Sponsored Project Closeout Tasklist FAQs

Information added since the most recent (11/19/2014) version of the FAQs is listed in *underlined italics*.

**GENERAL QUESTIONS**

- **What am I supposed to do with the Closeout Tasklist?**
  The Closeout Tasklist is intended to be a detailed work list providing guidance to departments as it pertains to their closeout activities, and serves as a tool for the maintenance of notes, action items and the department’s closeout status. This document will replace the current closeout checklist, as well as the clinical research closeout checklist; the submission of this document will signal to OSP that the final financial report or invoice is ready to be completed and submitted to the sponsor.

- **What is the Closeout Tasklist? How is it different from the closeout checklist?**
  The Closeout Tasklist will serve as a detailed work list that will be used in preparation before and throughout the closeout process. It will also be used to confirm that the expenses posted to the fund code/WBSE are allowable, allocable, and reasonable, and that the fund code/WBSE is ready to have a final financial report/invoice completed and submitted to the sponsor.

  The initial Excel version will prepare departments for use of the Duke@Work version, once development of the electronic version is complete. The new electronic (Duke@Work) version is expected to be very similar in content and format.

- **Why is the Closeout Tasklist so long?**
  The Closeout Tasklist is intended to facilitate the completion of necessary processes and documentation throughout the closeout process. However, specific categories that may not be applicable to a specific fund code can be *collapsed by checking the N/A at the top of the section*, thus shortening the form. For example, the Equipment and External Subrecipient section will only need to be completed if the WBSE includes those relevant expenses.

- **When will the Duke@Work version of the Closeout Tasklist be available?**
  This Closeout Tasklist is currently scheduled for availability in 2016.

- **Where do I find the Sponsor Due Date?**
  The Projects Approaching End Date report provides this information. The sponsor’s award documentation specifies all award terms and conditions, including the due dates of the final report/invoice as well as any other deliverables.

  The Projects Approaching End Date report is available in Duke@Work under the Grants Management tab: Duke@Work→Grants Management→Sponsored Research Reporting (includes MyResearch reports for Grant Manager)→Projects Approaching End Date
If you do not have access to the Grants Management tab in Duke@Work, contact your SAP Security Administrator (list maintained here) and request the “Grants Management” role on the Financials tab of the Security Admin tool.

- **Where do I get the OSP Due Date (Closeout Docs Due)?**
  The Projects Approaching End Date report provides this information. The Projects Approaching End Date report is available in Duke@Work under the Grants Management tab: Duke@Work→Grants Management→Sponsored Research Reporting (includes MyResearch reports for Grant Manager)→Projects Approaching End Date

If you do not have access to the Grants Management tab in Duke@Work, contact your SAP Security Administrator (list maintained here) and request the “Grants Management” role on the Financials tab of the Security Admin tool.

- **Where can I find a table of Due Dates for different projects?**
  Below is a matrix of common Sponsor Due Dates and OSP Due Dates for sponsored projects at Duke. The first column lists the sponsor report/invoice due date (in “number of days after the project ends”) while the second lists the corresponding due date of closeout documentation to OSP.

<table>
<thead>
<tr>
<th>SPONSOR DUE DATE</th>
<th>OSP DUE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the Sponsor Report is Due x Days After Project End...</td>
<td>Then Closeout Docs Due to OSP x Days After Project End...</td>
</tr>
<tr>
<td>30</td>
<td>15</td>
</tr>
<tr>
<td>60</td>
<td>45</td>
</tr>
<tr>
<td>90</td>
<td>60</td>
</tr>
<tr>
<td>120</td>
<td>90</td>
</tr>
</tbody>
</table>

- **When can I start using the Closeout Tasklist?**
  Effective Nov. 20th, you can use the Closeout Tasklist. It is available at the RACI Closeout Project site.

- **Do I need to complete a separate Closeout Tasklist for each WBSE?**
  Yes. Specific categories that may not be applicable to a specific fund code can be collapsed, thus shortening the form. For example, the Tasklist for a subrecipient subcode only requires completion of the subrecipient section; other sections such as Human Subjects should be checked N/A.

