



TEXAS STATE LIBRARY
AND
ARCHIVES COMMISSION

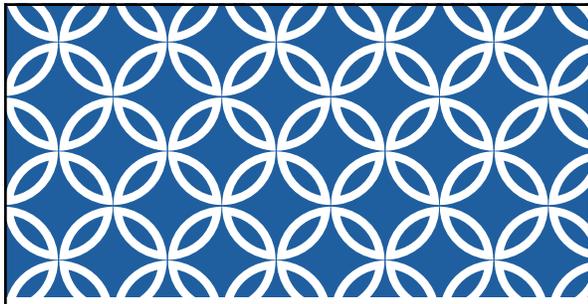
**2019 Intro to Grants Management
Financial Management and
Reporting**

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/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

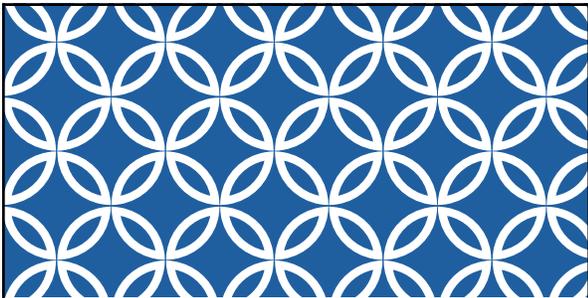
UNALLOWABLE COSTS (CONT'D)

- ❖ 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")

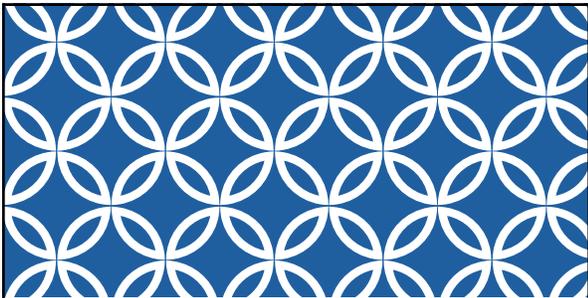
❖ Certification submitted (signed) by whoever is authorized to bind the entity OR authorized proxy

FINANCIAL STATUS REPORTING

Spend-down plan

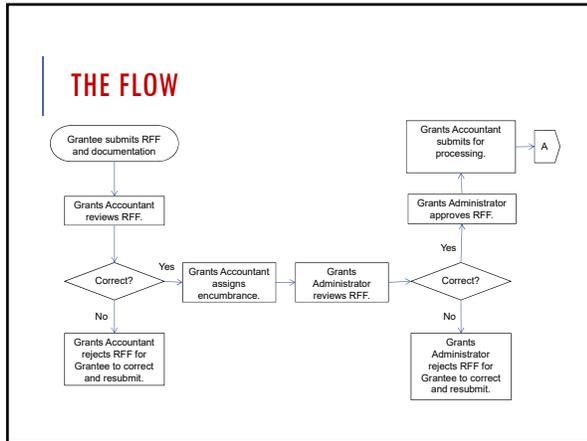
- ❖ Distributed in May 2019
- ❖ Summarizes spending as reported in RFFs to date
- ❖ Asks subrecipients to estimate expenditures for remaining budget period.
- ❖ Due May 15, 2019, or other specified date

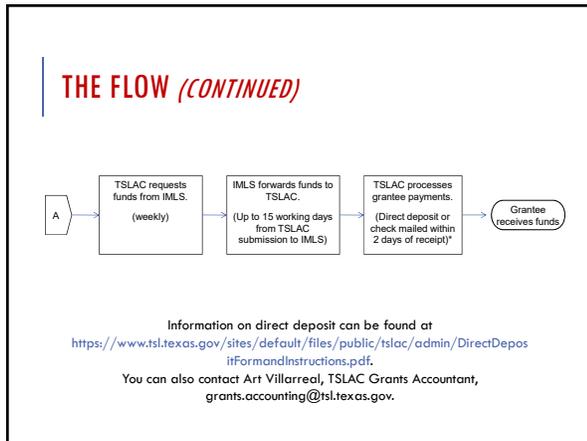




PAYMENT PROCESS

The flow
Requesting funds





- ### 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

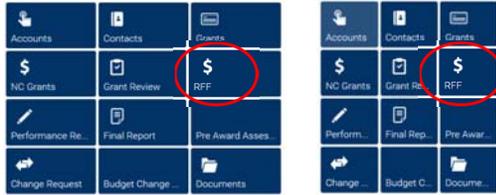
- paid invoices
- receipts
- time sheets
- payroll registers
- general ledgers

