

NC STATE UNIVERSITY



Financial System

College & Department Closeout Process Ledger-5 Projects

May 2009
Screenshots Updated November 2010

Table of Contents

Introduction.....	3
Getting Help.....	4
Getting Started	5
Inquiry.....	6
How to route a closeout	8
How to complete a closeout.....	8
Cost Sharing.....	12
Certifications.....	13
Approvals	15
Comments & Extension/Continuations	16
How to Print a Closeout	17
Revised Closeouts	18
How to Remove a Closeout	19
Fixed Price Project Closeout	20
Workflows	21
E-mail Notifications	23
Helpful Hints	24
Warning Message & Actions Steps.....	25
Sample of Printed Closeout	30

Introduction:

With the implementation of the E-Closeout System, individual business processes will be modified. Closeouts for Sponsored Projects will be electronically routed by the Office of Contracts and Grants to the various business units for processing, review and approval.

Project segments with Fiscal Manager Code X, N, W, T, F and K are excluded from this process.

Projects enter the closeout process based on specific agency reporting (i.e., Interim or Final) requirements and the **Budget End Date** versus the Project End Date.

New attributes have been added to create a **Closeout Information Box** within the Project Attribute & Maintenance Section of Financials. This Box includes information regarding the type of closeout(s) necessary to meet the agency financial reporting requirements, and the reporting dates for both Contracts and Grants and the Agency. This box will also include updates on the current processing status of the closeout.

Depending on the business practice of the college, closeouts will either be prepared at the College level or routed to the Departmental Bookkeeper/Contract Manager for processing.

The following instructions will be covered:

- How to navigate through Financials and the E-Closeout Process
- Entering data
- Modifying data
- Inquiry
- Approval
- Printing data
- Workflow

Getting Help

Colleges and Departments are **NOT** required to submit a SAR request to provide security access.

If you are in a CBO, CBM or TEARS role and need access or need to change your access, please contact Thelia Burrell or Julie Brasfield in the Office of Contracts and Grants via e-mail.

- Send an e-mail message with your OUC (i.e., department id), full name, and desired role

Primary Contact: Thelia_Burrell@ncsu.edu

Secondary Contact: Julie_Brasfield@ncsu.edu

Note:

Departmental Bookkeeper/Contract Manager access will be provided by the CBO/CBM during the routing process

If you need Technical Assistance (e.g., my screen will not appear, my password doesn't work, etc.) please contact the ETSS Help Desk using one of the following methods:

- Send an e-mail message describing the problem to: help@ncsu.edu

When sending an e-mail message to the ETSS Help Desk, you will receive a return e-mail notification from the ETSS Help Desk acknowledging the receipt of your e-mail. Your Problem ID number will be listed in the return notification. E-mail, rather than via phone, is the best way to contact the Help Desk initially.

