

UWG PROCEDURE NUMBER: 4.2.4, Grant Closeout Procedure

Authority: UWG POLICY 4.2 (Research Grants, and Sponsored Projects)

This document establishes the procedure for closing out externally funded sponsored agreements.

This procedure applies to all individuals submitting a University of West Georgia sponsored grant or project.

The Associate Vice President of Academic Affairs, pursuant to the authority of UWG Policy 4.2, establishes the following procedures for compliance with UWG Policy 4.2 on Research, Grants, and Sponsored Projects:

A. Overview

The Office of Research & Sponsored Projects (ORSP) and the Principal Investigator (PI) must work together to coordinate the award closeout process. A well-defined process is necessary to ensure that sponsoring agencies receive the required final progress/program and financial reports within the parameters established in the terms and conditions of the awards. PIs are held responsible and accountable for preparing and submitting all technical, narrative, invention, equipment, and patent reports, as applicable.

Grants are considered closed when all the work has been performed to the granting agency's satisfaction or upon the termination date specified in the award. Closeout is an Award Management activity that officially ends the award relationship.

B. Responsibilities

The following provides a brief overview of the responsibilities of the PI and the ORSP closing out a grant/project.

1. Principal Investigator Responsibility

- a. Confirm that the project end date indicated in the initial closeout memo from the ORSP matches the project period end date in their records.
- b. Check the award notice to verify due dates and requirements for final reports.
- c. Determine whether the scope of work will be completed by the project period end date or if a no-cost extension will be necessary. If an extension is necessary, the PI will contact the ORSP Post Award Office for further instructions.
- d. Identify any budget redistributions needed in order to ensure the expenditure of funds in accordance with the sponsor award terms and conditions. For some redistributions written permission from the sponsor is required.
- e. Verify that all intended purchases and salaries have been expensed to the grant.
- f. Verify that all deliverables have been met and, in the event of a Fee for Service Contract, a confirmation of completion has been received from the sponsor and forwarded to the ORSP.
- g. Verify that all applicable reports have been submitted to the sponsor and copies submitted to the ORSP.
- h. Maintain research records as noted in the USG Records Retention Schedules.

2. ORSP Responsibilities

- a. The ORSP sends an email notifying the PI of the upcoming award closeout at 90, 60, and 30 days prior to the project period end date. These emails list the project period end date, the current available balance in the award, a Closeout Check List for the PI, and a current account reconciliation including a detailed list of all expenditures to date.
- b. If the PI has determined that a no-cost extension is necessary, the ORSP will work with the PI and the sponsor to request a no-cost extension for the project. Although requests may not be made for the sole purpose of spending remaining funds, the PI may expend remaining funds during the no-cost extension period.
- c. The ORSP will prepare all final financial reports, submit them to the sponsor, and provide a copy to the PI.
- d. The ORSP will prepare the necessary documents to closeout the grant/project with Business & Finance and the PeopleSoft financial system.
- e. Upon closure of the award, the ORSP will send the PI and the Budget Contact a *Notice of Closed Grant/Project* containing information on the final state of the grant at the end of the project.

C. Documents

Closeout Check List for PI's – This document is a tool provided to the PI to assist them in navigating through their closeout responsibilities.

Notice of Closed Grant/Project – This document is completed by the ORSP and sent to the PI as a final verification that the grant/project is closed.

UWG ORSP Grant Closeout Check List – This document is completed internally by the ORSP. The purpose is to ensure that all financial aspects of the grant are closed out properly.