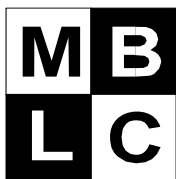


MANAGING YOUR STATE GRANT

Massachusetts Public Library Construction Program

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CHAPTER 1: PURPOSE OF MANUAL

This Manual was created to provide you with some basic information and guidance for managing your Massachusetts Public Library Construction Project (MPLCP) grant. You should become familiar with this manual and refer to it at any time that questions arise.

This *Manual* is planned to provide an easily accessible guide to what happens once you have been awarded a MPLCP grant.

Timeline – Key deadlines to remember

- ☞ Award: Once you are awarded a grant from the MBLC you will attend a workshop outlining important elements of the program and specific grants management information. You will also have a chance to meet colleagues also implementing grants across the state.
- ☞ You must secure local funding 6 months from the date of your award.
- ☞ Once local funding is secured, notify agency staff and you will be sent a contract with attachments, payment request forms and monthly report forms.
- ☞ You should complete and return the contract and supporting documents you receive as soon as possible. In addition, you should include a payment request form for the first installment of your award.
- ☞ Once the contract is received it is checked for completion and entered into the state system. Large contracts must be sent downtown for approval. This may take up to a couple of weeks to be processed.
- ☞ Once the contract is entered into the system and copies returned to the MBLC you will be sent an original copy including the number of your state contract written in the top left hand corner. Retain this original in your files.
- ☞ After the contract becomes effective, you may begin work on your project.
- ☞ The Business Office will enter your payment request into the state system.
- ☞ Upon entry by MBLC Business Office into the state system, a warrant date is given to the contract that we record in your files.
- ☞ It takes an average of 4 to 6 weeks from the warrant date for the disbursement to come to you in the form of an electronic transaction or a check.
- ☞ Monthly reports are due to the MBLC. These should be narrative and financial in content. The first report should update the project consultant on the progress of the work even if no work is being completed during that month. Submit reports by the end of the month outlining activities of the previous month (mailed June 28 but about month of May).
- ☞ Audit. A copy of an audit is required for organizations or municipalities receiving state MPLCP money in a fiscal year.

CHAPTER 2: GENERAL RESPONSIBILITIES

The Grantee - State Library Administrative Agency (MBLC)

The Board of Library Commissioners is the agency responsible for administering state funds that have been earmarked for library-related projects, such as this the Massachusetts Public Library Construction Program. Once the award is voted by the Board of Library Commissioners, then agency staff takes over the responsibilities of seeing that funds are spent according to statute and regulation. When an award is made, your project is assigned a Library Building Consultant in the Library Development Unit who is responsible for ensuring that your project is progressing, reports are received, and the funds are expended according to the contractual agreement that you have entered with the state.

Project Consultant

It is the responsibility of the MBLC Library Building Consultant to assist you in doing a successful project. That often means continuing to work closely with you throughout the year and even beyond. Sometimes that means telling you things you may not want to hear, such as it will take longer than you had planned to receive your first disbursement of funds. It is also his/her responsibility to monitor all aspects of your project --programmatic and financial-- and report the results to the agency and to the MBLC. The Project Consultant's responsibilities include:

- ensuring that any contingencies on the award as approved by the Commissioners are met
- negotiating with the Project Director any revisions to the proposal, design, and/or budget as approved and approving all project revisions in accordance with contract
- processing disbursement requests in a timely manner
- maintaining contact with the Project Director through telephone calls or site visits
- advising the Project Director on programmatic and financial issues that often arise during the project
- reviewing all progress reports and documentation on project expenditures and returning reports if necessary for revision
- reporting to the MBLC on project plans and results.

The Subgrantee

The municipality of the library, as the proud recipient of this award, is known in the land of bureaucracy as the **subgrantee**. As such, it contracts with the MBLC to expend the funds in accordance with the plan set out in the grant proposal and for accomplishing the project as approved by the Board, outlined in the contract, and governed by the Regulations CMR 605.

Project Director

This is the person appointed by the Board of Library Trustees, Building Committee, Library Director, or so-titled project management group to manage the project and do all reporting from start to finish. In some projects, the Library Director is also the Project Director. His/her responsibilities include:

- negotiating with the Library Building Consultant any revisions to proposal and/or budget as approved
- requesting the Library Building Consultant disburse funds at appropriate intervals to ensure the project proceeds in a timely manner
- carrying out the action plan as proposed in the original proposal with negotiated changes, if any. Keeping a journal of activities in the monthly reports as they are completed often makes this a lot easier.

