

Health Profession Opportunity Grants

Annual Conference

November 2-4, 2011

L'Enfant Plaza Hotel, Washington, DC



Administration for Children and Families
Office of Grants Management

Carryover Of Unobligated Balance

Overview of Unobligated Balances

- Unobligated balances are funds not obligated by the grantee by the end of the budget period. These funds may be carried forward (carried over) into the next budget period if a continuation is awarded by the granting agency. The amount to be carried over can either be an actual or estimated dollar amount. Carryover funds should be used to complete any objectives which remain unmet from the prior budget period. When the grantee reports an obligated balance, the awarding office has several options available to it.
- Grantees should be aware of the difference between unliquidated obligations and unobligated balances. Unliquidated obligations are commitments of the recipient and are considered to be obligations and, therefore, should not be reported as unobligated balances.
- Unobligated balances may only be carried into the next immediate budget period.

Carryover Of Unobligated Balance

Definitions

- **Unobligated Balance:** The portion of the Federal funds authorized that have not been obligated by the recipient.
- **Carryover Balance:** Unobligated funds from the prior budget period that are authorized for use in a current funding period to complete any objectives which remain unmet from the prior budget period.
- **Offset:** A method of processing estimated or actual unobligated balance from the Federal share of the approved budget in calculating the award amount for the next budget period.
- **Deobligation:** A withdrawal of obligating authority and a refund to the Federal government of cash which has already been transferred to the grantee.

Carryover Of Unobligated Balance

Content of Carryover Balance (COB) Request

- ❑ A cover letter including:
 - ✓ A detailed description of the objectives/goals not completed
 - ✓ An explanation why objectives/goals were not completed
 - ✓ An explanation of how the objectives/goals will be met in current/subsequent year
- ❑ An original SF-424 and SF-424A that shows only the Carryover Balance (COB)
- ❑ A detailed budget/budget narrative that supports the work to be completed
- ❑ A copy of current Indirect Cost Rate Agreement, if charging Indirect Costs
- ❑ A copy of the final SF-425 showing the unobligated amount
- ❑ A copy of the last semi-annual program progress report if not previously submitted

Carryover Of Unobligated Balance

Additional guidance

- The Federal Project Officer has been consulted regarding unobligated balance prior to submitting the request
- The unobligated amount is still in its Payment Management System (PMS) account – if unsure contact your Grants Management Specialist
- The financial and program reports are current
- The request is submitted through GrantSolutions by creating an amendment as for a Carryover Request
- Additional post-award prior-approval requirements may be found in the HHS Grants Policy Statement (GPS) . You can find the GPS on the Administration for Children and Familie's website at www.acf.hhs.gov

Carryover Of Unobligated Balance

Approval/Denial Process

- Treatment of unobligated balance is at the discretion of the Awarding Agency
- OFA and OGM must ensure that carryover balance is solely to complete unfinished activity
- Unobligated balance must be in PMS account
- If request is not approved, grantee will be sent a denial letter (OFA and OGM Collaboration)
- If request is approved, a Notice of Grant Award (NOA) will be sent through GrantSolutions with conditions for the approval noted

Carryover Of Unobligated Balance

Grant Solutions Carryover Instructions

- Once you have decided to initiate an amendment request, you are now ready to begin filling out your Application Kit. Included in the kit you will find all of the forms and instructions necessary for you to complete your Carryover Request Application.
 - Once you have completed each of the components in the application, you are ready to submit the application for review.
-
- Be sure to review the instructions document; this will explain each of the enclosures required to complete your request. Once you have followed these instructions and completed all forms, you may select the Verify Submission and Final Submission buttons.
 - Your application is now submitted to your Federal Project Officer for review and processing.

Carryover Of Unobligated Balance

- Any change/revision to the original grant award is called an amendment in GrantSolutions. To initiate a request for an amendment begin by logging into GrantSolutions.gov.
- From the My Grants List page, select the *Manage Amendments* link.