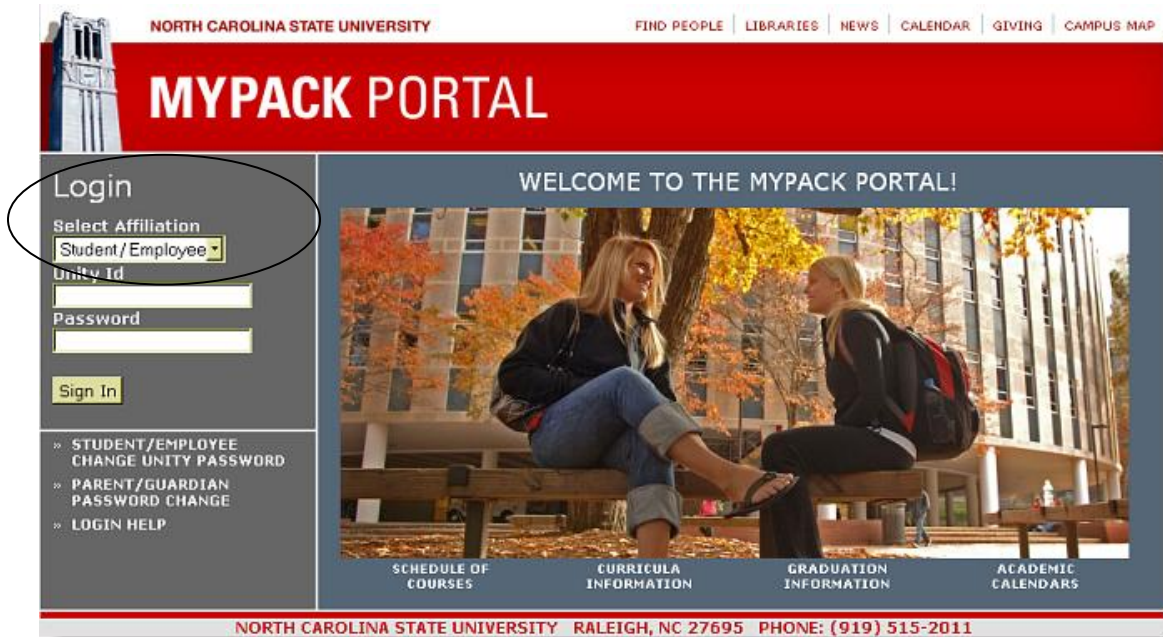
- Call the ETSS Help Desk at 513-1178

When reporting a problem to the Help Desk, you will be given a problem ID number. You should record this number for use when contacting the Help Desk regarding further status on your request for assistance.

Getting Started

Step 1: Access the Financial System

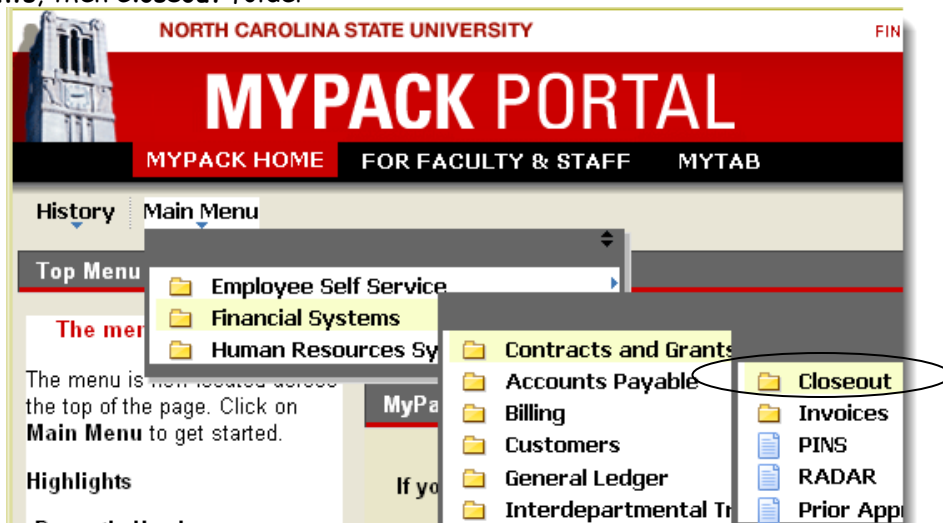
Using an Internet browser, access the Financial System using the NC State MyPack Portal at the following URL: <http://mypack.ncsu.edu/>



1. Enter your **Unity User ID** and **Password**.
2. Click the **Sign In** button.

Step 2: Navigate to the Closeout Page

Using the Menu on the MY PACK Home page, click on **Financial Systems**, **Contracts and Grants**, then **Closeout** folder

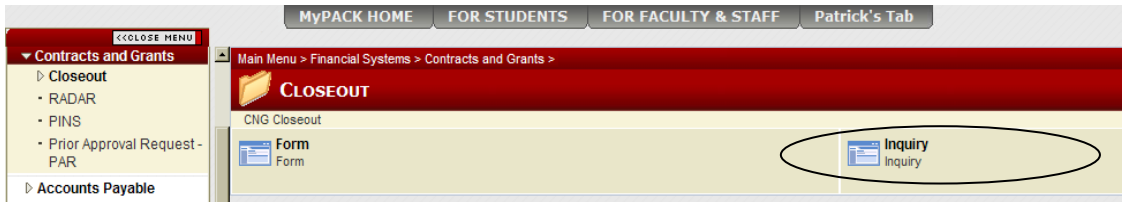


All "NEW" closeouts will be routed to the CBO by the respective Fiscal Managers in the Office of Contracts and Grants.