  The PI Attestation can be consolidated to include multiple funds codes that may be associated with the same project (parent WBSE), but a separate Closeout Tasklist must be completed for each fund code/WBSE.
SPECIFIC CATEGORY QUESTIONS

• **One of the response boxes on the Closeout Tasklist is “In-Progress.” When is this an appropriate response?**
  The In-Progress box indicates that action has been taken on a specific item, but the task is not yet completed. For example, if personnel effort and salary need to be reallocated from the ending WBSE and a cost distribution change has been submitted for the PI but not the lab staff, this line item would be considered In-Progress. A reference to the status of the progress should be included (transaction number for JV, iForm, trip number) in the Comments box.

  _Best Practice/Clean Close: any cost distributions/payroll adjustments should be completed and posted to the fund code/WBSE before submitting the Closeout Tasklist._

• **What type of information should go in the Comments box? How am I supposed to use this field?**
  The Comments box will allow you to compile information and/or document the status of various action items. This field will help you throughout the closeout process by providing an information repository that you or other individuals can reference throughout the completion of the Closeout Tasklist. Status notes in the Comments box would be critical to a coworker or supervisor picking up a project to close after you had started the work.

• **Do I have to complete all category sections of the Closeout Tasklist even if the category is not applicable for my award?**
  No. You should check the N/A box at the top of the section (**which will collapse that section**), and skip to the next relevant section (representing the type of expenses on the ledger for that WBSE).

• **What if a residual balance needs to be split between several fund codes?**
  OSP will transfer any allowable residual to one fund code, and the department can then redistribute to additional fund codes if necessary.

PERSONNEL

• **How do I confirm committed effort?** *(Personnel, 1.1)*
  The SOM/SON research administrators should reference the Sponsored Effort System (SES), keeping in mind that the original submitted and approved committed effort will be with the original proposal and award documentation. Campus research administrators should reference the proposal and award documentation. Ensure compliance with any sponsor-approved committed effort changes during the life of the project.

• **What is an Interdepartmental Cost Distribution?** *(Personnel, 1.3)*
  An Interdepartmental Cost Distribution is a cost distribution/payroll adjustment for a faculty or staff member who is housed outside the award recipient’s BFR (org unit), thus requiring communication with another org unit to facilitate a cost distribution/payroll adjustment.

• **What is a supplemental payment?** *(Personnel, 1.7)*
A supplemental payment is a mechanism that allows an employee to be paid for work performed outside of their normal job responsibilities. This is especially applicable to Campus, where faculty members routinely receive supplemental pay for summer salary.

**EXTERNAL SUBRECIPIENTS**

- **If the WBSE is for an external subaward, do I need to submit a Closeout Tasklist?** *(External Subrecipient 4.0)*
  Yes, but you only complete the *External Subrecipient* section of the Closeout Tasklist.

- **Do I need to receive the final invoice from any external subrecipients in order to submit the Tasklist?** *(External Subrecipients 4.1)*
  No – the subrecipient’s final invoice is typically due to Duke 60 days after the end date of the subrecipient agreement, which is often the due date of the closeout documents. However, it is prudent to obtain an estimated final invoice amount from your subrecipient in order to complete final projections.

**TRAINING/CAREER DEVELOPMENT**

- **Are obligation worksheets still required for institutional training grants?** *(Training/Career Development Awards 5.3)*
  Yes – any unliquidated obligations that need to be reported on the FFR also need to be captured on the obligations worksheet.

**HUMAN SUBJECTS/IRB**

**SCHOOL OF MEDICINE CRU/CLINICAL RESEARCH SPECIFIC QUESTIONS**

- **Are there any changes for the CRU closeouts?**
  Yes – both the closeout checklist and the clinical research closeout checklist have been incorporated into the new Closeout Tasklist. The Closeout Tasklist replaces both checklists.

- **Does the clinical research closeout checklist still need to be submitted in addition to the Closeout Tasklist?** *(Human Subject/IRB 6.0)*
  No, the Closeout Tasklist replaces the clinical closeout checklist.