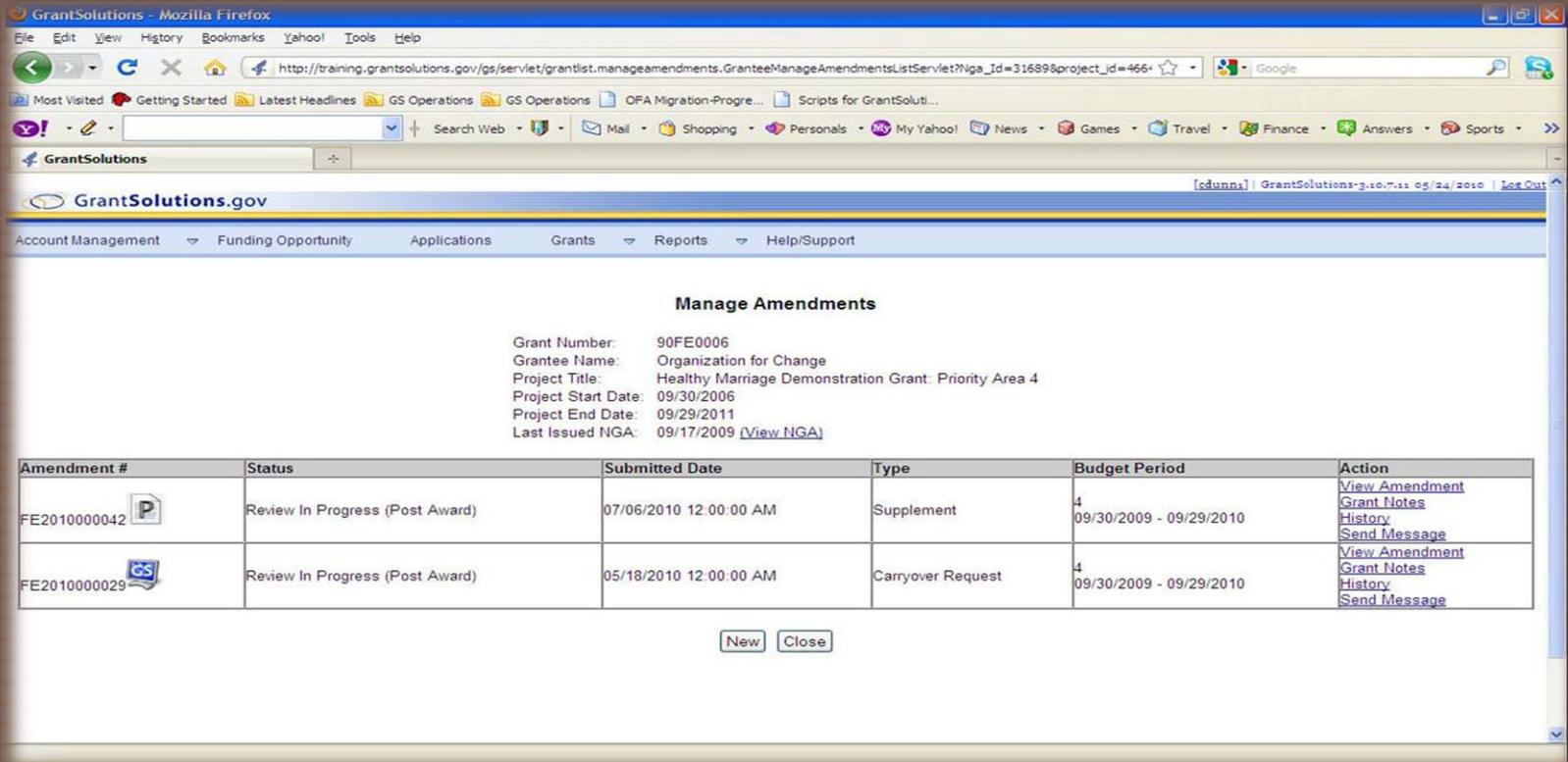
The screenshot shows a Mozilla Firefox browser window displaying the GrantSolutions.gov website. The page title is "My Grants List". A pop-up window titled "Organization for Change" is open, showing the following details:

- Grant Number: 90FE0006-04-00
- Grant Program: Healthy Marriage Promotion
- Program Office: The Office of Family Assistance
- Project Title: Healthy Marriage Demonstration Grant: Priority Area 4
- Award Issue Date: 09/17/2009
- Project Period: 09/30/2006 to 09/29/2011
- Budget Period: 09/30/2009 to 09/29/2010
- Total Approved Budget (Federal): \$548,931
- Next T&C Due Date: N/A
- Status: Review In Progress (Post Award) (Carryover Request)
- Non Competing Status: Pending
- Non Competing Due Date: 06/01/2010

On the right side of the pop-up window, there are several links: "View NGA", "Grant Notes", "Send Message", "History", and "Manage Amendments". The "Manage Amendments" link is circled in blue. A "Close" button is located at the bottom of the pop-up window. In the top right corner of the main page, there is a link for "Show Expired Grants".

Carryover Of Unobligated Balance

- If you have already existing amendments you will see a listing of those, similar to the screen below.



