### Award Management - Project
- Continue discussions with PI regarding project status and future plans (based on sponsor guidelines)
  - Will NCE be requested? If yes, communicate with Pre-award office/enter in SPS
  - Will IRB Protocol continue? If yes, discuss applicable system requirements with research staff
- Review projected expenses to avoid cost overrun or confirm with PI how deficit will be managed
- Contact internal sub(s) to communicate project ending and clarify reporting responsibilities

### Compliance
- Review sponsor and award specific terms to ensure compliance with guidelines (CAS, effort requirements, cost sharing, tuition remission, etc.)

### External Subrecipient
- Begin dialogue with subrecipient, reminding them of final invoice due date and reporting requirements
- Research and resolve outstanding invoice issues

### Duke@WORK - Projects Approaching End Date Report
- Identify projects that are ready for initiation of the closeout process
- Confirm closeout due dates and sponsor due dates
- Review personnel allocation with PI
- Review & update with additional projected expenses from PI/lab/research coordinators

### CAS Compliance
- Review CAS Compliance report to identify non-compliant project line items and make corrections

### SAP - ITD report (ZFR1E)
- Review expenses for accuracy and compliance, address any budget vs actual concerns
- Plan for cost overrun or expected deficit, if applicable
- Address unresolved CAS/rebudget issues

### ZF600
- Review award data for closeout guidance (Federal award, due dates, LOC attribute, etc.)

### Closeout Tasklist - Initiate Closeout Tasklist
- Determine if single or multiple WBSE Closeout Tasklist submission
- Multiple WBSEs can be included in a single workbook as long as they meet ALL of the following criteria:
  - Parent/Child relationship
  - Same BFR
  - Same PI
- Determine applicable sections, collapse sections that are not applicable in each worksheet

---

### 90 Days Prior to Project End

#### Award Management
- Complete NCE request with Sponsor through SPS, if applicable
- Notify closeout team of pending NCE for SAP status update (DEPT2), terminating closeout notifications

#### Compliance
- IRB Protocol Status – continue conversation with PI and Research Staff
  - Request eIRB status update
- Request all applicable CAS items

#### External Subrecipient
- Follow up with subrecipient if concerned with ability to meet final invoice or technical report deadlines

#### Duke@WORK
- Discuss with PI plans for new effort distribution
- Initiate communications with collaborating departments to plan for cross departmental effort changes
- Resolve outstanding purchase order obligations and existing standing purchase orders

#### Payroll Tools
- Confirm project effort requirements have been met (Weighted Average Report)

#### SAP
- Review expenses for accuracy and compliance
- Resolve outstanding CAS items and ensure documentation is in place for reviewable G/Ls

### Closeout Tasklist
- Update questions and sections as progress is made

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### 60 Days Prior to Project End

#### Award Management
- Complete NCE request with Sponsor through SPS, if applicable
- Notify closeout team of pending NCE for SAP status update (DEPT2), terminating closeout notifications

#### Compliance
- IRB Protocol Status – continue conversation with PI and Research Staff
  - Request eIRB status update
- Identify and resolve any CAS items

#### External Subrecipient
- Follow up with subrecipient if concerned with ability to meet final invoice or technical report deadlines

#### Duke@WORK
- Discuss with PI plans for new effort distribution
- Initiate communications with collaborating departments to plan for cross departmental effort changes
- Resolve outstanding purchase order obligations and existing standing purchase orders

#### Payroll Tools
- Confirm project effort requirements have been met (Weighted Average Report)

#### SAP
- Review expenses for accuracy and compliance
- Resolve outstanding CAS items and ensure documentation is in place for reviewable G/Ls

#### Closeout Tasklist
- Update questions and sections as progress is made

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**Achieving Clean Close**

Proactive management will lead to a successful, clean and timely closeout.
# Sponsored Projects Closeout Timeline

