# Departmental Closeout Calendar

Best Practices for when to begin various closeout tasks and associated responsibilities. Activities begun in a certain timeframe may need continued work and follow-up throughout the closeout process. **Always review award documents to confirm particular sponsor requirements that may vary from general practices.** Closeout Tasklist Sections are referenced below where applicable.

<table>
<thead>
<tr>
<th>Responsibilities:</th>
<th>Resources:</th>
<th>GAPs:</th>
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</table>
| • Initiate NCE Conversation with PI and Review Sponsor Guidelines for NCE Requests  
• Initiate Tasklist and Review All Sections for Applicability  
• Update Projections through Project End Date  
• Communicate Project End Date and Closeout Timeline with Internal/External Subrecipients  
• Initiate Communications with PI and other Departments as needed to Plan for Effort Changes (Section 1)  
• Initiate Conversation with PI re: IRB Protocol (Section 6)  
| • Projects Approaching End Date  
• SPS NCE Request Form *(coming early 2016)*  
• Closeout Tasklist and Quick Reference  
• Templates for Subrecipient Communications  
• Projections Tool  
| • 200.180 Closeout of Sponsored Project  
• 200.190 Parent/Child Sponsored Project Management  
• 200.280 Monitoring Subrecipients – Federal Funds  |
| • Continue Progress on Responsibilities Above  
• Initiate NCE Request, if Applicable  
• Update Projections  
• Confirm Sponsor Required Effort Commitments are Met  
• Initiate Payroll Actions, Including Necessary Retroactive Effort Adjustments (Section 1)  
• Review Award Document and Ledger for Compliance  | |
| • Review and Remind PI of Programmatic Reporting Requirements (Section 8)  
• Follow-Up with Subrecipients (Section 4)  
• Ensure All Effort is Removed as of Project End Date (Section 1)  
• Review Equipment, if Applicable (Section 2)  
• Review Revenue, if Applicable (Section 7)  | | |

In Addition to Above:

- **Payroll Deadline Calendars**
- Project Obligations Report
- Weighted Average Report
- Employee Data Search/iForm Initiation
- Payroll Access Quick Reference
- ZFR1E ITD Report (SPCAS, SPREVWGL)
- CAS/Rebudget Form

In Addition to Above:

- Workflow Status by Cost Object and Quick Reference

In Addition to Above:

- 200.170 Effort Reporting  
- 200.171 Cross Organizational Unit Payroll Management on Sponsored Projects  
- 200.320 Direct Costing on Sponsored Projects  
- 200.340 Cost Accounting Standards (CAS) on Sponsored Projects  
- 200.100 Capital Equipment Purchases on Sponsored Projects  
- 200.290 Program Income – Federal Grants and Contracts  

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### Responsibilities:
- Continue Progress on Responsibilities Above
- Terminate All Commitments (Section 3)
- Remove Any Unallowable Charges (Section 3)
- Request/Confirm Subrecipient Final Invoice Amount (Section 4)
- Prepare PI Attestation for Signature and ZF114 Report
- Complete Obligations Worksheet; Training Grants Only (Section 5)
- Submit All Closeout Docs to closeoutdocs@duke.edu
- Review and Approve Final Subrecipient Invoice for Payment (Section 4)

### Resources:
- In Addition to Above:
  - CoreResearch@Duke and Training Site
  - PO Closer *(coming early 2016)*
  - PI Attestation
  - Obligations Worksheet
  - ZJ Cost Transfer Tool
  - ZF114 and Quick Reference
  - Final Subrecipient Invoice Quick Reference
- In Addition to Above:
  - ZF600 Past Due Closeouts Report
  - Transfer On JV – YG Doc Type *(coming July 2016)*

### GAPs:
- 200.150 Cost Transfers on Federally Sponsored Projects
- 200.285 Subrecipient Invoicing: Late Final Invoices

### Contacts
- ORA: Assigned RA found at [http://research.som.duke.edu/about-office/ora-assignments](http://research.som.duke.edu/about-office/ora-assignments)
- ORS: Assigned AD or [ors-grant@duke.edu](mailto:ors-grant@duke.edu)
- OSP: [sponsoredprograms@duke.edu](mailto:sponsoredprograms@duke.edu)
- Subrecipient Management Team: [ospsubcontractmgmt@duke.edu](mailto:ospsubcontractmgmt@duke.edu)
- SOM Implementation Team: [SOM.Implementation@dm.duke.edu](mailto:SOM.Implementation@dm.duke.edu)
- Campus Implementation Team: [campus-implementation@duke.edu](mailto:campus-implementation@duke.edu)
- Closeout Docs Submission: [closeoutdocs@duke.edu](mailto:closeoutdocs@duke.edu)
- CoreResearch@Duke: [joseph.m.rusnak@duke.edu](mailto:joseph.m.rusnak@duke.edu)

### SAP Reports
- ZFR1E Inception to Date: SPCAS, SPREVWGL
- ZF418 Non-Salary Cost Transfers (ZJ)
- F-65 JV (Transfer On Doc Type YG) - *coming July 2016*
- ZF114 Transactions After End Date
- ZF600 Past Due Closeouts

### Duke@Work Tools/Reports
- Sponsored Research Reporting
  - Projects Approaching End Date
  - Project Obligations Report
  - Workflow Status by Cost Object
- eRA@Duke Management
  - CAS/Rebudget Form
- Effort and Payroll Tools and Reports
  - Employee Data Search/iForm Initiation
  - iForms Workflow Status by Cost Object
  - Weighted Average Report
- Projection and Reporting Tool
  - Projection Reports
- PO Closer - *coming early 2016*

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