- completing monthly Reports on time and accurately. Marking due dates on calendar at the start of the project helps a great deal
- giving recognition to MBLC in all publications.
- sending in copies of survey results, newspaper clippings, flyers, program announcements, schedules, brochures, press releases or other publicity. Don't just refer to them in reports, send actual samples clipped to your Reports.
- spending all of the money - ALL - not all minus \$1.26. If you cannot spend to the exact penny, then overspend and take the deficit out of local funds. There should be no surprises at the end of the project. Getting all money spent on time may mean canceling orders or not allowing any back orders.
- tracking personally all disbursement requests, obligations and expenditures even if your business office is ultimately responsible for the accounting.
- completing all necessary reports and evaluating whether or not the project met its goals and objectives.

Library Director

The Director of the library is responsible for:

- if not serving as Project Director, who will be primarily responsible for the project, then working closely with that individual
- notifying the MBLC Library Building Consultant immediately if the Project Director leaves or will be absent from the project for longer than three months
- ensuring that contractual agreements between the grantee and subgrantee are met and no obligation of funds is made before all Agreements have been signed and approved
- seeing that all reports are submitted on time
- arranging for an audit to be submitted to the MBLC covering the entire period of the project.

Other State Agencies

In order for the MBLC to administer this program and disburse funds, it must rely on several other state agencies. You will be asked to sign a *Commonwealth of Massachusetts Standard Contract*; it must then be approved by the Office of the Comptroller prior to the start of any project activities that will require funds. This often takes 7-14 days, or longer, from the time the MBLC receives the contract from you. Disbursements, likewise, must be approved by the same agency -- only after the Standard Contract has been approved and only after money has been moved into the appropriate account. This official start date will be noted on your copy of the documents returned to you for your files.

CHAPTER 3: CONTRACTS & SIGNATURES

The CONTRACT

You will want to look carefully at the Standard Contract details and the documentation that is attached to it. You should have the contracts signed and returned to the agency as soon as feasible after you receive them. Delays in getting these back from you will mean delays in our being able to disburse money to you on the start date of your project.

LOCAL FUNDS: Your contract will not be sent to you until your local funds are secured and you have notified your Library Building Consultant.

STANDARD CONTRACT: This is the state's service contract. It is "boilerplate" that is primarily used whenever the state contracts with anyone to provide a service and needs to transfer money to do it. It's a "one-size-fits-all" form and it doesn't fit a federal subgrantee very well. Its purpose is to ensure that the recipient of state money will not violate state laws and regulations and that the work specified will be performed. Your original proposal, your application or program description serves as the guide for the work to be performed. No funds may be disbursed to you until this contract is returned to the MBLC and approved by the Office of the Comptroller.

Contract & Attachments

1. Commonwealth of Massachusetts Standard Contract Form

Each grant recipient receives three "Commonwealth of Massachusetts Standard Contract Forms." All three contracts are to be signed and dated by the contractor's (grant recipient's) authorized signatory, the individual responsible ultimately for the project in your municipality. Be sure to include an original signature date. This person could be the Mayor, Chair of the Board of Selectmen, Chair of Board of Trustees, Chairman of Building Committee, or Library Director- who has been designated to have the authority in your municipality to accept state funds and hold the contract with the state on behalf of the municipality. Municipalities handle this issue differently. All three executed contracts are to be forwarded to the Board of Library Commissioners for processing. An original contract will eventually be returned to you for your records.

2. Agreement

Each grant recipient receives two "Agreement" forms. The Agreement consists of assurances made by the grant recipient. The Agreement must be signed by both the town's authorized signatory and by the Chair of the Board of Library Trustees. The two executed Agreements are to be forwarded to the Board of Library Commissioners for processing. An original Agreement will eventually be returned to you for your records.

3. Contractor Authorized Signature Verification Form

This form establishes the authorized signatory for the grant recipient. By signing this document, the individual is confirming his authority to sign contracts on behalf of his organization. The same individual who signed the **Commonwealth of Massachusetts Standard Contract Form** will sign the Contractor Authorized Signature Verification Form, thereby confirming his authority to execute legally binding documents. Remit the executed form to the Board of Library Commissioners.

