Award Modifications: Requesting Carryover

When a Sponsor does not allow funds from one budget period to be spent during the next budget period without their explicit approval, separate projects are set up to ensure that the funds are tracked in the budget period for which they were originally allocated. If the department wishes to spend funds from a previous budget period in another budget period, an Award (AWD) Modification requesting Carryover must be routed in UFIRST. The Division of Sponsored Programs (DSP) will review the request and send it to the Sponsor for approval.

Special Notes & Considerations:

A. Carryover may also be called "Carryforward" or an "unobligated balance". The unobligated balance amount will not include any "unliquidated obligations" as these are commitments by UF. Carryover does not reduce the official award amount.

B. Carryover is not new or additional funds from the sponsor and therefore does not affect the Sponsor Authorized Amounts. It only alters the Budget amounts released within each project.

C. Carryover requests should be done in isolation to avoid double counting of award dollars for reporting purposes. An AWD Modification requesting Carryover should contain no additional modifications to the AWD. If any other actions need to be taken, they will need to be completed on a separate AWD Modification after the Carryover is completed.

D. Carryover BETWEEN PROJECTS on a SINGLE AWARD: Take actions on the budget reconciliations of BOTH projects. Increase the project receiving the carryover & decrease the old project budget on the budget reconciliation pages.

E. Carryover BETWEEN AWARDS: If the projects between which you request carryover are on different awards, you need only request the carryover modification on the NEW project/award. You do not need to reduce the OLD project/award if the old award is being closed out.

F. For any award, the ability to carryover funds may be restricted if the Sponsor determines that not all of the unobligated funds are necessary to complete the project. In these situations, DSP will communicate with the PI and Department regarding any such restriction and any change to the official award amount that may be created if the Sponsor elects to "offset" or reduce the award. (For NIH, please see NIH GPG 8.1.1.1 in Additional Resources.)

To Create a New AWD Modification for Carryover:

1. *Click* "Create Award Modification" and *click* "Ok" on the screen that pops up.

2. *Click* on the "Modifications" tab from the AWD workspace. Your new Modification may take several minutes to create. You will see red text "Modification creation in progress…". You must refresh the webpage from your browser to see the new AWD Modification record.

3. Once the new Modification record appears in the list, *click* on "SmartForm". A drop down menu appears. *Click* on "1.0 Award Modification" to navigate to the first page of the SmartForm.

Summary	Project Details	Modifications	Terms	IRB/IACUC	Compliance	FCOI	•••

Modifications:

Name	ID	SmartForm	Mod Type	Mod Type Detail	Net Released Budget Change	Sponsor #	Effective Date
Evaluating Recreational Fishing Management Strategies for Red Snapper - Modification #1	AWD03657_MOD0001	SmartForm ▼	Financial	Carryover	$0.00	0303.17.057796	8/6/2018
Evaluating Recreational Fishing Management Strategies for Red Snapper - Modification #2	AWD03657_MOD0002	SmartForm ▼	Financial	Carryover	In Progress	0303.17.057796	8/24/2018

1.0 Award Modification
8.6 Award / Authorized Budget Reconciliation
8.7 Financial Summary
11.0 Subaward Modifications
12.0 Completed Award Modification

Award Project Snapshots:

Date
There are no items to display

4. On page 1.0, under field 2.0 "Select Modification Type", *mark the box* for "Financial". Additional fields will open on the page. *Mark the box* for "Carryover". Please note that Carryover modifications cannot be completed in combination with any other modification type. They must be done in isolation to preserve data for institutional reporting purposes.

2.0

* Select Modification Type:
- ☑ Financial
- ☐ Dates
- ☐ Personnel (Including effort commitments)
- ☐ Terms and Conditions (including spending/KK dates)
- ☐ Compliance (IRB, IACUC)
- ☐ Early Award Termination
- ☐ Project Demographics (Name, IDC Center, Project Type)
- ☐ Award Demographics (Sponsor, CFDA, FAIN, Responsible Unit)
- ☐ Core Office Correction

* Select Financial Modification Type:
- ☐ Change in budget-release or obligated amount
- ☐ Change in voluntary committed or mandatory cost share
- ☑ Carryover
- ☐ Re-budgeting categories within an existing project

5. On page 1.0, under field 3.0 enter the Award ID for the modification, and under fields 4.0 and 5.0 attach related modification documents. The official document should be placed under field 4.0. Any supporting information (such as an email history) should be placed under field 5.0

6. On page 1.0, under field 6.0, *enter text* under "Brief Description". *Click* "Save" at the bottom of the page and then *click* "Continue" to advance.

6.0	* Describe the modification
	Carryover of year 2 funds into year 3

7. If the AWD record you are working on is a converted award (established before UFIRST launched), it will start with "000" instead of "AWD" in its record number. If the AWD record was not converted, *skip this step*. Converted awards require an additional page of information, page 8.0. On this page, identify the projects that are providing for and/or receiving carryover budget by *marking the appropriate boxes*. As a reminder, if the providing and receiving projects are both on a converted award then you will need to select them both on page 8.0. This creates an editable allocation to reconcile the carry over funds on the converted project. *Click* "Continue" to advance.

