2017 Diabetes in Indian Country Conference

Carryover Process

John Hoffman, Senior Grants Management Specialist
IHS Division of Grant Management
September 19, 2017
Objectives

1. Carryover Policy and Procedure

2. Preparing the Carryover request – Required Documentation

3. Submitting the Carryover request – Grantsolutions.gov
Carryover Policy and Procedure

All carryover funds must be used to support the originally approved objectives and goals of the project. Grantees have the authority to carry over all IHS unobligated grant funds remaining at the end of a budget period with the exception of funds that are restricted in a NOA.

25% Rule – Indirect Authority v. Prior Approval

Less than 25% = No carryover request required

Greater than 25% = Carryover request must be submitted
Carryover Policy and Procedure

Less than 25% - Indirect Authority

Grantees have the Indirect Authority to carryover a portion or all unobligated grant funds remaining at the end of a budget period for balances that are 25% or less than the annual amount awarded. The grantee must report under “Remarks” of the Federal Financial Report (SF-425) that they utilizing unobligated funds.

Greater than 25% - Prior Approval

Grantees must obtain Prior Approval from the Division of Grants Management (DGM) for use of all unobligated balances that exceed 25% of the annual amount awarded for the budget period.
Preparing Carryover Request

Carryover request documentation required-

- An official request on letterhead to use carryover funds, stating the carryover amount and what the funds will be used for, and a statement as to why the carryover funds were not spent during the budget period.


- A detailed budget narrative and justification for the amount of carryover funds requested.
Carryover Request Letter

Special Diabetes Program for Indians Tribe
5600 Fishers Lane * Rockville, Maryland * 20852
PH: (301) 443-5204 Fax: (301) 597-0899

August 18, 2017

John Hoffman, Grants Management Specialist
5600 Fishers Lane, Mail Stop 09E70
Rockville, MD 20852

The SDPI Tribe requests the approval to carryover funding of $121,000 in personnel, travel, supplies and contractual costs to complete unmet goals and objectives from prior years’. The unobligated balance of funding occurred due to unfilled positions within our program.

The funding will be utilized to implement interventions that best address diabetes in the community and continue best practice activities supporting physical activities.

Thank you,

Authorized Organizational Representative  Finance Director
**Federal Financial Report (SF-425)**

<table>
<thead>
<tr>
<th>1. Federal Agency and Organizational Element to Which Report is Submitted</th>
<th>2. Federal Grant or Other Identifying Number Assigned by Federal Agency</th>
<th>Page of pages</th>
</tr>
</thead>
</table>

3. Recipient Organization (Name and complete address including Zip code)

<table>
<thead>
<tr>
<th>4a. DUNS Number</th>
<th>4b. EIN</th>
<th>5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)</th>
<th>6. Report Type</th>
<th>7. Basis of Accounting</th>
</tr>
</thead>
</table>

8. Project/Grant Period (Month, Day, Year) From: To: Cumulative

9. Reporting Period End Date (Month, Day, Year)

**Transactions**

(Use lines a-c for single or combined multiple grant reporting)

**Federal Cash** (To report multiple grants separately, also use FFR Attachment):

<table>
<thead>
<tr>
<th>a. Cash Receipts</th>
<th>b. Cash Disbursements</th>
<th>c. Cash on Hand (line a minus b)</th>
</tr>
</thead>
</table>

(Use lines d-o for single grant reporting)

**Federal Expenditures and Unobligated Balance:**

<table>
<thead>
<tr>
<th>d. Total Federal funds authorized</th>
<th>e. Federal share of expenditures</th>
<th>f. Federal share or unliquidated obligations</th>
</tr>
</thead>
<tbody>
<tr>
<td>g. Total Federal share (sum of lines e and f)</td>
<td>h. Unobligated balance of Federal funds (line d minus g)</td>
<td></td>
</tr>
</tbody>
</table>

**Recipient Share:**

| i. Total recipient share required | j. Recipient share of expenditures |
| k. Remaining recipient share to be provided (line i minus j) |

**Program Income:**

| l. Total Federal share of program income earned | m. Program income expended in accordance with the deduction alternative |
| n. Program income expended in accordance with the addition alternative |
| o. Unexpended program income (line l minus line m or line n) |

