

Special Diabetes Program for Indians

- Carryover Policy – “How May We Use the Carryover?”
- Carryover and Procedures for Balances that Exceed 25%
- Carryover Procedures for Grants Management (IHS)
- Road Blocks for Processing Carryover Requests
- Purpose of Carryover Training
- Questions – Contacts Listed

Purpose of Training

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The purpose of the Carryover Training is to provide SDPI grantees with detailed guidance on the carryover requirements, the process for submitting carryover requests, and identify road blocks for processing carryover packages that are submitted to grants management (IHS) by SDPI grantees.

Carryover Policy

Carryover Policy

(Balances 25% or Less)

Grantees retain the authority (**no prior approval required**) to carry over a portion or all unobligated grant funds remaining at the end of a budget period for balances that are 25% or less.

Please report carryover for 25% or less in the Financial Status Report under the “Remarks” section.

Note: Grantees may not carry over funds that are identified as restricted in the Notice of Award’s Terms and Conditions.

Carryover Policy and Procedures for Balances that Exceed 25%

- Grantees must obtain prior approval from the grants management on all balances that exceed 25%.
- Grantee is required to submit their prior approval requests to the Division of Grants Operations (DGO). The request must include a plan that describes the activity/initiative that will be performed by the grantee, a scope of work that implements the activity/initiative, justification for how the balance occurred, a detailed budget, and budget justification.

Address for DGO:

12300 Twinbrook Parkway, Suite 360

Rockville, Maryland 20852

Attention: Ms. Kimberly Pendleton or Ms. Denise Clark

Helpful Information for Grantees

How Can the Funds be Used?

SDPI Grants

- **Non-competitive grants**: The unobligated funds that are available to carryover may be used to support the broad purpose of the grant program; to prevent and treat diabetes. The grant program was broadly implemented and there were not specific criteria outlined under a competitive grant process. This fact provides a little more flexibility to the grantees as it relates to how carryover funds are used.
- **Competitive grants**: The unobligated funds that remain available to carryover may be used to support the criteria as outlined in the 2004 Competitive Grant Announcement.
- **Action required by grantees**: Each grantee 'type' must provide a justification for why the funds were not used, submit a plan for using the funds, prepare a scope of work that defines how the grantee will carryout the plan, and prepare budget/budget justification to financially support carryover plan. ***Note – the words that are underlined above will be described, in detail, under the next few slides.***

What Information Should the Grantee Include in their Carryover Plan and Scope of Work?

The grantee's plan/scope of work must:

1. Describe of how they plan to use the funds (e.g. a detailed description of the activity/initiative).
2. Include a statement for how the plan is relevant to the purpose of the grant program.
3. Develop a scope of work that carries out the plan.
4. Describe how the grantee will carryout the scope of work.

What Information Should the Grantee Include in their Carryover Justification?

- Justification – Provide a detailed explanation for why the funds were not used as outlined in the previous year's continuation application(s). For example, the grantee was unable to hire key personnel, grantee was delayed in recruiting participants into fitness programs, grantee was not able to purchase equipment, as planned, etc.
- Confirm that the available funds are no longer need for the purposes that were outlined in the previous year's application.

What Information Should the Grantee Include in their Carryover Budget/Budget Justification?

- The carryover budget must be detailed and include costs that are allowable, allocable, and reasonable (Cost Principles A-87).
- The accompanying budget justification must include a detailed description of each line item that is requested by the grantee. The justification must be clear and accurately describe the need for the budget line items.
- All budgetary information must be submitted on the SF-424/424A. Click on link to access the forms:

http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp_forms

Description of the IHS Grants Management's Role in the Carryover Process

What happens after the grantee submits their carryover request to Division of Grants Operations (DGO)?

- The package is received in DGO and a copy of the package is submitted to the appropriate program official/ADC;
- A cost analysis is performed on the carryover budget and the budget justification is analyzed (and discussed with Program, as needed);
- The grantee's financial reports are reviewed (both the Financial Status Report and Federal Cash Transaction Report);
- The FSRs are reconciled to determine whether the funds that are requested is actually available for carryover;
- Program is contacted to discuss the grantee's description of the circumstances that resulted in the large balance as well as other technical questions related to the budget;
- Approval is obtained from program based on their technical review of the plan that is submitted by the grantee and finally...
- A Notice of Award is issued to reflect the approved carryover amount.

Description of IHS Program Official's Role in Carryover Process

What role does the Program Staff/Area Diabetes Consultants have in the carryover process?

- Identify whether the grantee has performance issues that may have caused a large unobligated balance to occur over time.
- Provide feedback to their grants management counterpart on such issues, if applicable.
- Approve or recommend disapproval for the grantee to carryover the unobligated balance. The program official will provide a detailed explanation to grants management and ultimately the grantee – if disapproved based on performance concerns.

Avoid Roadblocks

What are a few roadblocks that slow down DGOs ability to process the carryover request?

- Delinquent FSRs – grants management must have a current report on file in order to review actual balances that are available for carryover
- Incomplete carryover request packages.
- Budget justifications inadequate – not enough details to support line item.
- Submitting packages directly to Program without sending it directly to DGO.

Helpful Nugget:

Please help us to assist you—submit applications that are complete. Develop a checklist that describes what is required for DGO to process The carryover request. Delays in issuing the award frequently occurs because grants staff have to request additional information. away. When in doubt, feel free to ask your grants management official that is outlined in your Notice of Award.

Carryover Policy - Citations

- 45 Code of Federal Regulations, Part 92.
- HHS Grants Policy Statement; Rev. 1/07; II-52.
- Indian Health Circular No. 2005-03

Questions?

- Contact Division of Grants Policy to address policy/procedural-related questions regarding carryover.

301-443-6290 or michelle.bulls@ihs.gov

- Contact Division of Grants Operations to check the status of your carryover request.

301-443-5204 or kimberly.pendleton@ihs.gov