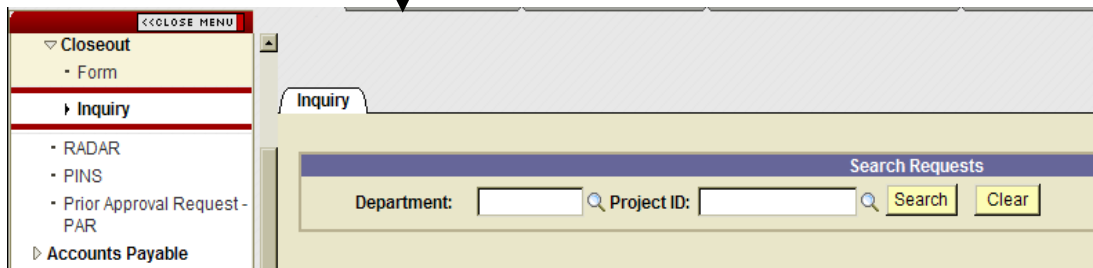
NOTE: The following screens may have a slightly different layout due to the position of the menu in the November 2010 version of MyPack, but the navigation through the Closeout screens is the same.

A. How to locate "New and Pending" closeouts

From the "Closeout Folder" select **Inquiry**



The next screen you will see is



- 1) Enter your OUC (Dept ID) - may enter the 2, 4 or 6 digit code,
Or
- 2) Enter the individual Project ID

Press the Search Button

Note:

If you press the Search Button without entering search criteria, you will get a list of all closeouts currently in process. This includes all closeouts in your college as well as other colleges.

To filter or limit to only your college or department, enter the desired search criteria and press to the Search Button.

Search results for closeout:

Project ID	Department	Sponsor	Close Out Status	C & G Due Date	Fiscal Manager	Form
522093	140340 - Civil Engr Contracts	NATL SCIENCE FOUND.	CBO New	09/01/2009 (Z) LAQUISHA HUNTER		Form
522572	140840 - Materials Science Eng	NATL SCIENCE FOUND.	CBO New	09/01/2009 (Z) LAQUISHA HUNTER		Form
523713	150202 - Geographic Informatio	USDI, NATL PARK SER	CBO New	07/15/2009 (J) LAKEISHA ANTHONY		Form
525266	112101 - Biology	USDI, GEOLOGICAL SUR	CBO New	09/01/2009 (J) LAKEISHA ANTHONY		Form
525483	144301 - IES Engr & Tech Group	USDC NIST	CBO New	09/01/2009 (I) CYNTHIA MARTIN		Form
525555	144301 - IES Engr & Tech Group	USDC NIST	CBO New	08/01/2009 (M) CYNTHIA MARTIN		Form



1. The list includes the following fields:
 - a. Project Id - Hyperlink to review Attribute information
 - b. Department - Department Name (includes OUC)
 - c. Sponsor Name - Sponsoring Agency Short Name
 - d. Closeout Status:
 - i. CBO New - New closeout currently at College Business/Research Officer level
 - ii. Department - At Departmental Bookkeeper/Contract Manager Level
 - iii. TEARS - At TEARS Coordinator Level
 - iv. CBO Final - At CBO/CBM Level pending final review and approval
 - e. C&G Due Date - Date form is due back to C&G
 - f. Fiscal Manager - Fiscal Manager Code and Name
 - g. Project Form - Hyperlink to access actual form

2. The sort order of the search results can be changed by pressing the column heading for the desired sorting order. The default sort order is by Project Id in ascending order.

3. To access the actual closeout form Press the hyperlink for **Form**

Note:

Depending on the business practice of your college, the closeout form may be completed at the CBO/CBM level or routed to the Departmental Bookkeeper/Contract Manager for processing.