11. Indirect Expense

<table>
<thead>
<tr>
<th>a. Type</th>
<th>b. Rate</th>
<th>c. Period From</th>
<th>d. Base</th>
<th>e. Amount Charged</th>
<th>f. Federal Share</th>
<th>g. Totals:</th>
</tr>
</thead>
</table>

| | | | | | | 0 |

| | | | | | | 0 |

| | | | | | | 0 |
Budget Narrative

Personnel $50,000
- Fitness Instructor $25,000
- CNA/Transporter $25,000

Fringe Benefits $12,500
- Fitness Instructor $6,250
- CNA/Transporter $6,250

Travel $4,000
- Staff Travel $2,000
- Staff Training $2,000

Supplies $13,500
- Education/Outreach $5,000
- Office Supplies $3,000
- Medical Supplies $5,500

Contractual $41,000
- Consulting Medical Doctor $21,600
- Exercise Therapist $19,400
Budget Justification

Personnel $50,000
Fitness Instructor:
A part time employee working 20 hours per week, responsible for the implementation of the fitness program. ($24 x 1040 hours = $25,000)
CNA/Transporter:
A part time employee working 20 hours per week, responsible for providing transportation services and in-home health care to clients. ($24 x 1040 hours = $25,000)

Fringe Benefits $12,500
Fringe benefits are calculated at 25% for both salaried and hourly employees. Fringe is composed of health, dental, life and vision insurance (15%), FICA/Medicare (7.65%), worker’s compensation (1.10%), state unemployment insurance (1.25%)

Travel $4,000
Expenses in this category are associated with attending conference and seminars associated with diabetes for 2 staff: lodging ($150.00/night x 2 people x 5 nights = $1,500) per diem allowance ($50 x 2 people x 5 days = $500) Conference fees ($1,000 per person x 2 people = $2,000) A total of $4,000 for staff travel and training
Budget Justification

**Supplies** $13,500

Education/Outreach: Various printed literature, books, videos, pamphlets, pens, bottled water, incentives to hand out at various health fairs, events, and to groups to educate and promote health. Funds allocated are $2,500.

General office supplies are essential in order to properly maintain client records, financial records, and all reporting requirements. General office supplies include file folders, labels, writing pads, pens, paper, toner, etc. Funds allocated are $3,000.

Medical supplies for our clinic such as alcohol wipes, strips for glucometers, paper sheets, gloves, gowns, etc. Funds allocated are $8,000.

**Contractual** $41,000

A medical doctor is contracted to provide medical care to our clients with diabetes (18 hours per month x 12 months x $100.00 per hour = $21,600)

An exercise specialist is contracted to conduct and monitor exercise program necessary for each client. (78 hours x $25 per hour = $1,940)
All prior approval requests must be submitted on-line through Grantsolutions.gov, under manage amendments.

**Grantsolutions.gov submission process**

- My Grants List page, select the Manage Amendments link.
- Click the New button at the bottom of the page.
- Select the Carryover Request (over 25%) amendment, and click Create Amendment button.
- Upload your Carryover request letter, FFR and budget narrative/justification as attachments in each section.
- Click Verify Submission button at the bottom of page.
- To complete, click Finalize Submission.
For grants management concerns or information required to submit your request, please contact your Grants Management Specialist, listed on your Notice of Award or contact our main line at (301) 443-5204.

For system related questions about Grantsolutions.gov, please contact Paul Gettys, Grant Systems Coordinator.

E-mail – Paul.Gettys@ihs.gov

Phone – (301) 443-2114
Questions?
Thank you!
Frequently Asked Questions

What is the deadline for Carryover Requests?
There is no deadline. You simply have to request the carryover before the end of your grant budget period. As soon as your Federal Financial Report is completed, you can submit the carryover request.

If I request carryover of 30% of our annual award amount, do I have to justify the entire amount, or just that part over the 25% limit?
For carryover requests of more than 25% of the annual awarded amount, you must submit a budget and justification for the full carryover amount.

Can funds that have been carried over be rebudgeted?
Yes, carryover funds can be rebudgeted, if they are used to complete the originally approved program goals and objectives. They cannot be used to start new goals and objectives.

Is the carryover approval valid throughout the life of the grant?
No, the authority to expend carryover is valid during the budget period it was issued. Approval must be requested each budget period.