DEPARTMENT CLOSEOUT CHECKLIST FOR SPONSORED PROJECTS, Version 3.3

To see the descriptions of the acronyms listed below, please go to the Glossary worksheet (second tab).

Contract #: _____   Award ID: _____

Project(s) #: _____   PI _____

Task #	Starting from End Date	Task	Done or N/A	Actions	Notes
		90 DAYS PRIOR TO AWARD END DATE			
1	-90	IF NCE is required, process request via ESPR.			After ESPR request for NCE is approved by sponsor, NO FURTHER ACTION necessary on this closeout task list. OSR-ASRSP will update new end dates in InfoEd and NUFinancials.
2	-90	Notify Subks that PRIME award will be closing.			New Cognos GM092 Subrecipient Monitoring Report is currently under development.
3	-90	Check ERS "Status / To Do" list to see if the PI and other researchers who are paid on the award have any outstanding effort reports which need to be certified.			
4	-90	Work with PI/Lab Manager to create a Final Spending Plan (FSP) for all Chartstrings associated with the award (including subks, student tuition, SDA's and missing payroll).			Review **every** project opened up under the award.
5	-90	Review award Terms and Conditions			
6	-90	Update SES for any stipend and/or tuition being charged to this award.			If competing renewal, new SES Item Types should be requested as soon as the new award chartstring is received.
7	-90	Update FASIS for salaries to be charged to this award.			If competing renewal, failure to update the FASIS Position Funding for new award will result in expenses hitting suspense.
8	-90	Determine if any program income exists, and inform GCFA.			
9	-90	For Fund 191 and Fund 193 cost sharing, verify all items are fully documented, and that the match requirement has been met.			All effort must be backed up by certified cost sharing reports in order to be claimed as matching.
10	-90	If competing renewal exists, work with ACUC and IRB to transfer protocols. Provide CCM with new Chartstring.			
11	-90	If NSF, review Participant Support Cost budget and expenditures. Rebudgeting is *not* allowed without prior approval.			
12	-90	Review other line-item caps or rebudgeting requirements as noted in PAS, award notification, or sponsor guidelines.			
Task #	Starting from End Date	Task	Done or N/A	Actions	Notes
		30 DAYS PRIOR TO CLOSE- Financial closeout and transaction review			
13	-30	Notify research staff and students that award is ending so they stop using the chartstring at the appropriate time.			
14	-30	Notify University Services, internal stores, CCM and recharge centers to stop using the chartstring after the current month's charges are submitted in order to minimize post-award correction journals.			
15	-30	Verify that all expenses are allowable, especially those posted within the last three months of the award. Items such as capital equipment purchases, service contracts, and large supply purchases are generally not allowable during the last three months of an award unless there is a competing renewal.			GCFA will also review audit queries looking for computer equipment, office equipment and supplies, and other restricted items which may have hit the award at any time during the project period.

		Task	Done or N/A	Actions	Notes
16	-30	Verify that all expenses on the FSP are finalized and make a list of expenses you will need to make sure are posted by, or shortly after, the end date (tuition, travel, FASIS journals, cost transfers).			
17	-30	If fabricated equipment on 77535 exist, notify Accounting Services Property Accountant (currently Michael Youakim) and provide list of POs for the fabricated purchases. CC: GCFA			
18	-30	Begin to close out all Blanket Orders. Final expenses should be made on Purchase Orders and must be delivered before the award end date.			
19	-30	Review open encumbrances (purchase orders, on-line vouchers, travel expense reports).			Delete any invalid or obsolete encumbrances in NUFinancials.
20	-30	Resolve effort-related issues sent by Effort Coordinator (if any).			
	Date Range	**Task**	**Done or N/A**	**Actions**	**Notes**
		AFTER PROJECT END DATE- Steps should ideally be completed in the following order			
21	End date + 90	Verify that all encumbrances have cleared.			
22	End date + 90	Confirm all expenses have been posted.			
23	End date + 90	If any tuition or salary has not been posted, notify GCFA to extend project end date in NUFinancials.			
24	End date + 90	IF subks, verify final reports have been submitted to the PI.			
25	End date + 90	Verify that PI has submitted final technical report to sponsor. **Federal award technical reports must be submitted within 90 days of end date.**			Questions regarding these reports should be directed to the OSR GO.
26	End date + 90	Verify that PI has submitted other required reports (Invention report, patent report, etc.)			
27	End date + 90	If there is an **overdraft** after all valid transactions have been posted, there are three options: 1) Issue correction journals to move specific expenses to a non-sponsored chartstring. 2) Inform ASRSP the deficit will be covered by a non-sponsored chartstring and provide chartstring to GCFA. 3) If the cost match requirement has not been met, issue correction journals to move expenses between funds within the project (example, 610 to 191).			Note that payroll charges must be moved to non-sponsored chartstring via a Payroll correction journal initiated by the department. ASRSP *cannot* move payroll charges.
28	End date + 90	For Fund 192 cost sharing, process revenue transfer journal in the amount of final expenses and notify GCFA.			
29	End date + 90	Send back certified GM045 and Program Income Statement to GCFA via email.			

DEPT only Version 3.3 06/15/2016