- **Will there be a new CRU Closeout Policy?**
  Yes – SOM Finance and DOCR are modifying the CRU Closeout Policy. It is expected to be published at the beginning of January 2015.

- **When should I use the new Closeout Tasklist?**
  The Closeout Tasklist is available now and is the preferred closeout document going forward.

- **When will SOM/DOCR and OSP reject the current/former closeout checklists?**
  The current/former closeout checklists will no longer be accepted after June 30, 2015.

- **The Human Subjects/IRB section is really long. Which questions do I complete for Federal studies? Foundation studies? Industry sponsored studies?**
There are five components of the Human Subjects/IRB section:

- Human Subjects/IRB (general questions)
- Human Subjects/IRB - Final Financial Reconciliation for Industry Sponsored Clinical Research Only
- Human Subjects/IRB Continued - CRU Approvals for Industry Sponsored Clinical Research Only
- Human Subjects/IRB Continued - SOM/DOCR Approvals for Industry Sponsored Clinical Research Only
- Human Subjects/IRB Continued - After Closeout is Approved, for Industry Sponsored Clinical Research Only

The first section should be completed for all CRU studies. The last four only need to be completed for the industry sponsored clinical research studies.

**Will the Duke@Work version be this complicated?**

No. The intention is to incorporate the clinical research portfolio so that there is one process for sponsored project closeouts. The Duke@Work version is expected to have functionality to simplify the process, including what is required for clinical research. The development of the electronic tool will begin in April 2015. CRUs should begin using the Closeout Tasklist so that any feedback regarding the tool can be incorporated into the tool’s development.

**Do I have to complete all sections for the industry sponsored clinical research studies?**

No – for industry sponsored clinical research, only the Human Subjects/IRB section and the PI attestation need to be completed.

**What is the submission process for federal and foundation clinical research studies?**

Please send the closeout documentation, i.e., the signed Closeout Tasklist, ZF114 (if applicable), Obligations Worksheet (if applicable), and PI Attestation to OSP via email: sponsoredprograms@duke.edu.

If you submit the Closeout Tasklist as a completed Excel file (instead of a printed/signed/scanned PDF version), you must check the “Electronic Submission” box above the Final Attestation statement to affirm your acceptance of the attestation language, and type your name in the appropriate box below.

**What is the submission process for industry sponsored clinical research studies?**

The Closeout Tasklist must be reviewed, signed, and sent to DOCR.Help@dm.duke.edu. Both DOCR and the SOM Finance office will perform a review to ensure the CRU has properly closed out the study. Upon review, each will sign and authorize the close-out of the study.

**Do I need to submit the Closeout Tasklist to OSP for an industry sponsored clinical research study?**

No. Once the balance in the Fund Code is ZERO, send an email to OSP and request the closure (deactivation) of the Fund Code (sponsoredprograms@duke.edu) indicating Clinical Research Fund Code Closure in the subject line.

**RESOURCES/REPORTS**

**How do I access/run the Projects Approaching End Date report?**

This report is available in Duke@Work under the Grants Management tab: Duke@Work→Grants Management→Sponsored Research Reporting (includes MyResearch reports for Grant Manager)→Projects Approaching End Date
• **How do I access/run the Project Obligations report?**
The report is available as a drill-down feature of the Projects Approaching End Date report, or directly in Duke@Work under the Grants Management tab:
*Duke@Work→Grants Management→Sponsored Research Reporting (includes MyResearch reports for Grant Manager)→Project Obligations*

• **Where do I go for help with completing the Closeout Tasklist?**
Please contact your Implementation Team:
- SOM Implementation Team: SOM.Implementation@dm.duke.edu
- Provost Area Implementation Team: campus-implementation@duke.edu

**PI ATTESTATION**

• **Does the Closeout Tasklist require a PI signature?**
  No, there is a separate PI Attestation that has specific language targeted for the PI to certify. The PI Attestation is completed separately, should be signed by the PI, and should be submitted with the Closeout Tasklist. If the PI Attestation is being completed for both the parent code and subrecipient code on the same form, the PI needs to sign on only 1 of the signature lines.

