The Closeout Timeline is a proactive outline of responsibilities that will guide Research Administrators to achieving clean close by identifying and assisting with the resolution of items that could hinder the closeout process.

This timeline will assist Research Administrators with achieving clean close, which is defined by all project related (allowable, allocable and reasonable) expenses posted to the WBSE prior to submission of closeout documentation by the closeout docs due date. Refer to Closeout of Sponsored Project GAP 200.180 and other associated Sponsored Research GAPs.

### 90 Days Prior to Project End

**Action:**
- Initiate Tasklist
- Communicate expectations with Internal & External Subs

**Analysis:**
- Intention for NCE
- Reconciliation/Validations completed and reviewed for compliance issues throughout post award management
- Options and plans for future effort distributions
- Balance projections

### 60 Days Prior to Project End

**Action:**
- Address relevant Tasklist items
- Resolve outstanding obligations and invoices
- Remove any unallowable expenses
- Identify and resolve any compliance issues: CAS, IRB, and all other Duke or Sponsor related guidelines

**Analysis:**
- Confirm compliance with all sponsor terms and conditions

### 30 Days Prior to Project End

**Action:**
- Address relevant Tasklist items
- Initiate effort change distributions
- NCE submission in SPS

**Analysis:**
- Confirm compliance with all Duke and Sponsor guidelines (CAS, IRB, etc.)
- Balance monitoring
- Communication end date with relevant staff, departments, etc

### Project End

**Action:**
- Address relevant Tasklist items
- Initiate/Review/Approve iForms to remove effort
- Expedite items in Workflow
- Confirm backstop code
- IRB Protocol updates
- Obtain external sub invoice estimate
- Generate PI Attestation

**Analysis:**
- Balance estimate

### 30 Days After Project End

**Action:**
- Address outstanding Tasklist items
- Confirm removal of cost distributions
- Resolve outstanding obligations
- Resolve outstanding items in Workflow
- Obtain final invoice estimate from Ext Subs
- Review programmatic reporting with PI
- Complete PI Attestation & obtain signature

### 30 Days After Project Submission

**Action:**
- Analyze Late Activity if it occurs.
- Action may or may not be necessary
- Reach out to your IT for guidance

### Closeout Due Date

**Action:**
- Execute Project Obligations Report – confirm no entries exist
- Execute Workflow Status by Cost Object Report – confirm no entries exist
- Execute iForm Workflow Status by Cost Object Report – confirm no entries exist
- Execute CAS Compliance Report – confirm no entries exist
- Submit Tasklist and PI Attestation, include Obligations Worksheet if applicable

### After Closeout Submission

- Analyze Late Activity if it occurs.
- Action may or may not be necessary
- Reach out to your IT for guidance

**Rev. 11/10/2016**
**Award Management**

**Project**
- Continue discussions with PI regarding project status and future plans (based on sponsor guidelines)
  - Will NCE be requested? If yes, reference NCE Checklist and Procedural Guidance
  - Will IRB Protocol continue? If yes, discuss applicable system requirements with research staff
- Review projected expenses with PI and update projections. If cost overrun anticipated, confirm with PI how deficit will be managed. If balance anticipated, review sponsor guidelines with PI
- 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
- Confirm receipt of consecutive invoices. Research and resolve outstanding invoice issues

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**Projects Approaching End Date Report**
- Identify projects that are ready for initiation of the closeout process
- Confirm closeout docs due dates and sponsor due dates

**Projection Tool**
- Review personnel allocation with PI and discuss updates to personnel plans with Business Manager/HR
- 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 (ZFR1E) report**
- Review expenses for accuracy and compliance, address any budget vs actual concerns
- Plan for cost overrun or carry forward, if applicable
- Address unresolved CAS/rebudget issues

**Master Data (CJ03)**
- Review WBSE’s backstop code

**Sponsored Research Tracker (ZF600)**
- Review project 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 and collapse those that are not applicable in each worksheet

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**Sponsored Projects Closeout Timeline**

### 90 Days Prior to Project End

- Continue discussions with PI regarding project status and future plans (based on sponsor guidelines)
  - Will NCE be requested? If yes, reference NCE Checklist and Procedural Guidance
  - Will IRB Protocol continue? If yes, discuss applicable system requirements with research staff
- Review projected expenses with PI and update projections. If cost overrun anticipated, confirm with PI how deficit will be managed. If balance anticipated, review sponsor guidelines with PI
- Contact internal sub(s) to communicate project ending and clarify reporting responsibilities

### 60 Days Prior to Project End

- Complete NCE request with Sponsor through SPS, if applicable
- Continue conversations with PI

**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

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**Project Obligation Report**
- Discuss plans for new effort distribution(s) with PI or Business Manager
- 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**