## 30 Days Prior to Project End

<table>
<thead>
<tr>
<th>Department</th>
<th>Task</th>
</tr>
</thead>
</table>
| **Award Management**   | • Notify PI, lab manager, staff, etc. that WBSE will be ending soon and should not be used for procurement or with any internal billing entities (DLAR, IRs, etc.) after the project end date  
                         • Communicate approaching project end with CorporateCard/TRaC Rep to expedite pending transactions  
                         • Review programmatic reporting requirements with PI |
| **Compliance**         | • IRB Protocol Status – continue conversation with PI and research staff  
                         ✓ Request eIRB status update  
                         ✓ Update status with Maestro Care, submit request 1 week prior to project end (if applicable)  
                         • Address all outstanding CAS concerns and rebudgets |
| **External Subrecipient** | • Follow up with subrecipient regarding reporting and invoicing deadlines  
                         • Obtain final invoice estimate, if not already received  
                         • Verify with Duke PI there are no concerns with outstanding subrecipient deliverables |
| **Project Obligation Report** | • Confirm plan is in place for payroll obligations to ensure all effort is removed by project end date  
                         • Resolve outstanding purchase order obligations |
| **Workflow Status Report** | • Identify and expedite the processing of pending workflow items |
| **Payroll Tools**      | • Initiate cost distribution changes to reallocate effort (Employee Data Search)  
                         • Follow up on cost distribution changes submitted but are still pending approval in workflow |
| **SAP**                | • Review expenses for accuracy and compliance  
                         • Ensure appropriate budget amounts are in place for any CAS items |
| **Closeout Tasklist**  | • Complete questions in applicable sections |
| **PI Attestation**     | • Generate PI Attestation  
                         • Estimate project unobligated balance to include on PI Attestation  
                         • Confirm PI’s availability at project end for signature |

## Project End

Finalize closeout documents and ensure all pending obligations have been resolved. Advise appropriate individuals/groups funding has ended and provide new WBSE if applicable.

<table>
<thead>
<tr>
<th>Department</th>
<th>Task</th>
</tr>
</thead>
</table>
| **Award Management**   | • Advise lab & departmental staff that WBSE is no longer available for use  
                         • Notify internal service centers that WBSE is closed & provide new code if applicable (DLAR, CCF, etc.)  
                         • Reinforce expectations with Internal Subs (closeout responsibility role, reporting needs, etc.)  
                         • Notify CorporateCard/TRaC Rep that no additional charges should be posted  
                         • Complete Obligations Worksheet if applicable (Training Grants only) |
| **Compliance**         | • IRB Protocol status – Confirm eIRB status update  
                         ✓ Submit Maestro changes 1 week prior to project end date (if applicable)  
                         ✓ Confirm requested changes have been made in Maestro Care (if applicable)  
                         • Resolve remaining CAS concerns and confirm completion of all rebudgets |
| **External Subrecipient** | • Confirm final invoice amount and remaining budget balance  
                         • Obtain final invoice & reports as needed  
                         • Follow appropriate business unit process when approving final invoice payment via eCR |
| **Project Obligation Report** | • Confirm all payroll obligations have been removed  
                         • Resolve outstanding procurement obligations |
| **Workflow Status Report** | • Confirm all workflow items have been resolved |
| **SAP**                | • Review for accuracy and compliance  
                         • Ensure consistency between expense categories and completed Closeout Tasklist sections  
                         • Remove unallowable expenses |
| **ITD report (ZFR1E)** | • Execute one fiscal period after project ends to identify transactions posted after project end date |
| **Closeout Tasklist**  | • Complete remaining questions  
                         • Resolve items previously indicated as “In-Progress” |
| **PI Attestation**     | • Confirm project unobligated balance to included on the PI Attestation  
                         • Obtain PI signature, scan and save for submission with closeout documents |
## Sponsored Projects Closeout Timeline