8.0 Select Converted Projects for Rebudget or Carryover

Award ID: 00093075
Award Name: It is intersectional or it is nothing

	ID	Name	Project Manager	Unit	Unit ID	Purpose	Project Type	Start Date	End Date
☐	00114775	Carryover is Fun!- YEAR 1	Bell Hooks	LS-WOMENS STUDIES	32050000	Basic Research		9/16/2015	2/28/2017
☑	00114774	Carryover is Fun!- YEAR 2	Bell Hooks	LS-WOMENS STUDIES	32050000	Basic Research		3/01/2017	2/28/2018

8. On page 8.6, you will perform actions on both the year that funds were unobligated and add the year to which they can now be spent:
    1. Under the drop down menu for "Select the Project", *choose* the project from which the funds are being moved (if the carryover is within the same award).
    2. Then, under the drop down menu for "Select the Funding Allocation", *choose* the corresponding allocation (which is marked as "CNV_PROJID_MOD") for the project.
    3. Use the adjustment (+/-) column to *enter* the reductions by budget category remains.
    4. The Difference field will indicate the total amount (direct and indirect) that is being carried over out of this project.

8.6 Award / Authorized Budget Reconciliation

	Total
Direct	$450,365.60
Indirect	$175,703.12
Total	$626,068.72

	Total
Sponsor Authorized Amount:	$634,247.00
Active Allocation Total:	$626,068.72
Difference	$8,178.28 ④

Select the Project:	Project Name:	Project Start:	Project End:	Project Manager:	Dept ID:	IDC Rate:	IDC Base:	IDC Type:
P0019148 ▼ ①	Carryover is Fun! Year 1	9/30/2016	9/29/2017	Bell Hooks	32050000	52.5%	MTDC	On-Campus Research

Select the Funding Allocation to display:	Allocation Start:	Allocation End:
Allocation 2 ▼ ② Undo All Changes	9/30/2016	9/29/2017

Approved Budget	Baseline	Rollup Adjustments	Adjustment (+/-)	Active Allocation Total
-Person	$282,382.40	$0.00	* $0.00	$282,382.40
-OPS	$0.00	$0.00	* $0.00	$0.00
-Post Doc	$0.00	$0.00	* $0.00	$0.00
-Graduate Student	$0.00	$0.00	* $0.00	$0.00
-Undergraduate Student	$0.00	$0.00	* $0.00	$0.00
Fringe Benefits	$0.00	$0.00	* $0.00	$0.00
Equipment	$0.00	$0.00	$0.00	$0.00
Domestic Travel	$15,000.00	$0.00	* -$5,362.80 ③	$9,637.20

Once this is complete, you will use page 8.6 to also distribute the funds into the next year:

1. *Select* the project into which the carry over funds are being distributed.
2. *Select* the corresponding allocation (which is marked as "CNV_PROJID_MOD").
3. Use the Adjustment (+/-) column to *enter* and increase budget categories to which the funds are being added.
4. The Difference field will indicate the total amount (direct and indirect) that is being carried over into this project.
5. Once complete, *click* "Continue" to advance.

8.6 Award / Authorized Budget Reconciliation

	Total
Direct	$11,197.55
Indirect	$5,878.72
Total	$17,076.27

	Total
Sponsor Authorized Amount:	$8,898.00
Active Allocation Total:	$17,076.27
Difference	-$8,178.27 ④

Select the Project:	Project Name:	Project Start:	Project End:	Project Manager:	Dept ID:	IDC Rate:	IDC Base:	IDC Type:
P0021184 ▼ ①	Carryover is Fun! Year 2	9/30/2017	9/29/2018	Bell Hooks	32050000	52.5%	MTDC	On-Campus Research

Select the Funding Allocation to display:	Allocation Start:	Allocation End:
Allocation 7 ▼ ② Undo All Changes	9/30/2017	9/29/2018

Approved Budget	Baseline	Rollup Adjustments	Adjustment (+/-)	Active Allocation Total
-Person	$5,834.75	$0.00	* $0.00	$5,834.75
-OPS	$0.00	$0.00	* $0.00	$0.00
-Post Doc	$0.00	$0.00	* $0.00	$0.00
-Graduate Student	$0.00	$0.00	* $0.00	$0.00
-Undergraduate Student	$0.00	$0.00	* $0.00	$0.00
Fringe Benefits	$0.00	$0.00	* $0.00	$0.00
Equipment	$0.00	$0.00	$0.00	$0.00
Domestic Travel	$0.00	$0.00	* $0.00	$0.00
Foreign Travel	$0.00	$0.00	* $5,362.80 ③	$5,362.80

9. On page 8.7, Award Financial Summary, it is unlikely you will need to make any changes. If the carryover is between project/budget years on the same award, then the total budget release amount will not change. As a reminder, carryover does not affect the Sponsor Authorized amount.
10. If the Award has Subawards that also require a modification, you will need to follow the process outlined in the separate UFIRST Instruction Guide, "Modifying a UFIRST Subaward". *Click* "Continue".
11. On page 12.0, Completed Award Modification, *enter* the effective date of the modification in Field 1.0. This is either explicitly listed on the sponsor's modification documents or it is the date of last signature.

If the modification has not yet been executed enter today's date and DSP will update this field upon final signature. ***Click*** "Finish" to return to the AWD workspace.

12. ***Click*** "Submit for Review" from the AWD workspace to route the modification to DSP for review and approval.

Additional Resources and References:

- Uniform Guidance: 2 CFR 200.98 Unobligated Balances
- Federal Wide Research Terms & Conditions: Prior Approval Matrix
- NIH Grants Policy Statement: 8.1.1.1 Carryover of Unobligated Balances […]
- UF: Award ID Format Guidance