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

ADD NEW RFF

RFF Number	Grant	Grant Number	Total Request Amount	Status	Date Paid	Created On
<input checked="" type="checkbox"/>	476-18757- April no shipping on line	476-18757	\$0.00	New		8/28/2018 12:41 PM
<input type="checkbox"/>	ENG-18007- Rebuilding Texas Libraries Hervey	ENG-18007	\$1,234.34	Paid Complete	7/18/2018	5/11/2018 1:28 PM



RFF IN GMS

Request For Funds

ADD NEW RFF

Request For Funds

RFF Number:

Grant:

Grant Number:

Grant Program:

RFF Amount:

RFF Purpose RFF Subject Code:

Legal Entity:

Save

RFF IN GMS

Request For Funds Refresh Search

VIEW Request For Funds

<input checked="" type="checkbox"/>	RFF Number	Grant	Grant Number	Total Request Amount	Status Reason	Date Paid	Created On
<input type="checkbox"/>	330002	Summer needs a hand also	479-17000	\$5,000.00	Submitted		7/19/2018 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 <input type="text" value="330002"/>	Is this RFF <input type="radio"/> Yes <input checked="" type="radio"/> No
Grant 479-17000 - Summer help 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. (28 U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)
Grant Number <input type="text" value="479-17000"/>	
Grant Program <input type="text" value="Support 3"/>	<input type="checkbox"/> Final Request For Funds
RFF Contact <input type="text" value=""/>	Date Submitted <input type="text" value=""/>
Next Possible RFF Start/End Date <input type="text" value="08/01/2018 08:00 AM to"/>	
Legal Entity <input type="text" value="City of Irvine"/>	

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								

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	Consulting 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

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								

(Note: Red circles highlight the 'Submit' and 'Add' buttons in the top right of the table header and the 'Submit' and 'Add' buttons in a separate modal window below.)

RFF DETAILS

Add

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

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

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
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
Services

100003

✓ Add Note

General

RFF Detail ID
100003

Invoice Number
ABC123

Vendor Name
Books R Us

Budget Category
Supplies/Materials

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:
Browse AM-OrmeauVisitsApril2016_04_01-2016_04_30.csv

Add Note Cancel

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:
[Redacted]

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 Entry:

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 Entry:

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

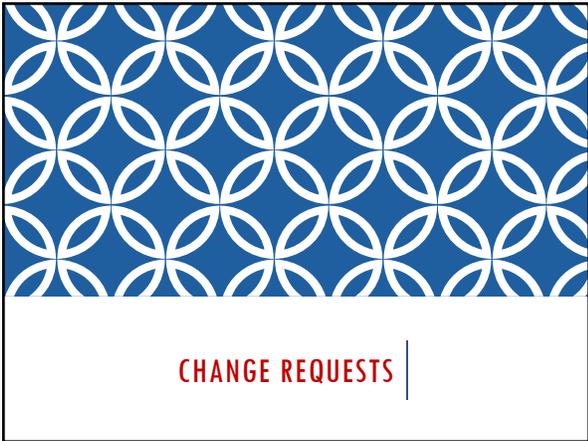
Documentation can be batched

- 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

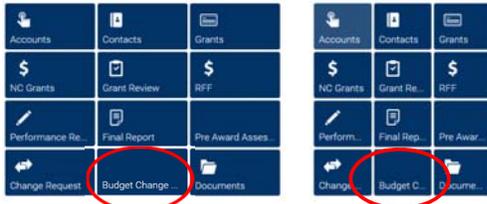
- ❖ Fiscal changes (Section V. A. of contract)
 - 10% threshold of funding award
 - Transferring to \$0 budget category
 - Item changes with significant price/feature differences
 - Change in purpose
- ❖ Program changes
 - Adding 3rd party services
 - Changing scope or objectives

