



OFFICE OF THE VICE CHANCELLOR
FOR RESEARCH

Research Administrators Monthly Meeting April 2018

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Agenda

- **Closeout Presentation**
 - Objective: To understand overall closeout process and to provide general guidelines to follow in order to facilitate timely closeout
- **Questions/Discussion**



ORS Education & Training

🏠 > Sponsored Programs > ORS Education & Training

The Office of Research Services (ORS) is committed to providing training and support to all faculty and staff involved in sponsored program activities and research administration. Sponsored program education is often a combined effort among centralized units such as ORS, the Office of Grants and Contracts (GCO) and various other regulatory offices engaged in the research administration process.

Upcoming Training

Ongoing/Previous Training

📌 Research Administrators Monthly Meetings

2018

- Federal Agency Updates (February)
- Pre/Post Award Guidance on PI Departures (March)

http://research.uic.edu/sponsored_programs/education



Sponsored Project Closeout

Life Cycle of A Sponsored Project



Post-Award Life Cycle



Purpose of Sponsored Project Closeout

- The University has an obligation to sponsors and funding agencies to **bring funded projects to closure in a timely manner**
- The award closeout process is a **collaborative effort of all parties involved** in ensuring all project work has been completed, required reports filed, and financial matters resolved
- Closing policies, procedures, and required documentation **vary depending on the sponsoring agency**

Uniform Guidance 200.243 Closeout

“(a) The non-Federal entity must submit, no later than 90 calendar days after the end date of the period of performance, all financial, performance, and other reports as required by or the terms and conditions of the Federal award. The Federal awarding agency or pass-through entity may approve extensions when requested by the non-Federal entity.”

Note: Some awards may have a shorter closeout period based on their specific terms and conditions.

University's Policy on Closeout

Policy Statement

“The University of Illinois has a responsibility to close out completed sponsored projects in compliance with federal regulations, sponsor policy, and award terms and conditions. Office of Management and Budget (OMB) Circular A-110 (2 CFR 215) and Uniform Guidance (2 CFR 200.343 Closeout) require that final financial, performance, and other reports be submitted within 90 calendar days after the project end date.”

<https://www.obfs.uillinois.edu/bfpp/section-16-grants-research-contracts/sponsored-project-closeout/close-sponsored-project>

Federal Policies on Closeout

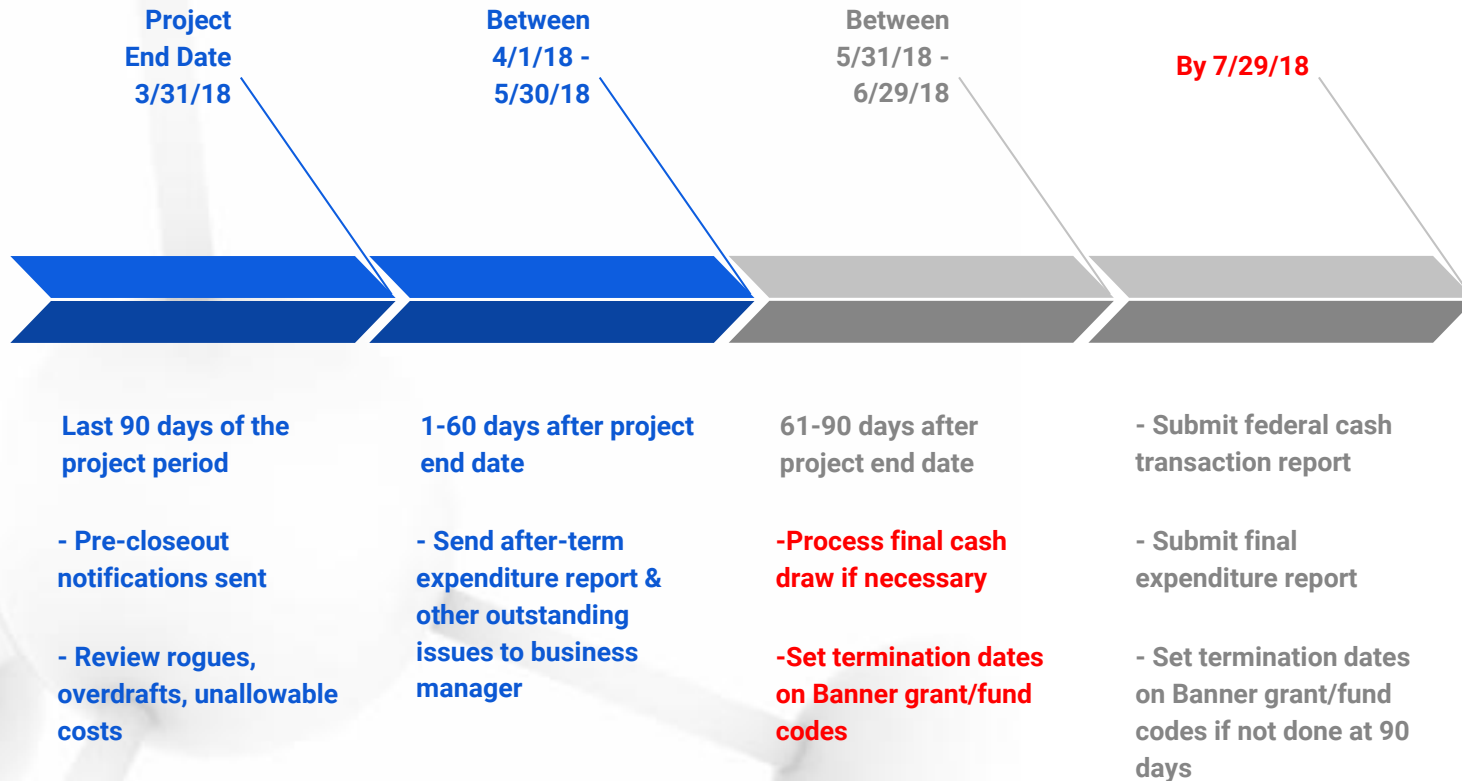
Grants Oversight and New Efficiency (GONE) Act

