

CLOSEOUT CHECKLIST FOR GRANTS

		Roles & Responsibilities			
		DEPT	SPAO	ORA	
GREEN ZONE PREPARE GRANT ENDS NEXT MONTH	Timeline	Action			
	30 days prior to termination	ORA sends termination reminder to PI with copy to grants manager. A copy is placed in the grant file along with a closeout checklist sheet.			X X
	30 days prior to termination	The grant file moves from the active file room to postaward closeout files			X
	30 days prior to termination	Send e-mail to collaborating departments with request to process PAF's to remove salaries.	X		
	30 days prior to termination	Forward necessary paperwork to ORA if a no cost extension is being requested for a grant under "expanded authorities".	X		
	30 days prior to termination	Ensure that no cost extensions have been processed or submitted to sponsor			X
	30 days prior to termination	Forward UPAS request for advance account spending authorization in cases where you expect a delay in continuation funding (subawards, for example).	X X		
	30 days prior to termination	Send e-mails to cancel monthly charges (for the following month)	X		
	0 - 30 days prior to termination	Discuss grant account as an agenda item on monthly RSR meeting	X	X	X
	0 - 30 days prior to termination	Review award for final reporting requirements and download forms	X		
	0 - 30 days prior to termination	Postaward runs report from RSR for all "color coded" accounts for follow-up			X
	0 - 30 days prior to termination	Consider if departmental allocation procedures need to be revised due to termination	X		
	0 - 30 days prior to termination	Contact subawardees to remind them of reporting requirements	X		
	14 days prior to termination	Forward PAF's removing salaries from grant to ORA	X		
	14 days prior to termination	Prepare paperwork to terminate open purchase orders	X		
14 days prior to termination	Confirm that monthly charges have been cancelled	X			
14 days prior to termination	Inform appropriate lab staff of grant termination	X			
BLUE ZONE PERSONNEL 0 - 30 DAYS	0 - 30 days from termination	Discuss grant account as an agenda item at monthly RSR meeting	X	X	X
	0 - 30 days from termination	Confirm that PAF's are in process to remove salaries from grant; send reminder to collaborating department	X		
	0 - 30 days from termination	Remind appropriate lab staff of grant termination	X		
	0 - 30 days from termination	Contact consultants, subrecipients and other vendors for outstanding invoices	X		
	0 - 30 days from termination	Confirm that UPAS authorization has been received for grants that will continue. If it has not been received, follow up with department.			X X
	0 - 30 days from termination	Follow up on previous months tasks	X		
	YELLOW ZONE NON-SALARY EXPENDITURES 30 - 60 DAYS	30 - 60 days from termination	Discuss grant account as an agenda item at monthly RSR meeting	X	X
30 - 60 days from termination		Forward Final Invention Statement to ORA for signature, if necessary	X		
30 - 60 days from termination		Confirm that PAF's have been keyed to remove salaries from grant (including any retro piece). If you have a problem obtaining PAF's from a collaborating department, elevate the issue.	X X		
30 - 60 days from termination		Confirm that UPAS authorization has been received for grants that will continue. If it has not been received, send e-mail with one week deadline for receipt.			X X
30 days from grant termination		Check transaction log (against labor distribution) to ensure all PAF's have been received to remove salary. If any PAF's have not been received, an e-mail reminder should be sent to the PI and grants manager			X X
30 days from grant termination		Pursue outstanding invoices from vendors	X		
45-50 days prior to reporting deadline		Prepare projection if financial report or invoice required		X	
45-60 days prior to reporting deadline		Department performs final reconciliation by reviewing projection to ensure •Salaries are commensurate with effort and do not exceed the NIH cap •Expenses are date appropriate •Final expenses for subawardees and consultants are included •Match audit issues have been resolved •Fringe and F & A rates are accurate and have been calculated correctly •The authorized amount is correct and includes carryforwards from prior years	X X X X X X X		
30-60 days from grant termination		Follow up on previous months tasks	X		
ORANGE ZONE REPORT 60 - 90 DAYS		60 - 90 days from grant termination	Discuss grant account as an agenda item at monthly RSR meeting	X	X
	60 - 90 days from grant termination	Actively pursues transactions required to close account			X
	20 days prior to reporting deadline	Update projection if financial report or final invoice required		X	
	21 days prior to reporting deadline	Return the approved projection and processes any final transactions.	X		
	21 days prior to reporting deadline	FINAL TRANSACTIONS MUST BE RECEIVED IN ORA	X		
	5-15 days prior to reporting deadline	Receives ORA approved cost transfers/final transactions		X	
	3-20 days prior to reporting deadline	Prepare financial report or final invoice, department obtains PI approval	X	X	
	1-20 days prior to reporting deadline	Prepare and obtain carryforward support/documentation, if required	X		
	60 days after grant termination	If PAF's have not been received for ALL personnel, ORA will send an e-mail to the PI, grants manager & administrator			X
	Reporting deadline or prior	Submit financial report or final invoice to sponsor; send copy to ORA and department		X	
	Upon submission of financial report	Place report in grant file, noting submission date on the checklist			X
	Upon submission of financial report	Update budget and F&A per financial report or final invoice		X	
	Upon submission of financial report	Process carryforward and budget update, if applicable		X	
	Upon submission of financial report	Process request to return funds, if applicable		X	
	Upon submission of financial report	Process transactions per approved projection such as transfers to next year		X	
Upon submission of technical report	Forward evidence of submission (dated cover page) to ORA	X			
Upon submission of all other documents	Forward evidence of submission to ORA	X			
60 - 90 days from grant termination	Follow up on previous months tasks	X			
RED ZONE ELEVATE MORE THAN 90 DAYS	Ongoing until closed	Discuss grant account as an agenda item at monthly RSR meeting	X	X	X
	Ongoing until closed	Monitor account for final cash receipt (for invoices) <i>SPAO will follow up with sponsor if final cash has not been received within 60 days and again at 90 days. Request collection assistance from ORA if invoice has not been paid within 120 days. ORA will elevate the problem to Legal Counsel as needed.</i>	X X X X	X X X X	X X X X
	Ongoing until closed	Postaward will pursue late transactions with a sense of urgency by forwarding an e-mail to the PI, grants manager, administrator, Chair and Associate Director of Postaward. Outstanding issues will be documented and elevated until resolved			X X
	Ongoing until closed	Review the RSR and elevate any unresolved balances/deficits	X	X	X
	When account "zeroes out"	Postaward will transfer grant file to closeout clerk.			X
	When account "zeroes out"	GL account inactivated so statement no longer generated		X	
	When account "zeroes out"	Clerk will enter grant into closeout database and request any missing final reports from SPAO and/or department. Once all reports are received, and the checklist is complete, the ORA data base will be updated to reflect the closeout. The "purge" date will be scheduled and the file will be placed in the expired file room			X X X
	Up to 3 years after report submitted or per contract if greater	Retain (financial) records related to the award	X	X	X