B. How to Route a Closeout(s) to Departmental Bookkeeper/Contract Manager

The system will automatically enter the CBO Name in the first field of the **Approval Page**.

- 1) Remove the CBO/CBM Name and enter the Department Bookkeeper/Contract Manager Name(s)
- 2) Press **Approve**

Note:

You may enter up to 4 bookkeepers. Everyone listed will receive a copy of the closeout.

The screenshot shows the 'Approval' tab of a closeout form. At the top, there are tabs for 'Closeout Form', 'Cost Share', 'Certification', 'Approval', and 'Comment'. The form displays the following information:

- Project ID: 525555
- Sequence: 1
- Type: Final
- Principal Investigator: DAGGERHART, J. A.
- Sponsor: USDC NIST
- Department: 144301 - IES Engr & Tech Group
- Fiscal Manager: (1) CYNTHIA MARTIN
- C & G Due Date: 08/01/2009
- Agency Due Date: 08/29/2009

An 'Action' box is visible, showing 'Approval Status: Pending' and buttons for 'Approve' and 'Recycle'.

Below the form fields, there are four search fields. The first field contains the text 'Hayes, Patrick Thomas' and is circled. An arrow points from this field to a callout box.

At the bottom, there is a table for 'Required Approvals':

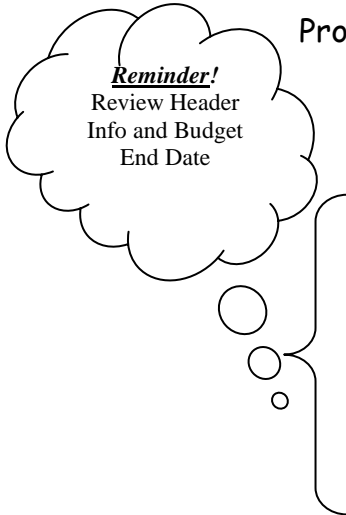
Required Approvals	Action	Action Taken By	Action Date/Time
Originator	Approved	Cynthia A. Martin	05/07/09 8:10:25PM
College			

**Remove CBO Name
to route form to the Department
Bookkeeper / Contract Manager**

C. How to Complete a Closeout - Closeout Form Page

Closeouts are routed to the Departmental Bookkeeper/Contract Manager by the CBO/CBM.

- From the inquiry search results screen (see Section A, "How to Locate "New and Pending" Closeouts"), select the "Form" hyperlink for the Project you will be processing.



Closeout Form		Cost Share	Certification	Approval	Comment
Project ID: 525555	Sequence: 1	Type: Final		Print	Revise
Project Information					
Principal Investigator:	DAGGERHART, J. A.		Fiscal Manager:	() CYNTHIA MARTIN	
Sponsor:	USDC NIST		C & G Due Date:	08/01/2009	
Department:	144301 - IES Engr & Tech Group		Agency Due Date:	08/29/2009	
Extension/Continuation					
<input type="checkbox"/> Extension/Continuation Funds Pending					
If the requested financial information is not provided, the College/Department assumes all financial responsibility for expenditures incurred after 06/30/2009. Relevant/recent supporting documentation from the Sponsor's contracting official must be attached and submitted to Contracts & Grants by 08/01/2009.					
Project Direct Costs					
Final expenditures should include only actual cash outlays. All transactions related to this project should be reflected in Financials PRIOR to 08/01/2009. If this is not possible, ALL reconciling items MUST be listed on the Reconciliation form.					
#1	Get Project Costs	→	Total Direct Budget	\$600,000.00	As Of 04/30/2009
#2	Enter Recon Items	→	Total Direct Costs	\$450,000.00	As Of 04/30/2009
			Reconciling Items	\$150,000.00	
			51891 Fringe Costs		
			Final Direct Costs	\$600,000.00	
			Direct Balance Available		

1) Press the **Get Project Costs** Button

The system will only retrieve financial information from the most recently closed accounting period.

[For example, if you press the "Get Project Costs" button on May 3rd, the system will only retrieve financial information as of March 31st because *the month of April has not officially closed*. However, if you press "Get Project Cost" on May 10th after the month-end close, you will get financial information as of April 30th]

2) Press the **Enter Recon Items** Button to enter any reconciling Transactions

This area is used to record all Journals and Redistributions processed to close this project.

