

The Research Foundation for SUNY

BREAKTHROUGH

to Excellence

THE 2017 RESEARCH
ADMINISTRATORS' SYMPOSIUM



CLOSEOUTS 2017 SYMPOSIUM

April 5, 2017

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CLOSEOUTS

- **Uniform guidance impact on closeout procedures**
- **When to begin closeout**
- **Examples of closeout procedures**

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- **Federal agencies will be adhering more stringently to 90 day post-award closeout requirements (2 CFR 200.343)**
 - **PMS (Payment Management System) – Has capability to flag awards as expired funding and require all requests after 90 days past term get sponsor approval (NASA Goddard and some DHHS)**
 - **ASAP (Automated Standard Application for Payments) – The award drops off the system at 90 days past term and is inaccessible to draw from if sponsor sets up funding in this way (EPA, some Energy awards, USDA NIFA, and EDA)**
 - **G5 (Department of Education) has a last day to draw flag and funds drop off after this date, usually 90 days after term**
 - **NSF ACM\$ - Grant drops off of download file after 90 days but we can manually request adjustments for an additional 90 days. After this the funds are no longer available for draw no matter what the circumstances.**

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CLOSEOUTS

- **Awards should be closed on a timely basis and according to sponsor guidelines**
 - **Review award notice terms and conditions (examples)**
 - **Cost sharing commitments**
 - **Salary restrictions**

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Review closeout terms

- **Deliverables**
- **Required reports**
- **Where to send documents and number of copies**

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- **Criteria to Close an Award**
 - All deliverables have been met (progress reports, etc.)
 - Cash position must equal expenditures (within \$.50)
 - IDC analysis performed and adjust if necessary
 - No open purchase orders
 - No salary encumbrances
 - No unposted AP invoices and all PO's have been closed
 - No open accounts receivable invoices

- **Examples of processes**

- **Buffalo State College**
- **Stony Brook University**
- **SUNY Cortland**
- **Central Office**

- **Buffalo State College**

Lisa Gatti and Susan Maerz

- **Buffalo State College**

[Closeout Checklist.doc](#)

[Closing E BSC.doc](#)

[Closeout email to PI BSC.docx](#)

- **Stony Brook University**

Ana Maria Goncalves and Michele Hass

- **Stony Brook University**

[Closing an Award and Project SB.pdf](#)

- **SUNY Cortland and Central Office**

Liz Speziale and Jan Eden

- **SUNY Cortland and Central Office**

Reconciling accounts on a regular basis will help in managing the sponsored projects to ensure expenditures and revenues are within appropriate limits and guidelines. Effective award management supports the PI in accomplishing the statement of work on time, within budget, and in compliance with University and RF policy, as well as sponsor regulations and assists in the timely and efficient close out process.

- **SUNY Cortland and Central Office**

- **For centralized campuses, the Central Office A/R staff rely on department managers and financial staff to provide oversight on expenditures ensuring:**
 - **Expenditures are included in the budget**
 - **Funds are spent appropriately in compliance with all campus, RF and sponsor policies**
 - **Valid Oracle budget categories are consistently and accurately used**
 - **Processes and internal controls are in place**

- **SUNY Cortland and Central Office**

Central Office A/R staff requests finalizations from centralized campuses confirming all expenditures have posted and are accurate, all encumbrances are cleared, all POs are closed, and an ASI (Award Summary Inquiry) is attached. The finalization also states whether the project is going to continue or needs to be closed and if there is a cost share award, whether that should be closed also.

Finalization of Account

35 State Street
Albany, NY 12207



To: RF Operations

No. of pages transmitted: _____

Attn: _____

Date: _____

From: _____ Campus: _____

Award Number: _____ Project Number: _____ Task Number _____

The above named award can be submitted for final billing/final financial reporting and, upon receipt of final payment, may be closed.

- I certify that all encumbrances have been cleared and all expenditures entered.
- I certify that all salary suspense items related to this award have been checked and cleared.
- I certify that all IFR payments for this award have been processed.
- I certify that all PO's related to this award have been closed.
- A "Project Detail" print showing the total direct costs is included with this transmittal. **F&A expenditures will be verified by OSPS.**
- If any **inventions/subcontracts/property**, form DD882 and/or Property Inventory and Disposition form completed and attached.
- Project Closing: (check one)
 - Please close the project(s) corresponding to this award.
 - The project will continue. Do **NOT** close the project.
- Please close the corresponding Cost Share Award. #: _____

(Authorized Signature)

Date: _____

- **SUNY Cortland and Central Office**

Upon receipt of the finalization, the Central Office A/R staff will do a final review of expenditures on the grant to ensure financial compliance, prepares ALL financial reports and submits to sponsor, and begins the process of refunding any unspent funds if necessary. A/R staff will work closely with the campus financial contacts to provide any documentation necessary for sponsor or internal audits and to ensure a timely and efficient close out process.

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QUESTIONS?

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