

AUCD  
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Welcome to AUCD Guidance for UCEDD Carry-over Request and No Cost Extensions. My name is Dorothy Garcia and I'm a program manager with the UCEDD TA team here at AUCD. I'd like to thank all of you for joining us today. I'd like to begin with a few logical, logistical details right now. There are handouts available for download at the bottom right-hand corner of your screen. I'll provide an introduction of our speakers and then following the speakers presentations, there'll be time for you to ask some questions.

Because of the number of participants, your telephone lines will be muted throughout the call, but we will unmute your phones one at a time during the Q&A time at the end. You will need to press star, then pound on your phone to request to be unmuted to ask your questions. If you are using the microphone on your computer, you could raise your hand by clicking the little icon at the very top of the screen. It looks like a person raising their hand. You can also submit questions at any point during the presentation, using the chat box on your webinar console.

You can send a chat to the whole audience or to the presenters only. We will compile your questions throughout the webinar and address them at the end. Please note that we will not be able to address every question, we will try, but we may combine some questions and if you don't get to ask it during the webinar, you can, you're certainly free to e-mail us later on.

The webinar is being recorded and will be available on AUCD's webinar library. There'll also be a short evaluation survey at the close of the webinar, with about five questions. Which Ana will send out as soon as the webinar's over. We invite you to provide feedback on the webinar and also to provide suggestions for future topics.

Okay... let's get started. Our speakers today are LaDeva Harris, a grant management specialist at the Administration for Community Living and

Celia Feinstein, the Executive Director of the Institute on Disabilities at Temple University. Please join me in welcoming our first speaker, LaDeva Harris. Thanks for agreeing to walk us through this process today, LaDeva?

>> Not a problem, thank you. Good afternoon, everyone, this is LaDeva Harris, most of you probably have sent me e-mails or something. I'm a grant management specialist for the UCEDD portfolio for ACL. We're going to go over just the carryover request and no-cost extensions in a little more depth. It was a request made to AUCD for us to provide this training, so... hopefully we can address any issues that, and concerns that people were having. The first slide is just giving you our names, so, I'm just going to flip through this one. And this one. Okay?

For anyone on the call that may be new, I know we are, we do have some new directors, it is important that you do have a GrantSolutions account set-up. GrantSolutions is the system we use to basically monitor, administer, and house our grants. That's where the notice of awards will be, that's where you can request prior approvals, like a carryover, a no cost extension, a PI change if you have a change in your directors, that's also where you are to upload your 425 reports that are required as well as your program performance reports that are required as well. If you do not have access to GrantSolutions, you definitely want to follow the link listed here and complete the GrantSolutions user form. If you're attempting to get access as an AOR, it has to be a request through GrantSolutions by somebody that already has access to the system in order to gain you access to that. The help desk can provide access for program support staff roles, as well as financial support staff roles. The download handouts does have the information, as far as how to do a personnel change request, if you need to. It will go over what's required and how to submit that request as well.

Let's see... additionally, now, if you go into GrantSolutions, once you go in to create an amendment, there'll be embedded in each of the different application checklists, there's a link that says information for the applicants and there'll be instructions included in each of them that go over what that type of amendment is and let me just see if I can open one of these. I'm so sorry, I don't know if when I open it if it's going to show on the screen or not. Nope... it just saves it to my computer. Okay...

Okay... so when you open it, it will show you the Word document that we have, that we have uploaded that gives you a brief description of what the type of amendment is, as well as what documents are required and again, the submission method for you to submit this through GrantSolutions.

And we have a different one for each of the different amendment types. Excuse me. And then, also... in the application kit, it will have the lines that show you the documents that you need and it will allow you to upload your

documents there. And then once you're done, you just verify the submission and... verify that it's complete and then it will go through to us for us to do the review. Either to Shawn or Pam, depending on who your program person is, once they're done, they send it to me for me to do my review and I do mine. Then contact you or forward it to management for final approval.

