



COMMUNITY AND RURAL DEVELOPMENT

Grant Compliance Packet

Updated May 2024

TNECD Grantee Compliance Packet

This packet contains an overview of forms and processes necessary for compliance and successful completion of a Rural Development grant from the Tennessee Department of Economic & Community Development (TNECD).

The following page lists all forms that must be completed to remain in compliance with the grant contract terms.

The subsequent pages give an overview of how each form should be completed.

Each form includes additional, specific instructions unique to its purpose. **To access each form, click the title at the top of the respective slide.**

Required Fiscal Forms

Forms required before grant activities begin:

- Sample Grant Budget & Examples
- Grant Payment Setup Form
- Supplier Direct Deposit Authorization
- W-9

Forms required during grant activities:

- Invoice Template
- Submission of Audit and CAP and Title VI Pre-Audit Survey, Training & Quiz
- Budget Revision
- Scope Change
- Contract Amendment
- Cumulative Adjustment



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Pre-Grant Forms & Completion

Sample Grant Budget

- This is a sample copy of the budget template used in the final grant contract for most TNECD programs
- The definitions/examples column provides commonly used expenses for each line item to assist with the development of a contract budget for your project
- Review project scope and expected expenses to determine appropriate budget categories
- Final budgets should be sent to the appropriate Rural Development Program Director
- Reimbursement requests are compared to the contracted budget

Grant Payment Setup Form(GPSF)

- This form informs us how to set up your grant contract. Complete your legal entity information exactly as you want it to appear on your contract and send in a W-9 form.
- Ensure form is dated and signed with a hand-written signature or Adobe digital signature with a certificate.
- Completed form should be uploaded to the application or emailed to Program Director requesting the form

NOTE: This form and the W-9 and Supplier Direct Deposit Authorization forms are the biggest delays in processing contracts. Please make sure all legal names, addresses, and account numbers match or the contract and/or payments will be delayed.

W-9

- In order to get a grant contract, grantees must be setup and have all their updated information in our Edison system. This form is used, along with the GPSF, to update Edison.
- Information must match what was provided on the GPSF (Legal Entity/Business name(s), Address, and FEIN)
- No alterations are accepted on this form such as strikethrough, white-out, writing over text, etc...
- Ensure form is dated and signed with a hand-written signature or Adobe digital signature with a certificate.
- Additional instructions on how to fill out the form can be [found here](#)
- Completed form should be uploaded to the application or emailed to Program Director requesting the form

Supplier Direct Deposit Authorization

- If the bank account requested on the GPSF has not previously been used by the State, or you are changing bank account information, you will need to complete this form
- The Legal Entity/Business name(s) and the FEIN number listed on this form MUST match the information listed on the GPSF & W-9 submitted to ECD
- Sections 1-3 should be completed by the account holder (accounting representative of the company).
 - Type of Request:
 - If adding new banking information, select "New" in Section 1
 - To erase a current bank account in the Edison system and change it to a new account, select "Change Existing Account" and follow the instructions
- Section 4 should be completed by the financial institution.
- Form should be **mailed** to State of Tennessee Supplier Maintenance (address noted on form) and all signature must be hand-written

NOTE: The Supplier Maintenance Office will reach out to the email listed in Section 2 of the form if they have questions after the form has been received. Ensure that person checks their spam/junk folder for emails from supplier.maintenance@tn.gov.

Grant Payment Setup Form Checklist

- The Legal Entity/Business Name on the Grant Payment Setup form (GPSF) matches what is listed on the W-9 and SDDA (if applicable)
- The FEIN (Or SSN for Sole Proprietors) listed on the GPSF matches what is listed on the W-9 and the SDDA (if applicable)
- The address listed on the GPSF matches what is listed on the W-9
- The GPSF and the W-9 have a handwritten or Adobe digital signature with a certificate summary on it
- If applicable, the SDDA has been completed according to instructions and contains hand-written signatures
- All forms have been dated within the last 365 days
- The GPSF and the W9 will be returned to TNECD
- The SDDA form has been mailed to the State's Supplier Maintenance Office



Department of
**Economic &
Community Development**

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Grant Management

Invoice Template

- This document will be sent to the grantee contact via email once the contract is approved by ecd.tefmsadmin@tn.gov
- A completed and signed invoice template, along with supporting documentation, is required for each reimbursement request.
- We ask that grantees submit reimbursement request no more than monthly and no less than quarterly to ECD.Invoices@tn.gov
- Additional instructions for navigating your invoice template and putting together a completed reimbursement request can be [found here](#).

Title VI and Audit Submissions

- TNECD Rural Development has created a form to simplify the submission of Audit and Title VI paperwork.
- Each section contains directions and links for the items we are requesting to be uploaded.
- TNECD cannot pay any reimbursement requests unless we have an active Title VI submission on file
- The next few slides detail what is needed for each section of the form

Audit Submission

TNECD is required to review each grantee's most recent audit **annually**. This helps the program manager determine the risk level of the grantee and the level of monitoring needed

Items Needed for Compliance:

- Most Recent Audit
 - If you are a City or County, you do not need to upload an audit.
 - If you are not audited, we need your form 990 if you are a nonprofit or an annual report that contains audited financials.
- Corrective Action Plan
 - If your organization had audit findings, upload a copy of your organization's Corrective Action Plan that describes how you will address each audit finding if that is not a part of the audit document.