Reminders:

It is the College/Department responsibility to ensure all reminders have been reviewed and necessary actions taken.

RECONCILIATION REMINDERS:

PROCESS payroll appointment changes in the HR system (if needed).
ALL payroll reallocations are to be processed in the month prior to the financial statement due date.
Review WRS Report 5 for encumbrances. ALL encumbrances should be cleared from the Financial system.
Review WRS Report 4 for Accounts Payable balances (22010). Balances should represent ONLY valid unpaid vouchers.
Take the necessary actions to expedite payment or close the voucher.
Review the EQUIPMENT category to ensure that costs applied here are indeed 'equipment' and not supplies. \$5,000 or > per item purchased.
Fabrication of equipment should have already been addressed and an exemption provided by C&G.
Contact COMTECH with project distribution changes if this project has been charged with any telecommunication services.
Contact Materials Support (through an e-mail) and provide another funding source to which charges are to be billed.

Journal ID/Reall ID	Jrnl Ln #	Amount	Account
12345		144965.00	52300
23456		5000.00	51119


Total Reconciling Items \$149,965.00

51891 Fringe Costs on Reconciling Salary Items

Rate: 0.0070 \$35.00

- a) Enter the Journal ID or Redistribution Number in the **Journal ID/Reall ID** field
- b) Enter the Journal Line number in the **Jrnl Ln#** field (optional)

If this project was included in one large journal covering several projects, the respective Journal Line# should be entered in the **Jrnl Ln#** field

- c) Enter the Amount in the **Amount** field
- d) Enter Account (i.e., object code) in the **Account** field or use Lookup  to select from list

If you have several entries for the same Account (i.e., Object Code), they should be summarized/totalled and entered on one line

For example, if you have 3 journal lines for 52300 [1st=+\$1,000, 2nd= -\$350, 3rd= -\$150] you will enter only one line for +\$500

Note: 51891 will automatically calculate when salary charges are posted

- e) Press **OK** to save all reconciling entries, **Or** Press **Cancel** to clear all entries

- 3) All reconciling entries will be transferred to the **Closeout Form** when saved

Project Direct Costs			
Final expenditures should include only actual cash outlays. All transactions related to this project should be reflected in Financials PRIOR to 08/01/2009. If this is not possible, ALL reconciling items MUST be listed on the Reconciliation form.			
Get Project Costs	Total Direct Budget	\$600,000.00	As Of 04/30/2009
Enter Recon Items	Total Direct Costs	\$450,000.00	As Of 04/30/2009
	Reconciling Items	\$149,965.00	
	51891 Fringe Costs	\$35.00	
	Final Direct Costs	\$600,000.00	
	Direct Balance Available		

- 4) The Office of Contracts and Grants is responsible for the calculation of F&A (also known as Indirect Cost, or Overhead). An F&A analysis will be performed to ensure all allowable F&A is recovered for the expenditures associated with the project.

C & G Use Only			
F & A Work Area	Rate 0.10700	Total F & A Budget	\$19,358.00 As Of 03/31/2009
		Total F & A Costs	\$17,603.31 As Of 03/31/2009
		F & A Costs on Reconciling Items	
		TOTAL PROJECT COSTS	\$183,978.36

The financial information, cost sharing, and certifications on this report are presented completely and accurately to the best of my knowledge. Additional costs that are NOT listed as reconciling items are the Department's/College's responsibility for payment and must be removed immediately.

The Fiscal Manager will calculate the F&A associated with the reconciling items and enter the updated info on the closeout form.

If the budget categories subject to F&A are overspent while the budget categories exempt from F&A are under-spent, the projected F&A could be greater than the approved budget. Closeouts routed to C&G under these circumstances may be returned to the CBO for the removal of charges.

- 5) If the Total Direct Costs exceeds the Total Direct Budget you will get an error message indicating the project is **Overspent**. Necessary action must be taken to correct the over-expenditure before the form can be routed to the next level for approval.

