

AWARD CLOSEOUT CHECKLIST - §200.344 CLOSEOUT

The reason for the award closeout checklist is to ensure compliance with sponsor terms, fiscal policy, and federal regulations, including proper commitment and allocation of allowable expenditures, ensuring that work carried out by subs is complete, the approval and monitoring of expenditures, timely correction of errors, and timely submission of programmatic deliverables and reports. Chapman University is required by most federal sponsors and many private sponsors to submit final financial closeout reports (set forth in the terms and conditions of the award/contract) within 30-120 days after the award end date or sooner if required by the sponsor.

Uniform Guidance 2 CFR 200.313(e) states "When original or replacement equipment acquired under a Federal award is no longer needed for the original project or program or for other activities currently or previously supported by a Federal awarding agency, except as otherwise provided in Federal statutes, regulations, or Federal awarding agency disposition instructions, the non-Federal entity must request disposition instructions from the Federal awarding agency if required by the terms and conditions of the Federal award." To ensure compliance with regulations under UG §200.313, the Principal Investigator and their respective department should notify the Fixed Asset department regarding the disposal or transfer of the purchased equipment associated with the applicable sponsor requirements for both federal and non-federal grants.

Please review the list and complete the tasks pertaining to you, and email the checklist to sps@chapman.edu

No-Cost Extensions (NCE): If additional time to complete the work on a project is necessary, work with a pre-award administrator at the Office of research to request the extension.

Initiation date:

Project#:

Award ID:

PI:

College/School/Institute/Center:

PI	Principal Investigator
SPA	Sponsored Projects Analyst, Grants Analyst, or similarly functioning position at college/unit level
Dept	Departmental Operation Administrators
SPS CGA	Sponsored Projects Services Contracts & Grants Administrator (university level)

Who	Task	Completed or N/A	Notes
	90 DAYS PRIOR TO AWARD END DATE		
SPA	Notify sub-awardee that PRIME award will be closing and ask for a final projection for remaining invoices. *		
SPA	Go over the projection for the next 90 months with the PI to confirm all upcoming expenses.		
SPA	Review award Terms and Conditions for any unusual deliverables or reporting requirements.		
SPA	Confirm effort/salary charged to the project is accurate and process ERCRs to correct salary charges and move personnel off the project, if applicable. **		
Dept	If there is cost sharing, ensure that commitments have been met and posted. Ensure all expenses are allowable.		
PI	Work with IACUC and IRB to transfer protocols, if appropriate.		
Dept	Review the inventory of all equipment purchased by the grant funds.		
SPA/Dept	Review equipment charges posted to account codes. Ensure the capital and non-capital charges have been posted to the correct account.		
SPA/Dept	Verify that all posted 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.		
SPA/Dept	Make sure all expenses from pre-award spending (if applicable) have posted to the grant.		

* Follow-up to ensure invoices are received and paid.

** Follow-up to ensure the ERCRs are processed to stop recurring salary and fringe.

Who	Task	Completed or N/A	Notes
	30 DAYS PRIOR TO AWARD END DATE		
Dept	Notify PI and staff that all expenses must be submitted by the end of the project. *		
SPA/Dept	Check to verify that the ERCRs have been processed and that no salary or fringe will post to the grant after the end date.		
SPA/Dept	Verify effort commitments are appropriate.		
SPA/Dept	If a recent invoice has not been received, contact the sub-awardee to determine a timeline for final invoices.		
Dept	Begin to close out all Blanket Orders and clear open encumbrances. Final expenses should be made on Purchase Orders, vouchers, and expense reports and must be received before the award end date. *		
Dept	Contact lab/vivarium/any collaborating units prior to end date to provide new account information.		
Dept	If there is cost sharing check to make sure all cost share commitments have been met and posted.		

* Expenses that occurred during the project period may still be posted within 30 days after the project end date unless earlier closeout is required by the sponsor.

Who	Task	Completed or N/A	Notes
	AFTER PROJECT END DATE		
SPA/Dept	Confirm all expenses have posted to the grant and are allowable, allocable, and reasonable.		
Dept	Verify that all encumbrances have cleared.		
SPA/Dept	Confirm salary and fringe are no longer posting to the grant.		
SPA/Dept	Confirm that sub-awardee's Final invoice has been received and paid. Also verify that the final report has been submitted to the PI.		
PI/Dept	GRANT-RELATED EQUIPMENT DISPOSALS- If equipment was purchased with this grant and there are sponsor requirements for disposal or transfer of equipment, then the PI and the department must work with the Fixed Asset department to take the appropriate actions. The requirements (if applicable) are indicated in the "Notes" box in column D.		
PI	Verify that PI has submitted all required reports.		

Forms & Resources links

[JE Template](#)

[SPS ERCR](#)

[Cost Transfer](#)

Fixed asset department <https://www.chapman.edu/campus-services/campus-controller/financial-services/fixed-assets/index.aspx>

<https://webfarm.chapman.edu/SurplusAssetForm/>

<https://www.chapman.edu/research/sponsored-projects-services/post-award/reporting-closeout.aspx>

<https://www.chapman.edu/research/sponsored-projects-services/post-award/financial-mangement.aspx>