GrantSolutions.gov [edunna] | GrantSolutions-3.10.7.11 05/24/2010 | Log Out

Account Management ▾ Funding Opportunity Applications Grants ▾ Reports ▾ Help/Support

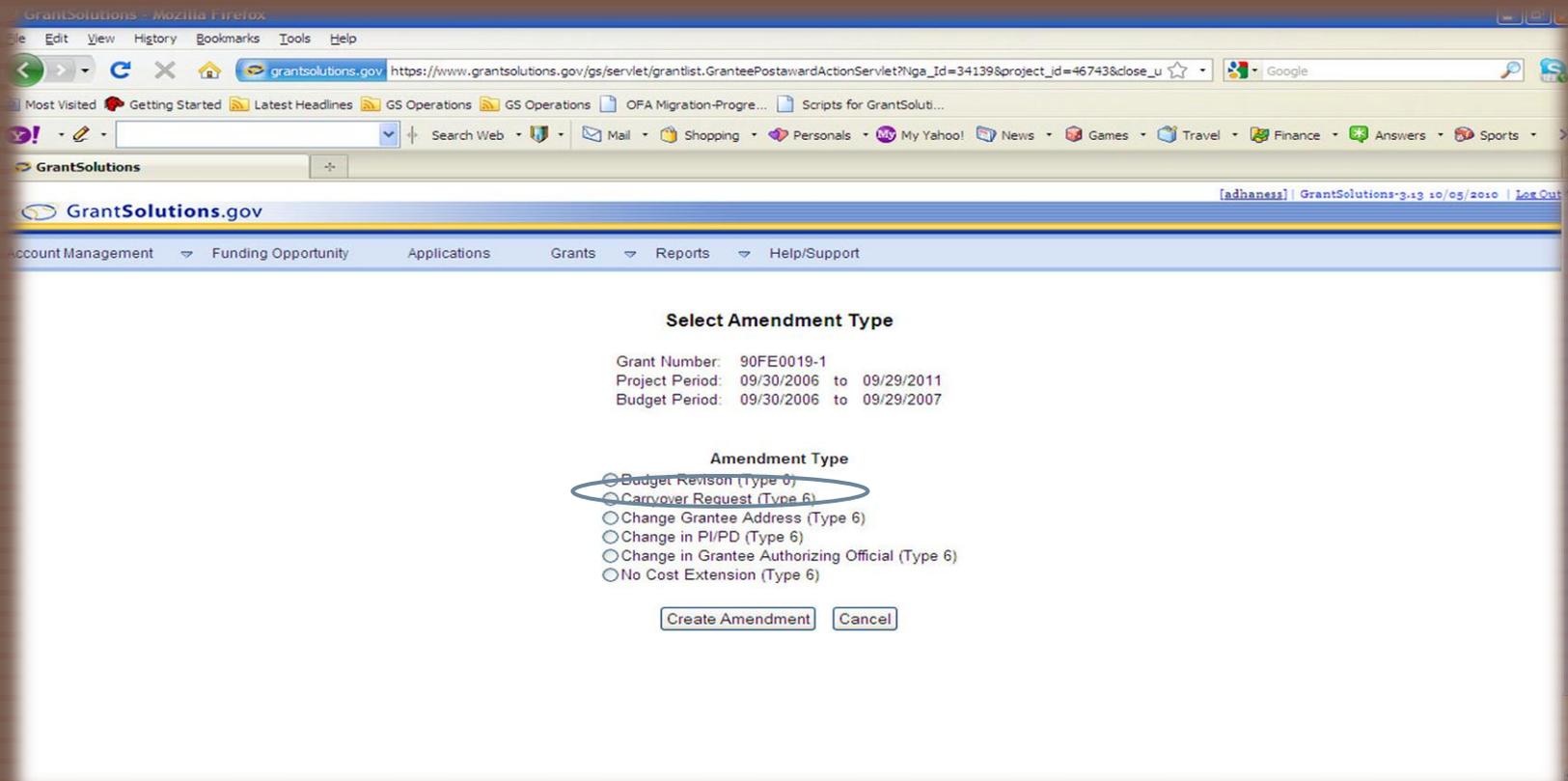
Manage Amendments

Grant Number: 90FE0006
Grantee Name: Organization for Change
Project Title: Healthy Marriage Demonstration Grant: Priority Area 4
Project Start Date: 09/30/2006
Project End Date: 09/29/2011
Last Issued NGA: 09/17/2009 ([View NGA](#))

Amendment #	Status	Submitted Date	Type	Budget Period	Action
FE201000042 	Review In Progress (Post Award)	07/06/2010 12:00:00 AM	Supplement	4 09/30/2009 - 09/29/2010	View Amendment Grant Notes History Send Message
FE201000029 	Review In Progress (Post Award)	05/18/2010 12:00:00 AM	Carryover Request	4 09/30/2009 - 09/29/2010	View Amendment Grant Notes History Send Message

Carryover Of Unobligated Balance

- To begin a New Amendment click on the *New button on the Manage Amendments screen.*
- You may now choose the appropriate amendment type from the display list.