Get Project Costs	Total Direct Budget	\$569,048.00	As Of 04/30/2009
Enter Recon Items	Total Direct Costs	\$421,269.63	As Of 04/30/2009
	Reconciling Items	\$150,000.00	
	51891 Fringe Costs		
	Final Direct Costs	\$571,269.63	
	Direct Balance Available	\$-2,221.63	OVERSPENT

See Warning Message#1, Page 25

D. Cost Share Page

To record required or voluntary Cost Share/Match

Closeout Form Cost Share Certification Approval Comment

Project ID: 521815 Sequence: 1 Type: Final

Cost Sharing

Required Cost Share Amount: Complete the Actual Cost Sharing as of 03/31/2009

Although Cost Sharing may not be required by the Agency or committed to in the proposal, **all voluntary** cost sharing which has been incurred and can be documented/verified from internal records and/or external Third Party documentation should be included in the Actual Cost Sharing figures. When required, C & G must report all cost sharing to the Agency.

Project-to-Date Cost Sharing

Project ID and Account are required only on types: 'Contracts & Grants' and 'Segments Under Prime'.



Type	Amount	Project ID	Account
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total Direct Cost Sharing

See Warning Message #5, Page 26

- 1) Under Type, Press dropdown arrow for menu and Select type of Cost Share from list

Types of Cost Share

- a. Contracts & Grants - Ledger 5 to Ledger 5 cost sharing
 - b. Effort (in Tears only)
 - c. Equipment
 - d. Non-Salary MTDC
 - e. Segment under Prime
 - f. Sub-Contractors
 - g. Third Party/Other
 - h. Tuition
- 2) Enter Amount per Type of Cost Share
 - 3) Enter the Account Code/Project ID(s) or use the Project Id Lookup  to select desired Account Code/Project ID to indicate source of cost sharing.
 - 4) Enter Account (i.e., Object Code) or use the Account Lookup  to select desired account

Notes:

- Backup documentation is still required for Sub-Contractor and Third Party/Other entries. This documentation should be emailed to the respective Fiscal Manager for upload to E-closeout file.

The Office of Contracts and Grants will calculate any waived or under-recovered F&A approved and necessary for meeting Cost Share/Match requirements.

Email supporting documentation for Cost Sharing dollars confirmed in Effort, Subcontractors and Third Party/Other to the Office of Contracts and Grants. TEARS documentation should be supplied from the reporting feature in that system. Other documentation must be on invoices or letterhead/financial statement from the Subcontractor or Third-Party involved and should include the actual cost sharing categories along with the value of each.

C & G Use Only	
	Actual Cost Sharing Project-to-Date
Sub-total from Direct Costs Above	
Total from After-The-Fact Memos	<input type="text"/>
F & A Cost Sharing	
(1) Direct Cost Sharing <input type="text"/> % (Neg. NCSU MTDC Rate)	<input type="text"/>
(2) Under Recovered <input type="text"/> % (Note Base of Recovery)	<input type="text"/>
(if approved in advance/ specifically included in approved budget)	
Total F & A Cost Sharing	<input type="text"/>
TOTAL COST SHARING	

E. Certification Page

All questions must be answered before the closeout can be final approved by the CBO/CBM and routed to Contracts and Grants. Depending on the Business Practice of your unit, the certifications may be answered at the Departmental Bookkeeper/Contract Manager level, or CBO/CBM level.

Certifications Section

If inventions have been made using funds from this project, patent invention disclosure numbers should be listed in the box provided. If additional space is needed, please list on the Comment Page.

Closeout Form	Cost Share	Certification	Approval	Comment	
Project ID:	521815	Sequence:	1	Type:	Final
Certifications					
a. All expenses were incurred within the period of performance?					<input type="text"/>
b. All expenses have been reviewed for allowability/allocability?					<input type="text"/>
c. Subawards were executed against the parent project?					<input type="text"/>
If YES, final invoices have been received from each Subawardee?					<input type="text"/>
d. Technical reports have been completed and sent to Sponsor and SPARCS?					<input type="text"/>
e. Has an invention been made using funds from this project?					<input type="text"/>
If YES, has an invention disclosure been submitted to the Office of Technology Transfer?					<input type="text"/>
If NO, you are certifying that no invention was made using these funds.					<input type="text"/>
Equipment					

See Warning Message #2, Page 25 and #4, Page 26

Equipment Section

If equipment was purchased, donated or fabricated on this project, list all associated CAMS numbers using the **Assets** hyperlink.