• **What do I do if the PI is not available when signature is needed?**
The department is advised to have the PI provide their approval via email, and then obtain the PI’s signed attestation upon their return.

**CLOSEOUT DOCUMENTATION SUBMISSION**

• **What format is required for submission of closeout documentation?**
  You can submit a scanned version of a physically signed document, or an Excel version with the “Electronic Submission” box checked.

• **Is a second signature required on the Closeout Tasklist?**
  A second signature is optional at this time, but can be used at the discretion of departments and schools/management centers.

• **Do I still need to submit a ZF114 with the Closeout Tasklist?**
  Yes, a completed ZF114 report will remain a required closeout document until the Duke@Work version of the Closeout Tasklist is available and related technology tools supersede the ZF114.

• **May I submit the closeout documentation before the OSP Due Date?**
  Yes.

  *Best Practice/Clean Close: If you choose to do so, please keep in mind that the vision of clean close includes not only the timely submission of closeout documentation to OSP, but that all expenses have posted to the WBSE by the submission of documentation. If you have expenses that still need to post, hold off on an early submission so that as many expenses can post as possible, and thus you have fewer expenses to track and reconcile to close the fund code after the fact.*
• **May I submit the closeout documentation for subrecipient subcodes before submitting the rest of the documents for the same project?**
  The Closeout Tasklist and PI Attestation can be submitted early for subrecipient subcodes to help facilitate the payment of external subrecipients’ final invoices. The PI Attestation for subrecipient subcodes will take the place of the current *Certification of Adequate Technical Performance* form currently required of the PI by OSP.

• **If I submit the closeout documentation, and then need to submit revised documentation, may I still do that?**
  At this time, revisions will still be accepted. As institutional progress continues in support of a clean close environment, the acceptance of revised closeout documents will be significantly limited.

• **For what reasons will OSP return closeout documentation?**
  OSP will return closeout documentation if the WBSE is incorrect, if there is a signature missing, or if an Obligation Worksheet is required, but not submitted. The ZF114 will be returned if it is submitted with errors.

• **How do I submit the closeout documentation?**
  Please send the closeout documentation, i.e., the signed Closeout Tasklist, ZF114 (if applicable), Obligations Worksheet (if applicable), and PI Attestation to OSP via email: sponsoredprograms@duke.edu.

  If you submit the Closeout Tasklist as a completed Excel file (instead of a printed/signed/scanned PDF version), you must check the “Electronic Submission” box above the Final Attestation statement to affirm your acceptance of the attestation language, and type your name in the appropriate box below.

• **How do I obtain an additional signature from my manager?**
  While not institutionally required, some org units may opt to route Closeout Tasklists through a second individual for review & signature before submitting to OSP. If the Tasklist is being printed for signatures, this is a straightforward process. If the Tasklist is submitted as an Excel file (to gain efficiencies by avoiding the printing/signing/scanning process), the Grant Manager can check the Electronic Submission box and type their name below, while the second signatory could type their name in the appropriate box before saving and submitting the Excel file via email. This is a local management decision that should reflect the processes best suited to each org unit.

• **When will the “old” closeout checklist no longer be accepted by OSP and closeout documentation returned to the department?**
  A six-month transition period is expected for the Closeout Tasklist (*through FY2015*). However, everyone is encouraged to initiate your next closeout with the Closeout Tasklist, as this period will also be used to obtain feedback from users. This will be the best way to identify any improvements that may need to be made.

  *Please provide feedback to your Implementation Team:*
  - **SOM Implementation Team:** SOM.Implementation@dm.duke.edu
  - **Provost Area Implementation Team:** campus-implementation@duke.edu

• **Do I always have the option of reviewing the final report/invoice? What is the process?**
If the closeout documentation is submitted on time, you have the option of reviewing the final report/invoice before it is submitted to the sponsor. However, if the closeout documentation is submitted after the OSP deadline, the first priority is to meet the sponsor’s deadline, and review of the final report/invoice may not be possible.