The Contractor Authorized Signature Verification Form outlines directions for the authorized signatory to

follow in verifying his signature authorization. The directions are divided into three categories: Individuals, Corporations, and Partnership or Other Entities. With few exceptions, the authorized signatory will be following the directions outlined under the categories Corporations or Partnership or Other Entities, not the category Individuals. The process of verifying signature authorization by only submitting a photocopy of a driver's license, passport, etc. or only by notary public certification is restricted to a signatory signing as an Individual. The Corporations and Partnership or Other Entities designations have additional requirements to verify signature authorization. Follow the applicable instructions for your organization.

4. Northern Ireland Notice and Certification

This form discloses the nature and extent of the grant recipient's business activities in Northern Ireland. This form is signed and dated by the individual who executed the Commonwealth of Massachusetts Standard Contract Form. Remit the executed form to the Board of Library Commissioners.

5. Executive Order 481 – Contractor Certification

This form discloses the policy of the Executive Branch to prohibit the use of undocumented workers in connection with the performance of the state contracts, all contracted entered into after February 23, 2007. This form is signed and dated by the individual who executed the Commonwealth of Massachusetts Standard Contract Form. Remit the executed form to the Board of Library Commissioners.

SIGNATURES

Any individual who signs the following forms must be authorized to execute documents and legally bind his organization. This signatory authority must be affirmed by submitting a Contractor Authorized Signature Verification Form. Signatory authority to bind the respective organization is required to execute the following documents (this list is not exhaustive):

1. Commonwealth of Massachusetts Standard Contract Form
2. Agreements
3. Contractor Authorized Signature Verification Form
4. Northern Ireland Notice and Certification
5. Affirmative Action Plan Form
6. Executive Order 481
7. Disbursement Form
8. Commonwealth Terms and Conditions
9. Commonwealth of Massachusetts W-9 Form

Requirements for Signing Documents

The authorized signatory that executes any forms must sign both his name and the applicable date on the respective forms. Signatures and Dates may not be typed or stamped on any forms. If multiple copies of the same form are requested, each form requires an original signature and date. Photocopies of an original are not acceptable.

CHAPTER 4: PAYMENT REQUEST FORMS

In order to receive any funds from your grant award you must first ask for them. After completing your contract, you can send us a **signed Payment Request Form in TRIPLICATE**. The only time you should send it is when you are requesting funds. Ideally, that will be twice for Planning and Design projects and for Construction projects four times during your project.

PLEASE NOTE FOR ALL REQUESTS

- It is important that the “Personal authorized to requisition state funds” for the municipality signs these request forms. This person was identified in your contractual documents. Also, the Chair of the Trustees must sign the document. Both signatures are essential.
- Requests are the pink forms and must be submitted in triplicate. We keep them pink so we can easily spot them in our mail and process them quickly.
- Request No Cents- round down to the nearest whole dollar if 49 cents or less and up if 50 or more.

Planning and Design

Request for Payments come in two installments – 90% beginning and 10% at completion.

1. First payment – You may submit the first request when you can supply the following 1) evidence that local funding is in place and 2) a contract with the state has been completed with necessary attachments.
2. Final payment – You may submit the final payment of 10% if you can submit 1) any missing monthly reports; 2) final report including a summary of expenditures by category; 3) copy of building program; and 4) proof of designer selection process completion.

When the following documents are complete, they too must be submitted

- 1) Schematic Drawings and 2) City/Town Audit for period covering the project

Construction

Request for Payments come in four installments depending upon the size of the award.

- Projects less than \$1,000,000 will receive 4 payments of 50%, 20%, 20% and 10%.
- Projects more than \$1,000,000 will receive 4 payments of 30%, 30%, 30%, and 10%.

First payment – You may submit the first request when you send in your signed contract. This payment request will be processed after your contract has been signed by the Director of our agency and approved by the Commonwealth. You will receive one copy of a fully executed contract when this process is completed. Request No Cents- round down to the nearest whole dollar if 49 cents or less and up if 50 or more.

Second payment – You may submit the second request when you can supply the following 1) bid documents, including drawings, and specifications; 2) a signed contract with a general contractor; and 3) your building permit. Request No Cents- round down to the nearest whole dollar if 49 cents or less and up if 50 or more.

Third payment - When your project is 75% complete you should request the percentage specified above of your total grant award. This completion percentage rate will be submitted to you from your architect on their monthly AIA reports. – Request No Cents- round down to the nearest whole dollar if 49 cents or less and up if 50 or more.

Final payment – You should request your final 10% payment of grant funds when you can submit to us a final monthly report showing all funds expended, a final narrative description of the project, certification that the construction contracts are complete and that all liens have been released, and an Occupancy Permit.