GrantSolutions - Mozilla Firefox

File Edit View History Bookmarks Tools Help

grantsolutions.gov https://www.grantsolutions.gov/gs/servelet/grantlist.GranteePostawardActionServlet?Nga_Id=34139&project_id=46743&close_u

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GrantSolutions

[adhanza] GrantSolutions-3.13 10/05/2010 | Log Out

Account Management Funding Opportunity Applications Grants Reports Help/Support

Select Amendment Type

Grant Number: 90FE0019-1
Project Period: 09/30/2006 to 09/29/2011
Budget Period: 09/30/2006 to 09/29/2007

Amendment Type

Budget Revision (Type 6)
 Carryover Request (Type 6)
 Change Grantee Address (Type 6)
 Change in PI/PD (Type 6)
 Change in Grantee Authorizing Official (Type 6)
 No Cost Extension (Type 6)

Create Amendment Cancel

Carryover Of Unobligated Balance

- Once you have selected the correct amendment type, click the **Create Amendment button**.
- You are now able to complete and submit the amendment application.

GrantSolutions - Mozilla Firefox

http://training.grantsolutions.gov/gjservlet/eacc.post.EACCInProgressServlet?Application_Id=81220&close_url=grantlist.manageamendments.Gra

GrantSolutions

Information for the Applicant		
Amendment Instructions		N/A
Online Forms		
SF-424 Application for Federal Assistance (Version 2.0)	Enter Online Enter Comments	Attachment(s) 0 Uploaded Files 0 Mail-in Items
SF-424A Budget Information - Non-Construction Programs	Enter Online Enter Comments	Attachment(s) 0 Uploaded Files 0 Mail-in Items
Additional Information to be Submitted		
Cover Letter Upload		Attachment(s) 0 Uploaded Files 0 Mail-in Items
Budget Narrative - OFA		Attachment(s) 0 Uploaded Files 0 Mail-in Items
Miscellaneous Information	Enter Comments	Attachment(s) 0 Uploaded Files 0 Mail-in Items

Amendment Package Status: Work In Progress (Post Award)

[Verify Submission](#) [Close](#)

Submission Notice:
Done

Carryover Of Unobligated Balance

Form	Explanation
Instructions	Begin by reading over the instructions (this page) to give you a brief overview of the contents of your application.
SF-424	The 424 is an online form that you should open and complete in GrantSolutions. Be sure to mark <i>revision</i> for the type of application and include only the amount of the carryover.
SF-424A	Each of the 424 forms are online forms which you will complete directly in GrantSolutions. You will have the ability to save and come back to it, as well as to validate when you have completed it. Begin by filling out the 424A, which will pre-populate some of the data in the other 424 forms.
SF-425 Download	If you do not have a recent SF-425, you can download and complete the form here. Once you have completed the form, attach it in the SF-425 <i>Upload</i> section.
Cover Letter Upload	This is the section in which you should attach a letter clearly stating the purpose of the request and how it will affect the scope of services. This letter should be on company letterhead, signed by your authorizing official, scanned, and attached.

Carryover Of Unobligated Balance

Form	Explanation
Instructions Continued	
Budget Narrative Upload	The Budget Narrative Upload section is the place for you to attach your completed Budget Narrative which includes a budget with line-item detail and narrative to justify the proposed costs.
Annual Program Progress Report (PPR) Upload	Carryover requests require that a Program Progress Report be included in the application. Once you have written your progress report, attach it to this section of the application.
SF-425 Upload	Attach your final SF-425 here.
Miscellaneous Information	You may use the Miscellaneous Information section to upload any additional information that you wish to include in your application

Carryover Of Unobligated Balance

- The table below gives a brief description of each of the action links displayed on the Manage Amendments screen.

Action Link	Description
View Amendment	This will allow you to view the amendment application and its contents. If you have already submitted the application, this screen will be Read-only.
Grant Notes	This link will take you to all of the notes for your particular grant.
History	By selecting the History link, you will be able to view the whole history for your grant, including past applications.
Send Message	You may use the Send Message link in order to send correspondence to anyone assigned to the grant; this includes your Federal Project Officer and Grants Management Specialist.

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Questions and Answers