Okay... so first up, we have the carryover request, which I feel is probably the most common, prior approval request that I get for the grant programs. And a carryover is basically when you have unobligated funds remaining at the end of a budget period and you are requesting to carry them over into a new budget period. And... it says the carryover may be used to complete activities that were not completed in the budget period, that the funds were originally awarded. And it has an asterisk mark, the reason being is because... it may not always be for those activities to be completed. Sometimes we get carryovers because... there's an unobligated balance because... of personnel or... an over-budgeted of funds for travel. And... of course, you've already done the travel, so you're not going to be completing that travel, but now you want to carry it into your next budget period to maybe do additional training, you originally approved training, but... maybe there was something you couldn't do because you weren't going to have enough money for it. Things of that nature. That you can request as long as it's not changing the scope of your project. Or normally allowable with a carryover. One thing that you all want to make sure of is that, if you are requesting a carryover, money into another budget period, that other budget period has to have already started. One of the things that I see a lot is carryover requests coming through, but we don't have a new budget period to carry it into yet. So then we have to hold it until the new budget period begins.

Typically, we don't want to do the retroactive carryover, which, again, would be something like, if you found, when you went to reconcile your books, that you may have thought there was a carryover done, but it was never submitted or... never processed through the system... you would want to try to make sure that those types of things we don't do often, but... we are capable of doing that, but... it's not something that we want to do all the time. So... it doesn't have to only go into the current budget period, if need be, it can be done retroactively into previous budget periods. That's already expired, just as long as we have the proper justification for it.

One moment... and this kind of just touches on what I was saying before, the carryover doesn't have to be used specifically to complete the previous budget period for activities. It just depends, again, on the reason for the funds being available and not obligated.

This list gives you items that are needed when you request a carryover. We do need to have a letter, normally means a company that is on

your agency's letter head, that's signed by an authorizing official for your agency. Normally in that letter, there's a brief description in the letter that explains why you're needing a carryover, however it would affect the program if you can't do the carryover, what you're proposing to do with the new, with the new money in the new year, that you're proposing to move it to.

Additionally, we need to have an SF424A completed that categorizes where the money will go in the new budget period and then, also... a budget justification that explains how the money is going to be used in detail.

Let's see... and actually, while I'm going through this, I know the chat option is available, if anyone has a question, you can type it in the chat box, sometimes I might speak a little fast. So... if you need me to slow down or... anything of that nature... just put it in the chat box, because I'm looking at the box.

Let's see... going back to the carryover request letters, all carryover letters do need to be submitted on the official letter head and signed by the authorizing representative, going back to what was said at the beginning of the call, in the event that, that person that we have on file has changed, you do have to submit a change in director or change in authorizing representative amendment through GrantSolutions. It can't be submitted with the carryover, it should be two separate amendments, we can process it as one, but it definitely would have to be submitted as two separate amendments through GrantSolutions. You probably want to try to do that as the personnel change happens, versus waiting for a carryover that needs to be done or no-cost extension or things of that nature.

Let's see... no cost extensions, we, I see a lot of times, we'll get requests for no cost extensions that are really carryovers and... requests for carryovers that are really no cost extensions.

A no-cost extension is only supposed to be requested at the end of a project period, so... if you're -- we don't do a no-cost extension for a budget period that's in the middle of a project period. We wouldn't do a no cost extension on year three, on a five-year project.

So... that's one of the common things I see sometimes, make sure you remember it's only for the end, to extend the end of the project period. Previously approved by ACL, but they weren't able to complete during the original project period. A no cost extension is not a carryover of funds into a new project period, so... once your five years are over, we can do a carryover of the unobligated money from that year. The no-cost extension should normally be submitted. The purpose of the no-cost extension shouldn't be specifically for liquidating unobligated funds. That's not the primary purpose of a no-cost extension.

When you submit your no-cost extension, it'd need a cover letter as well. That'd include the grant number, the date you're wanting to extend your grant through. And your proposal on how you plan to complete the work. Whether unobligated funds are remaining or not, we ask for a fortune 550 submitted with the request. Because... normally you'd have one due 90 days at the end of the project period, but assuming that the extension is going to be granted, we request fortune five at the time. It only has to cover up until the date of the submission of the amendment request. We don't have an end date yet, it should be submitted to show that your balance and your financial history up until the date of the submission of the request. It looks like Cecilia is next. If anyone has questions for me, if you want to type them in the box, I know we won't open the lines until later.

>> Okay, great, thank you.

>> You're welcome.

>> Now we'll move on to Celia Feinstein who is going to talk about the reasons you might need to request carryovers and no-cost extensions. Including some examples from the Institute on Disabilities. Welcome, Celia.