Waiting for the Money

After you've made a disbursement request, then what? We will not notify you when we have processed your request. A number of steps have to take place in order to get the money from state accounts, shepherd it through the state coffers, and then get it to you -- we won't bore you with the sordid details, but many things can take time. First, make a copy of the request form you are mailing us and put it in your file. Four weeks after you send it to us, you should first check with your town accountant or treasurer to see if the money has arrived. In some towns, if you notify the accountant ahead of time, they will notify you when it arrives. If it doesn't arrive by the fourth week, check with your Library Building Consultant. It will take at least a month from the time it is processed at the MBLC offices (1 or 2 days after receipt) to the time it reaches local coffers.

Another avenue is to check with the VENDOR WEB through the state. You can access this at <http://www.massfinance.state.ma.us>. Follow the steps outlined on the web-site to see the status of your funds.

CHAPTER 5: MONTHLY PROGRESS REPORTS

You may not have realized it at the time, but, yes, now it is your responsibility to monitor the progress of your project.

Monthly reports should start upon submission of your contract and continue throughout the project until the final 10% is requested. The monthly report is divided into a narrative and a financial section. For the period between acceptance of the grant and the official start date or signing of a contract with a builder. **ONLY THE NARRATIVE PORTION NEED BE COMPLETED.** The narrative section does not have to be a fine literary creation. What we want are the essential activities that have occurred in the previous month. Once construction work begins, both narrative and financial information should be completed.

There is no “due date” for monthly reports because you will need the AIA report from the architect in order to complete it. If you do not receive one, you cannot report the financial information to us. This is where you will also obtain the percentage completion information. You will need to use the AIA report to complete ours showing the cash flow for the project plus the narrative as to what activities took place during the month. In some cases, the clerk of the works will write the report. The purpose of these reports is to keep MBLC up-to-date on your progress and to alert us to anything that may delay completion of your project. It is important to keep track of your progress and problems and estimate when you will be requesting payments should the anticipated schedule go awry. Not receiving information from you in a timely manner can mean delays when you or others need action from us. A lack of feedback from you can impact other projects. As most of you know, it takes some time to actually get the payment to your town, so plan for that. You are required to send in a report each month even if it is to report “no progress”.

Each Progress Report must be signed and dated by the agency director. ALWAYS KEEP A COPY FOR YOUR FILES. Reports sometimes do get lost in the mail.

We know it is bad form to start out negatively, but if you read nothing else in this chapter please note:

THE MOST COMMON MISTAKES SEEN IN PROGRESS REPORTS AND THOSE THAT GIVE YOUR PROJECT CONSULTANT GRAY HAIRS:

- Sending in a copy rather than an original signature (or no signature at all!!!). Keep the copy in this folder and send us the original.
- Sending in multiple copies of the entire report (PLEASE, PLEASE, ONLY ONE)
- Repeating the activities of a previous time period. If no activities took place during the time period of the report, say so. Be sure to mark the month and year of the REPORT.
- Errors in math (USE A CALCULATOR NO MATTER HOW MANY A'S YOU GOT IN GRADE SCHOOL MATH)

CHAPTER 6: AUDITS

When you town/city completes their municipal audit you must send a copy of that audit of the fiscal years covered by your MPLCP grant to the MBLC offices. We must be sure that money was being tracked and used appropriately by the municipality. You do not need to complete your own audit; your regular municipal audit will suffice.

Your town's regular annual or bi-annual audit should meet the requirements. These requirements, we hope, will be comprehensible to those in your town who do this sort of thing. Since librarians don't, it is your responsibility only to see that it gets done, that audits for the ENTIRE period of disbursements and expenditures are covered (that usually means local audits for two or three fiscal years ending in June) and that they are sent to us.

Your audit is not due to us until **thirty days after the audit is completed** by your city/town. The one for the previous year should be sent at the same time. Please send two copies of each.

CHAPTER 7: SIGN WORDING

As part of your agreement when you receive your MPLCP Grant, you must note the source of your funding on a sign at the site. Although we do not require a particular sign size and we realize that multiple sources fund these projects, please be appropriate in alerting your community about their state tax dollars being put to good use.

Some recommended sign wording are provided below:

Funded in part by the Massachusetts Public Library Construction Program, administered by the Massachusetts Board of Library Commissioners.

Or

Funded by the generosity of the Citizens of _____ (city/town) and partially through the Massachusetts Public Library Construction Program, administered by the Massachusetts Board of Library Commissioners.

Or

Partially funded through the Massachusetts Board of Library Commissioners by a grant from the Massachusetts Public Library Construction Program.