**ITD (ZFR1E) report**
- Review expenses for accuracy and compliance
- Resolve outstanding CAS items and ensure documentation is in place for reviewable G/Ls

**Closeout Tasklist**

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

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**Quick Reference**

**Proactive management will lead to a clean and timely closeout, with little/no late activity.**

**Identify and plan for removal of existing payroll obligations. Ensure resolution of all CAS items and rebudgets.**
## Sponsored Projects Closeout Timeline

### 30 Days Prior to Project End

| Award Management | Project | • 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  
| Duke@ WORK | 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 Reports | • Identify and expedite the processing of pending workflow items, including iForms transactions  
| 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 | ITD (ZFR1E) report | • 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 and confirm PI’s availability at project end for signature  
• Request balance information from internal subcodes and estimate project balance using Estimated Balance Calculator required on PI Attestation  

### Project End

| Award Management | Project | • Advise lab & departmental staff that WBSE is no longer available for use  
• Update CoreResearch & notify internal service centers that WBSE is closed. Provide new code if needed  
• Reinforce expectations with Internal Subs (closeout responsibility role, reporting needs, etc.)  
• Notify CorporateCard/TRaC Rep that no new charges should be posted  
• Complete Obligations for Training Grants 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  
| Duke@ WORK | Project Obligation Report | • Confirm all payroll obligations have been removed  
• Resolve outstanding procurement obligations  
| Workflow Status Reports | • Confirm all workflow items have been resolved, including workflow for iForms transactions  
| SAP | ITD (ZFR1E) and/or Line Item (CJI3) reports | • Review for accuracy and compliance  
• Ensure consistency between expense categories and completed Closeout Tasklist sections  
• Confirm no unallowable expenses remain  
| Master Data (CJ03) | • Verify WBSE backstop code is accurate  
• Confirm GM1/GM2 fields are entered and align with business unit process for Modified iForms Workflow and Transfer Off Tool  
| Closeout Tasklist | • Complete remaining questions and resolve items previously indicated as “In-Progress”  
| PI Attestation | • Finalize Estimated Project Balance required on PI Attestation  
• Obtain PI signature, scan and save for submission with closeout documents  

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Remove unallowable charges. Resolve outstanding items that could delay closeout or impact clean close.

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

Submission of Closeout Docs

<table>
<thead>
<tr>
<th>Award Management</th>
<th>Compliance</th>
<th>Review Programmatic Reporting requirements with PI</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>External Subrecipient</td>
<td>Verify current status of final invoice. Include amount of expected outstanding invoice(s) and status on Closeout Tasklist if final invoice not yet posted in SAP</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Project Obligation Report</th>
<th>Ensure there are no future effort allocations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workflow Status Reports</td>
<td>Verify no workflow items exist, including iForms transactions</td>
</tr>
</tbody>
</table>

SAP

<table>
<thead>
<tr>
<th>ITD (ZFR1E) and/or Line Item (CJI3) reports</th>
<th>Review WBSE for activity until project is closed in SAP</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONS (ZGS2) and/or Closeout Docs Status (ZGS3) reports</td>
<td>Monitor the status of closeout documents (includes parent and sub status)</td>
</tr>
</tbody>
</table>

Closeout Tasklist

<table>
<thead>
<tr>
<th>Closeout Tasklist</th>
<th>All sections should be 100% complete or N/A; if any barriers are identified, contact your Implementation Team prior to submission</th>
</tr>
</thead>
<tbody>
<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>
</tr>
</tbody>
</table>

Sponsor Due Date

<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></td>
<td>Compliance</td>
<td>Confirm final eIRB status</td>
</tr>
<tr>
<td></td>
<td>ITD (ZFR1E) and/or Line Item (CJI3) reports</td>
<td>Monitor activity until WBSE has reached a closed status in SAP</td>
</tr>
<tr>
<td></td>
<td>CONS (ZGS2) and/or Closeout Docs Status (ZGS3) reports</td>
<td>Monitor status of closeout documents and submission of final financial report to sponsor (includes status of both parent and sub(s))</td>
</tr>
<tr>
<td>SAP</td>
<td>Master Data (CJ03)</td>
<td>Ability to view WBSE system status</td>
</tr>
</tbody>
</table>

Resources

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

Implementation Teams

| Campus: campus-implementation@duke.edu |
| SOM: som.implementation@dm.duke.edu |

Quick Reference Guides, Tools, and Resources

https://finance.duke.edu/raci/closeout/resources/index.php

Sponsored Research GAPs

https://finance.duke.edu/accounting/gap/index.php#SPS

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Grants Management Guide

https://finance.duke.edu/resources/training/stepbystep/grants/GrantManagementGuide.pdf

SAP

Step-by-Step instructions (all)

http://finance.duke.edu/systems/training/steps.php