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

VIEW: Grant Budget Change Requests

Request ID	Grant	Sub Recipient
<input checked="" type="checkbox"/> 10060	479-18TST - Ain't no stopping us now	Texas State Library & Archives Commission
<input type="checkbox"/> 10050	479-18TST - Ain't no stopping us now	Texas State Library & Archives Commission
<input type="checkbox"/> 10049	479-18TST - Ain't no stopping us now	Texas State Library & Archives Commission

CHANGE REQUESTS

General

Sub Request*
Texas State Library & Archives Commission

Grant*
479-18TST - Airt! no stopping us now

Grant Number
479-18TST

Grant Program
Special Projects Test

Change Request Contact*
Barthany Wilcox

Request ID
10060

I want to decrease my awarded budget

Status Reason
None

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

Current Budget
Proposed Budget
Change Reason

Salaries/Wages/Benefits
Proposed Salaries/Wages/Benefits
Salaries/Wages/Benefits Reason

REALLOCATION

Budget Details

Current Budget	Proposed Budget	Change Reason
Current Budget	Proposed Budget	Change Reason
Current Supplies/Materials 13000.00	Proposed Supplies/Materials 10000.00	Supplies/Materials Reason Supplies don't cost as much as quoted.
Current Equipment 20.00	Proposed Equipment 3000.00	Equipment Reason Decrease of materials, but cost by equipment that will help us reach more people faster. Quoted price: \$999.
Current Services 4000.00	Proposed Services 4000.00	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

Submit

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

Submit

CHANGE REQUESTS

Submit

General

Sub Recipient* Texas State Library & Archives Commission	Request ID 30060
Grant* 478-18TST - Ain't no stopping us now	<input type="checkbox"/> I want to decrease my awarded budget
Grant Number 478-18TST	Status Reason None
Grant Program Special Projects Test	<input type="checkbox"/> Submit Change Request
Change Request Contact* Bethany Wilson	Submit Date

CHANGE REQUESTS

Record updated successfully.

General

Sub Recipient: Texas State Library & Archives Commission	Request ID: 10040
Grant: 478-18TST - ARII no shipping us now	<input type="checkbox"/> I want to decrease my awarded budget
Grant Number: 478-18TST	Status Reason: Submitted
Grant Program: Special Projects Test	Submit Date: 8/28/2018 12:18 PM
Change Request Contact: Bethany Wilson	

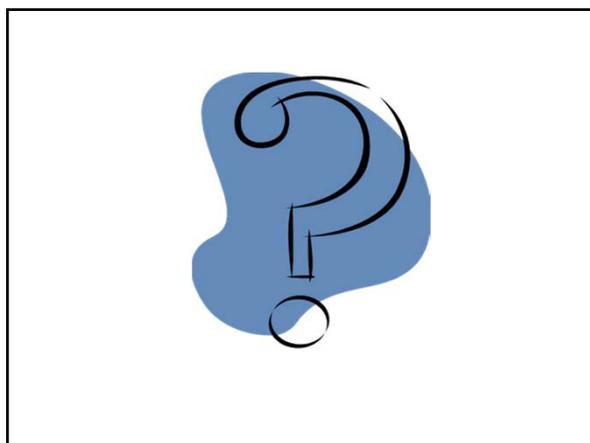
CHANGE REQUESTS

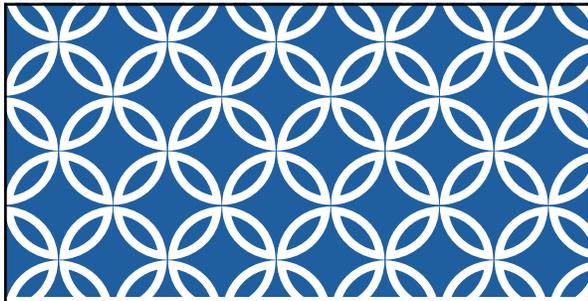
Grant Budget Change Requests

Request Search

Views Grant Budget Change Requests Export

Request ID	Grant	Sub Recipient	Change Request Contact	Submit Date	Status Reason	Created On
<input checked="" type="checkbox"/> 10040	478-18TST - ARII no shipping us now	Texas State Library & Archives Commission	Bethany Wilson	8/28/2018	Submitted	8/28/2018 12:18 PM
<input type="checkbox"/> 10050	478-18TST - ARII no shipping 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