### Closeout Docs Due Date

<table>
<thead>
<tr>
<th>Award Management</th>
<th>Project</th>
<th>• Review Programmatic Reporting requirements with PI, assist as needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>• IRB Protocol Status – Request eIRB status update&lt;br&gt;✓ Confirm status with Maestro Care (if applicable)</td>
<td></td>
</tr>
<tr>
<td>External Subrecipient</td>
<td>• Confirm final invoice has posted in SAP; if not, include amount on Closeout Tasklist</td>
<td></td>
</tr>
<tr>
<td>Duke@WORK Project Obligation Report</td>
<td>• Ensure there are no future effort allocations&lt;br&gt;• Confirm all obligations have been removed</td>
<td></td>
</tr>
<tr>
<td>Workflow Status Report</td>
<td>• Verify no workflow items exist</td>
<td></td>
</tr>
<tr>
<td>SAP ITD report (ZFR1E)</td>
<td>• Review WBSE for activity until project is closed in SAP</td>
<td></td>
</tr>
<tr>
<td>ZF114</td>
<td>• Regenerate ZF114 to confirm accuracy</td>
<td></td>
</tr>
<tr>
<td>ZG52/53</td>
<td>• Monitor the status of closeout documents (includes parent and sub status)</td>
<td></td>
</tr>
<tr>
<td>Closeout Tasklist</td>
<td>• All sections should be 100% complete or N/A; if any barriers are identified, contact your Implementation Team prior to submission&lt;br&gt;• Email with corresponding documentation to <a href="mailto:closeoutdocs@duke.edu">closeoutdocs@duke.edu</a></td>
<td></td>
</tr>
<tr>
<td>PI Attestation</td>
<td>• Include signed &amp; dated document with closeout submission to <a href="mailto:closeoutdocs@duke.edu">closeoutdocs@duke.edu</a></td>
<td></td>
</tr>
</tbody>
</table>

### Sponsor Due Date

Monitor project for activity until closed in SAP. If new activity is found, communicate with your Implementation Team as soon as possible.

<table>
<thead>
<tr>
<th>Award Management</th>
<th>Project</th>
<th>• Confirm submission of Programmatic Reporting as required by sponsor (assist PI with completion as necessary)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance</td>
<td>• Confirm final eIRB status&lt;br&gt;• Confirm Maestro changes have taken place</td>
<td></td>
</tr>
<tr>
<td>ITD report (ZFR1E)</td>
<td>• Monitor activity until WBSE has reached a closed status in SAP&lt;br&gt;• Ability to obtain copy of final invoice submitted to sponsor</td>
<td></td>
</tr>
<tr>
<td>ZG52/53</td>
<td>• Monitor status of closeout documents and submission of final financial report to sponsor (includes status of both parent and sub(s))</td>
<td></td>
</tr>
<tr>
<td>CJ03</td>
<td>• Ability to view WBSE system status&lt;br&gt;• Ability to view or download a copy of final financial report submitted to sponsor</td>
<td></td>
</tr>
</tbody>
</table>

### Resources

The first point of contact for closeout questions is your Implementation Team.

<table>
<thead>
<tr>
<th>Closeout</th>
<th>Implementation Teams</th>
<th>Campus: <a href="mailto:campus-implementation@duke.edu">campus-implementation@duke.edu</a>&lt;br&gt;SOM: <a href="mailto:som.implementation@dm.duke.edu">som.implementation@dm.duke.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Administration Training &amp; Quick References</td>
<td><a href="http://finance.duke.edu/research/training/other.php">http://finance.duke.edu/research/training/other.php</a></td>
<td></td>
</tr>
<tr>
<td>Duke@WORK Grants Management Guide</td>
<td><a href="https://finance.duke.edu/resources/training/stepbystep/grants/GrantManagementGuide.pdf">https://finance.duke.edu/resources/training/stepbystep/grants/GrantManagementGuide.pdf</a></td>
<td></td>
</tr>
<tr>
<td>SAP</td>
<td>Step-by-Step instructions (all)</td>
<td><a href="http://finance.duke.edu/systems/training/steps.php">http://finance.duke.edu/systems/training/steps.php</a></td>
</tr>
</tbody>
</table>