>> Hi, everyone, it's good to see you on the screen. Dorothy and LaDeva asked me to join the webinar today to talk about real life examples of how these things play out in reality and as we all know, the reality is often very different from the theory and... I guess, we've had sort of an example, a real-life example of that, so... I'm going to go through, sort of, what has happened to us during the course of our most-recent five-year award and... we had an award that went from 2012 through 2017, so... we were just refunded, beginning on July 1st of 2017.

And... part of this, and I know, I will not be the only person to have experienced this. Part of the issues that we ran into with our request were that we lost our associate director for finance and administration. Our fiscal person who handles most of these kinds of things together with me, what happened in year three, we had projected to do a host of research-based activities. And... we had a vacancy in our research director position. Which really caused us to need to move those activities forward once that person was hired. Together, with my associate director of finance and admin, we prepared all of the necessary paperwork that AIDD required, that ACL required and we submitted it. Foolishly we believed it would magically happen. We kept checking back and kept checking back and getting a message saying, in process. So... we thought, oh, actually, the first message we got was not in process.

The first message we got was nothing. Thank goodness for LaDeva and Pam, we found out later than we liked. We hadn't submitted the

request, appropriately, and it never actually started to wind its way through the system.

So... that was our first thing and I guess, GrantSolutions isn't quite as friendly as I would create it to be or you might create it to be, but... be that as it may, it wasn't clear to us that the amendment hadn't been submitted. So... once we fixed that glitch, we were able to get it into the system and processing. And... as I said, we had written all the justifications, we had written about all the activities that we were going to use, the carryover for, and so forth. We did the S442A and we had all of the appropriate documents and then it sat and I mean, one of the things I'd recommend -- two of the things I'd recommend is that you make sure the status changes. That first, it goes from processing to being approved, but I will tell you, we still, two and a half years later, haven't gotten final approval through GrantSolutions. So... I just had my associate director doublecheck on the status and currently, what it says is amendment is approved and processing, so... that's not enough for most fiscal departments to grant you use of the funds. Because it still says processing. We don't have the final approval. And I would say this is no discredit to our program officers. Pam and LaDeva have been awesome, but for a lot of this, this is so beyond their control that I think it's been difficult all around.

LaDeva, I'm really hoping that for the next cycle, these things get resolved so that once the carryover requests are submitted quickly, at the very least, I think what most of us are waiting for is final approval so we can double back to our own university system. Which are complex in and off themselves. My advice is, make sure you're checking things, once... you have all of the documentation that LaDeva described, and... you submit in GrantSolutions, that you track it, like a junk yard dog because... it does take a really long time for final approval, it appears, and as I said, I'm concerned now, because we've closed out our grants and what my fiscal people are worried about, at this time, in the university, is that we won't be able to draw down the funds and they are significant funds. Now... LaDeva and Pam have both promised that's not going to happen. So... I'm trusting them. Completely. But... I just, just suffice it to say that this is something that you have a lot of attention to, at least regular attention. I would say.

So... I'm going to stop for a minute and let's see if folks have questions at this point for either me or LaDeva.

>> Okay, everyone, we now have time for questions. If you have any questions, please press star, then pound on your telephone keypad and the conference call system will unmute you in the order in which you indicated you have a question.

You'll hear a prompt when your phone line is unmuted and then you may ask your question aloud. If you have a question, please press pound now. You can also type your questions into the chat box below the slides. I can read the questions out loud for the presenters. Any other questions for Celia or LaDeva? You can raise your hand to unmute your computer mic. There's an icon on the top of the screen at the top left.

Okay, if you have questions I can pass them along to Celia and LaDeva. If there are no other questions for today, looks like we'll be ending much earlier than anticipated and there's certainly nothing wrong with that. Thank you for attending the webinar. We'll follow this up in a few weeks by sending out a tip sheet which will also be available on the UNC site. I apologize for the captioning difficulties today, if you'd like additional information, please contact me and also the webinar is going to be archived and the webinar library at AUCD.org, if you need to refer back to it. If you'd like to have more information about it, again, feel free to contact us. The contact information is on your screen now. Please take a few moments to complete our survey, which you will see as soon as the webinar is over. Thanks again, everybody.

Thank you, LaDeva and thank you Celia.

>> You're welcome.

[Call concluded at 1:28 p.m. ET].

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