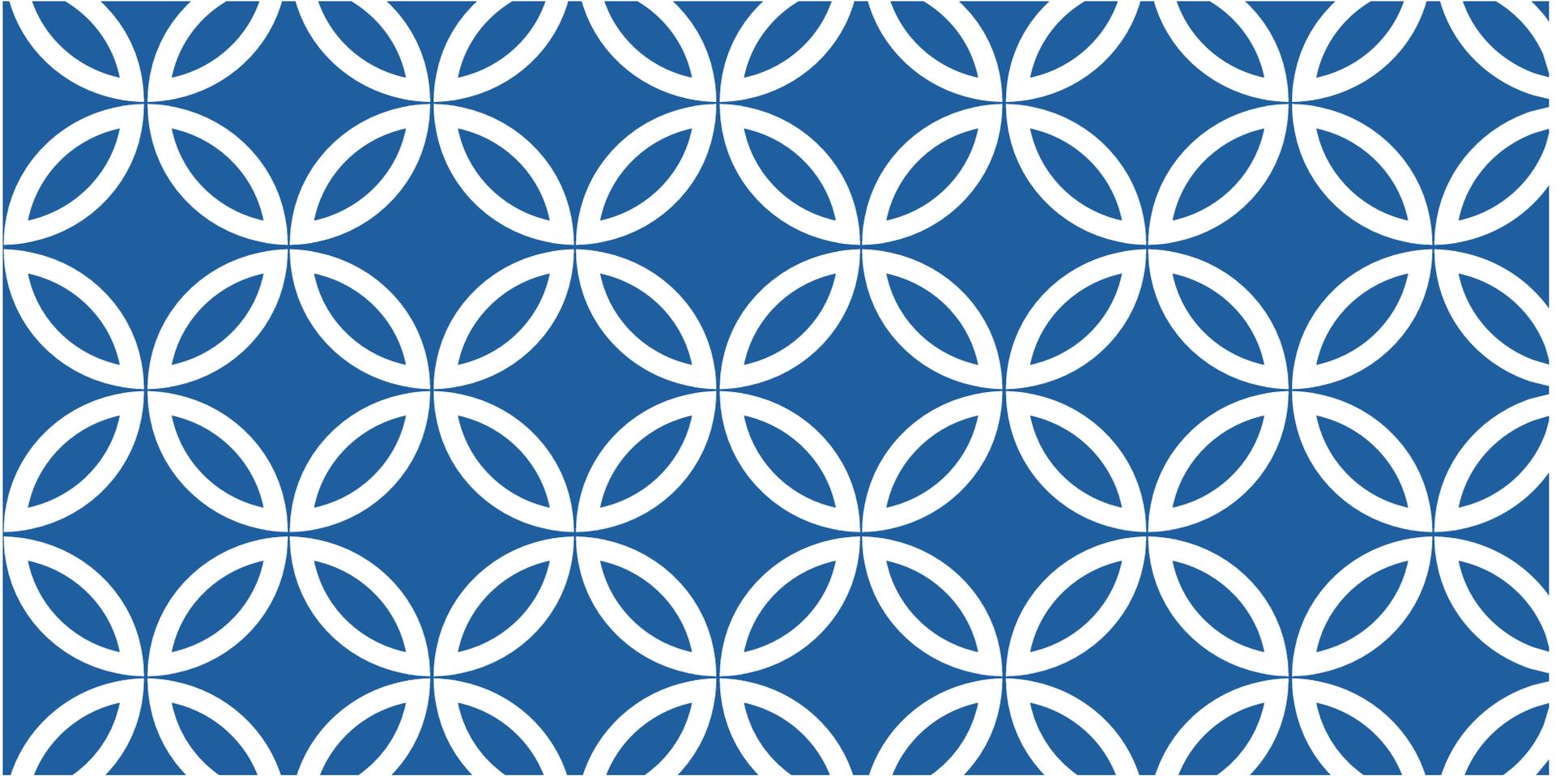
CHANGE REQUESTS

Grant Budget Change Requests

VIEWS

<input checked="" type="checkbox"/>	Request ID ↓	Grant	Sub Recipient	Change Request Contact	Submit Date	Status Reason	Created On
<input type="checkbox"/>	10060	478-18TST - Ain't no stopping us now	Texas State Library & Archives Commission	Bethany Wilson	8/28/2018	Submitted	1/26/2018 12:38 PM
<input type="checkbox"/>	10050	478-18TST - Ain't no stopping us now	Texas State Library & Archives Commission	Erica McCormick	1/5/2018	Approved	1/5/2018 9:18 AM





NEXT STEPS AND LAST THINGS |

NEXT STEPS

1. Review list of financial/business office contacts for grant.
 - ❖ Indicate financial contact/proxy in grant record.
 - ❖ Add new contacts using the Contact Import sheet (handout).
 - ❖ Obtain any financial authorization (proxy) letters and send to TSLAC.

NEXT STEPS

2. Review your budget.
 - ❖ Verify categories, amounts, subcontractors.
 - ❖ If needed, request permission to submit a budget change request.
 - ❖ Verify SAM registration for contracted services > \$25K.
3. Make note of your SAM expiration date and update your registration as needed.

NEXT STEPS

4. Spend funds.
 - ❖ 9/1/2018-7/31/2019
 - ❖ Await any prior approvals from TSLAC for equipment items > \$5,000/unit.
5. Submit RFFs on applicable timeline in GMS.

CONTACTS

Program issues, budget/program revisions, performance reports:

Erica McCormick

Grants Administrator

grants.@tsl.texas.gov or 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