- NIH
 - Recipients must submit closeout documents within 120 calendar days of the end of the period of performance (project period). The reports become overdue the day after the 120 calendar day period ends (NIH Grants Policy Statement [Section 8.6](#)).
 - [NOT-OD-18-107](#)
- NSF
 - Grants will be financially closed out on the first day of each month for all awards with end dates of 120 or more days prior to the financial closeout day

Why Is Timely Project Closeout Critical?

- To ensure receipt of final payment
- Save time, money, and reputation of the institution
- Protect withholding of new awards campus-wide by the awarding agency
- Prevent suspension of payments for costs incurred on other projects funded by the same agency

Closeout Timeline



Note: Above timeline is for most federal awards closeout.

For non-federal awards or federal pass-through awards, reports or final invoices may be due within 30 days, 45 days or 60 days after the award end date

Special Emphasis on HHS Award Closeout

- UG §200.343 requires us to close out awards within 90 days after project end even though NIH/NSF allows 120 calendar days to submit final reports
- NIH may initiate unilateral closeout if timely accurate reports are not submitted and NIH will close the award at the lowest reported amount
 - Cash draw amount
 - Final expenditure reported on federal financial report (FFR)
 - Final expenditure reported on federal cash transaction report (FCTR)

Special Emphasis on HHS Award Closeout

- Timely closeout of an HHS award occurs when

Cash Draw = Final Expenditure Reported on FFR = Final Expenditure Reported on FCTR

How do we ensure everything matches on 3 different reporting systems?

Timing is critical (see chart on next slide)!

HHS Closeout Timeline

Award End Date	Final Expenditure Must be Posted by units <u>within 60 days after award end date</u>	Final Cash Draw Must be Completed by GCO within 90 days after award end date	FFR Submitted by GCO within 120 days after award end date	Quarterly Federal Cash Transaction Report (FCTR) Due By
Jan 31 st	Mar 31 st	May 1 st	May 31 st	Apr 30 th
Feb 28 th	Apr 29 th	May 29 th	Jun 28 th	July 30 th
Mar 31 st	May 30 th	Jun 29 th	July 29 th	July 30 th
Apr 30 th	Jun 29 th	July 29 th	Aug 28 th	July 30 th
May 31 st	July 30 th	Aug 29 th	Sept 28 th	Oct 30 th
Jun 30 th	Aug 29 th	Sept 28 th	Oct 28 th	Oct 30 th
July 31 st	Sept 29 th	Oct 29 th	Nov 28 th	Oct 30 th
Aug 31 st	Oct 30 th	Nov 29 th	Dec 29 th	Jan 30 th
Sept 30 th	Nov 29 th	Dec 29 th	Jan 28 th	Jan 30 th
Oct 31 st	Dec 30 th	Jan 29 th	Feb 28 th	Jan 30 th
Nov 30 th	Jan 29 th	Feb 28 th	Mar 30 th	Apr 30 th
15 Dec 31 st	Mar 1 st	Mar 31 st	Apr 30 th	Apr 30 th