NOTE:

- A Management Decision Letter will be issued by TNECD if there are audit findings to acknowledge the CAP
- Grantees with multiple or severe audit findings related to grant or fiscal management will be subject to higher levels of monitoring

Title VI Documentation

Documentation of compliance with the Civil Rights Act of 1964 is required to be submitted **every 3 years** for all TNECD grantees

Items Needed for Compliance:

- Title VI Policy
 - We will need a copy of your organizations Title VI non-discrimination policy
- Title VI Survey
 - A blank copy of the survey can be [found here](#)
 - The survey must provide contact information and racial composition of service area and governing board and requires signature from grant contact
- Title VI Training Completion
 - The training quiz can be [found here](#). We will need a copy of the certificate uploaded to submission form
 - If you have taken another Department's training, we will accept that certificate in lieu of the ECD training certificate. A copy of the completed and passed training must be uploaded, **and it must be dated within the last 3 years.**

NOTE: If the compliance officer and chief admin differ, be sure to have both parties sign the survey document.

Budget Revision

- Must be completed to make any changes to the funded budget line items after the initial contract is executed
 - If you need to move funding to a \$0.00 funded line-item, it must go through the contract amendment process instead.
- Requires original and revised budget line items and corresponding budget amounts
- If necessary, must be completed prior to reimbursement being made
- Form should be emailed to respective Rural Development Program Director

Scope Change

- Must be completed to make any changes to the contract scope after the initial contract is executed
 - Required to adjust the project/scope
 - Can be used to increase or decrease quantities in the scope, to adjust the activities that will be completed, or to add or remove activities to/from the scope
 - Discuss possible changes with the Program Director before submission
- Requires original and revised scope language
- Must be completed through the contract amendment process, so they should be submitted as soon as possible

Contract Amendment

- Request must include specific language regarding contract changes needed (date, grant amount, budget amounts, and/or significant change to the scope)
- Request should be made through our online submission form
- Once an amendment request is submitted it must be approved by the Program Director
- A contract amendment will need to be signed by all parties and go through the legal contract approval process before it is effective

Note: No action should take place on the revised project until the amendment is approved and fully executed. Continuing work without the executed amendment risks unallowable expenses which cannot be reimbursed

Cumulative Adjustment

- A cumulative adjustment should be completed on the final invoice if
 - Grantee participation percentage has changed due to budget revisions **or**
 - Less than 100% of grant funds have been requested on the final invoice and the grantee is eligible for the full amount of the award
- A reimbursement request will be completed like normal with the addition of specified instructions for adjustment
- Requires supporting documentation included with final request
- Requires signature from grant contact
- Completed form and supporting documentation should be emailed to ECD.Invoices@tn.gov

Cumulative Adjustment cont'd

- Examples of when a Cumulative Adjustment may be needed
 - Grantee match rate for individual line items is different from the approved budget
 - For example, if a construction line item is over matched by more than expected in the approved budget, then other line items (even if they have already been paid) can be adjusted as long as the overall match rate doesn't change
 - Grantee has unexpected expenses at the end of the project that would normally necessitate a budget revision
 - Instead of completing a budget revision for the final invoice, a cumulative adjustment can be completed
- This is intended to allow a grantee to draw down 100% of the available grant funds, go back to adjust previously requested/paid line items with little paperwork, and closeout a project efficiently

Rural Development Contacts

Programs	Contacts	Email
Appalachian Regional Commission (ARC)	Jill White Lindsay Gainous	Jill.White@tn.gov Lindsay.Gainous@tn.gov
Broadband Accessibility Grant & Tennessee Emergency Broadband Fund	Taylre Beaty JD Lawrence Emily Hale	Taylre.Beaty@tn.gov jd.lawrence@tn.gov Emily.Hale@tn.gov
Community Development Block Grant (CDBG)	Kent Archer Lynn Tutor Lindsay Gainous	Kent.Archer@tn.gov P.Lynn.Tutor@tn.gov Lindsay.Gainous@tn.gov
Downtown Improvement Grant, TN Downtowns Grant & Historic Development Grant Program	Kim. Parks	Kim.Parks@tn.gov
Infrastructure Planning Grant (IPG)	Lynn Tutor	P.Lynn.Tutor@tn.gov
Site Development Grant, Certified Site Grant & Property Evaluation Program	Kirby Lewis-Gill	Kirby.Lewis-Gill@tn.gov
ThreeStar, TN Placemakers, Asset Enhancement Grant	Jody Sliger	Jody.Sliger@tn.gov
Assistant Commissioner	Brooxie Carlton	Brooxie.Carlton@tn.gov
Deputy Assistant Commissioner	Rachel Powers Selbe	Rachel.Powers@tn.gov
Grants Management	Alaire Brown	Alaire.Brown@tn.gov

