Grant Closeout Changes
Coming July 2012
TO: Business Administrator  
PHYSICS  
0011

FROM: John G. Unruhe, Director and DOLG PROVINE  
Sponsored Research Services, Accounting Division  
ML 0222

DATE: September 9, 2011

RE: Award Name: UND SUB PHY-0713396  
Budget Period: 9/15/2007 to 8/31/2011  
Account Number: 1006180  
Principal Investigator:

The above referenced account has ended as of 8/31/2011. In order for the Accounting Division to proceed with the final reconciliation, you must take the following steps:

- Verify all final accounting figures. Certify all salary expenses are reflected in SAP. Attach copies of pending CTTs, pending vendor invoices, and any other pending charges.
- Take appropriate action for any outstanding encumbrances.
- If cost sharing is required, attach third party documentation letters, if applicable, and pending transactions to record additional UC cost sharing.
- Accounting will test a random sampling of transactions for allowability and will determine if additional review is necessary. Please provide the necessary backup when requested.
- If there has been an extension, please send a copy of the agency/sponsor approved letter to Sponsored Research Services, Grants Management Division.
- For awards shared by more than one department and/or multiple investigators, the primary Principal Investigator (PI) or designated business person must insure coordination of close-out related items, including but not limited to, communication of balances, overdrawals, and transfers.
- Verify that Final Invention Statements, Final Equipment Reports and Final Technical Reports have been submitted (if applicable).

I certify that the above steps have been performed, and Accounting may proceed with closing out the award, including the filing of any necessary financial reports. I understand I will be notified of the final reconciled accounting figures before the final report is filed.

Authorized Signature ___________________________ Date ___________

Confirmation response by mail or fax required no later than 45 calendar days from the budget period end date for awards that have a 90 deadline. Sub-awards require a 30 day response unless sponsor requires a final report before this.

cc: 1006180 File, Ce P1
Changes – Overview

• Closeout letter by e-mail
• Inclusion of deadline dates & other data
• All correspondence and final approval by e-mail
• Replaces CL1 and CL2
<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data 1</td>
<td>Data 2</td>
<td>Data 3</td>
<td>Data 4</td>
</tr>
<tr>
<td>Data 5</td>
<td>Data 6</td>
<td>Data 7</td>
<td>Data 8</td>
</tr>
</tbody>
</table>

**General Considerations**

- Consideration 1
- Consideration 2
- Consideration 3

Initial E-mail to department
Deadline Dates

• Confirmation response - Halfway to final financial report - Provide all requested information - If not complete, list all outstanding items and amounts.
b) Voluntary Cost Share Amount: $ 0.00

5) Random expenses will be audited for allowability (see screen print below). Additional backup and justification may be required depending upon the findings.

6) If an extension was requested or approved, please send a copy of the documentation to the appropriate SRS Grants Management GA and SRS Accounting GA.

7) For awards shared by more than one department and/or multiple investigators, the primary Principal Investigator (PI) or designated business person must ensure coordination of close-out related items, including but not limited to, communication of balances, overdrafts, and transfers.

8) Failure to provide documentation of expenses from items #2 and #5 above will result in their disallowance. Your RIA account will be charged for any unresolved expenses.

9) Verify Final Invention Statements, Final Equipment Reports and Final Technical Reports have been submitted (if applicable).

I certify that the above steps have been performed. SRS-Accounting may proceed with closing out the award, including the filing of any necessary financial reports. I understand I will be notified of the final reconciled accounting expenses before the final report is filed.

**Confirmation Response**: Response is required by mail, e-mail or fax no later than 45 calendar days from the budget period end date (by 4/14/2012).

*Please list all outstanding items, amount, and status below. Your reply indicates that these are the only outstanding issues. If the item has not yet been recorded in SAP, indicate when you expect it to be reflected. Add lines as needed (or attach separate listing). Please provide backup documentation for items listed.

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Amount</th>
<th>Status</th>
<th>Cost Share(Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Deadline Dates

- Confirmation response - Halfway to final financial report - Provide all requested information - If not complete, list all outstanding items and amounts.

- Final deadline - The SRS-GA will take action to close the grant. Unresolved expenses will be charged to the department's responsible account if necessary.
d.

Total Pending

All items must be posted to SAP in order to be included in the financial report to the sponsor. For NIH awards, any expenses not posted will be listed as unliquidated obligations on the financial report, and will be used in the next budget period (as long as you are within the same competitive segment). Please review with your GA to ensure proper procedure and documentation is followed.

**Finalization:** All requirements must be completed within 68 calendar days from the budget period end date (by 5/7/2012). If not, we will report the final expenses provided to you by SRS Accounting (amount reflected in SAP/BW adjusted for undocumented and disallowed expenses – see item #8 above). The account will be closed and all required financial reports submitted. If the report must be filed with deficient documentation, your department is responsible for any disallowed costs.

cc: 1005951 File, Cc PI

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**CLOSEOUT SAMPLING**

Please provide backup for the following. An account string must be provided for any entry not verified:

<table>
<thead>
<tr>
<th>Sponsored Class</th>
<th>T.Curr.</th>
<th>RefDocumnt</th>
<th>Entry Date</th>
<th>Pstng Date</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>PT OPERATG EXPENSE</td>
<td>82.12</td>
<td>100849484</td>
<td>7/27/2008</td>
<td>7/27/2008</td>
<td>CC DE3400CON SIGMA ALDRICH</td>
</tr>
</tbody>
</table>
Procedure

1. Preclose letter sent as now.
2. Grant ends. E-mail created & sent to SRS-AD GA.
3. Dept completes steps & provides backup by confirmation date in e-mail.
4. GA reviews e-mail, edits & sends to BA & PI.
5. GA reviews, asks for more info as needed, processes final adj with dept input and closes grant. If no dept input, GA closes grant and removes unverified expenses.
Closeout E-mail Process Comments

- The closeout e-mail will be sent by the responsible SRS-AD grant administrator shortly after the end date of the grant.
- Responses between department and SRS-AD should preserve past messages so past history is readily available (forward don’t reply).
- No signed CL1 letter - acceptance via e-mail.
Dear Doug,

Yes, all of the requirements are complete. Thank you.

Kellee Adams
Grant Administrator II
Department of Chemistry
University of Cincinnati
404 Rieveschl
ML 0172
Voice: 513-556-9300
Fax: 556-2118
email: kellee.adams@uc.edu

Please consider the environment before printing this email.

Hi Kellee: Thanks for the information on where to move the expense. It has been processed. Below is what I then think is my final reconciliation (though I will have to wait for the next draw for the Revenue to match the Expenses). As you can see the account is no longer overdrafted, but now $663 underspent.

Let me know if I can consider all of the closeout requirements completed from your end, and that I can finish closing the grant after the Revenue is corrected.

Thanks,
Douglas