Closeout Documents and Responsibilities

Document/Report Name	PI/Unit Business Office	Central Office (Pre-Award)	Central Office (Post-Award)
Final Financial Report			X
Final Payment Request/ Invoice			X
Collection of Outstanding Receivables			X
Final Cost Sharing Certification	X		X
Property Report	X		X
Contractor's Release, Refund, Rebates, and Credits			X
Final Technical/Progress/ Programmatic Report	X	X	
Final Invention Statement	X	X	
Final Patent Certification	X	X	

Closeout Responsibilities

Investigator / Department

- **Completes items on Closeout Checklist**

<https://www.obfs.uillinois.edu/common/pages/DisplayFile.aspx?itemId=96443>

- Review award expenditures
- Ensure subawards are finalized
- Resolve open encumbrances/incomplete invoices
- Remove overdrafts
- Provide cost-share reports

- **Finalize all related forms and reports**

- Technical
- Invention
- Patent

Closeout Responsibilities

Office of Research Services

- Verify Patent/Invention documentation with Office of Technology Management (OTM) to ensure consistency
- Sign-off on Property Certification, Patent Certification, and Final Invention Statements
- Once finalized, closeout documents are signed and submitted to the sponsor via email/applicable electronic system or hard copies returned to department for submission to sponsor

Closeout Responsibilities

Grants & Contracts Office

- Send advance closeout notice to department
- Send after term charges report for department review
- Review selected items of costs for allowability
- Confirm with PI and business manager that all expenses are final
- Submit final invoice and or final financial report to sponsor as applicable
- Prepare final cash draw, if necessary

Closeout Responsibilities

Grants & Contracts Office (Cont)

- Dispose of unexpended cash balances per terms and conditions, and campus policy*
- Close subaward encumbrances
- Set termination dates in Banner to close award

* [Section 16.5.1 - Chicago Disposition of Unexpended Balance on Fixed Price Agreements](#)

Common Issues/Barriers

- Overdrafts
- Continuous spending
 - salary
 - service center charges (RRC, BRL, telecom)
- No signed cost share certification
- Open POs & incomplete invoices
- Payments tied to deliverables (late)

How to achieve a successful and timely closeout?

- Communication is key amongst:
 - PI and project team
 - Research coordinators, grant managers and HR personnel
 - With service centers
 - With vendors and subcontractors
- Prevent late cost transfers
- Reconcile monthly to avoid surprises

Why you should care about an accurate and timely closeout?

- Potential non-payment
- Repayment of funds
- Loss of current and/or future funding
- Compromise institution's reputation
- Compromise expanded authorities
- Unfavorable Single Audit
 - Labeled as high-risk auditee
 - Increased monitoring and oversight
 - Changes in processes and procedures
 - Loss of funding
 - Time loss

Resources

- **OBFS Section 16 Project Closing Procedures**
<https://www.obfs.uillinois.edu/cms/One.aspx?portalId=77176&pageId=92534#07>
- **Closing Out an Award**
<https://www.obfs.uillinois.edu/grants/chicago-campus/essentials/closing-out-award>
- **UIC Sponsored Project Closeout Checklist**
<https://www.obfs.uillinois.edu/common/pages/DisplayFile.aspx?itemId=96443>
- **Uniform Guidance -- 200.343 Reporting and Closeout**
<https://www.gpo.gov/fdsys/pkg/CFR-2014-title2-vol1/xml/CFR-2014-title2-vol1-sec200-343.xml>

Questions/Discussion



Next Meeting

Wednesday, May 16 from 1-2pm

Topic:
Understanding Unobligated Balance
Carryover and Carryover Request
Process