- 1) Press **Assets** hyperlink
- 2) Enter the Asset ID# (i.e., CAMS #)
- 3) Enter a short description of each item
- 4) Press **OK** (to save entries)

The image shows two screenshots from a software application. The top screenshot is titled "Equipment" and contains three questions with dropdown menus: "a. Was Equipment purchased on this award?", "b. Sponsor-Furnished or Donated Equipment is present?", and "c. Fabricated equipment is present and proper exemption has been received from C&G?". Below these questions is a text field with the label "If YES to a, b, or c, list all Asset ID's:" and a blue hyperlink labeled "Assets". An arrow points from the "Assets" link to the "List of Assets" dialog box in the second screenshot. The "List of Assets" dialog box has a table with two columns: "Asset ID" and "Description". There are empty input fields for both columns and plus/minus buttons to the right. Below the table are "OK" and "Cancel" buttons. A callout box with an arrow pointing to the plus/minus buttons contains the text: "Additional lines may be added or removed as needed".

Closeout Action Items

Contact the appropriate Service Billing Unit to remove this project from their database.

Payroll Redistribution - Payroll Salary Redistribution & shifting of paycheck(s)

Materials Management = Gas Cylinder Charges

ComTech = Telephone/Fax charges

The image shows a screenshot of the "Closeout Action Items" section. It contains three questions with dropdown menus: "a. All necessary Payroll Reallocations have been processed?", "b. Materials Management has been contacted to remove Project ID from database?", and "c. COMTECH has been contacted to remove Project ID from database?".

F. Approval Page

The system automatically enters the CBO name in the first field above the 'Comment' section

Closeout Form Cost Share Certification Approval Comment

Project ID: 521815 Sequence: 1 Type: Final

Principal Investigator: BROOME/VEPRASKAS
Sponsor: N C DEPT ENV & NR
Department: 141140 - Nuclear Engr C&g
Fiscal Manager: (R) GEORGEANN D'ASTOLI
C & G Due Date: 04/15/2009
Agency Due Date: 04/30/2009

Comments: Hayes,Patrick Thomas

Approval Status: Pending
Approve Recycle

Required Approvals	Action	Action Taken By	Action Date/Time
Originator	Approved	Georgeann S D'Astoli	04/09/09 4:21:30PM
College			

Save Return to Search Notify Add Update/Display

Page indicates previous approver(s), date and time approved.

Four fields are provided to route the Form to the appropriate Departmental Bookkeeper(s)/Contract Manager(s), etc. or other staff for review, processing or approvals. Use of these fields is per the business practice of your unit.

Note:

To route a closeout to a Bookkeeper/Contract Manager, you must remove the CBO/CBM name and replace with the name of the Departmental Bookkeeper(s)/Contract Manager. ***If the CBO name is not removed, the closeout will be approved at all levels/roles assigned to the CBO.***

Two actions may be processed from this Page:

- Approval = User approves information. Form is routed to next level.
- Recycle = User disagrees or questions information. Form is returned to last level of review.

For tracking purposes, the approval page also provides the name, date and time of previous approver.

G. Comment Page

Record all pertinent information necessary for the closeout of the selected project.

Closeout Form Cost Share Certification Approval **Comment**

Project ID: 521815 Sequence: 1 Type: Final

Comments

Entered by:
1

Notes:

- Comments are available for review by all users of the E-closeout system.
- Comments can only be **deleted by the originator** (i.e., person that entered the comment).
- Information recorded on this page is NOT included as part of the print function. The information will be saved in Financials and is available for review online.

H. Use of the Extension/Continuation Funds Pending Option

If a No Cost Extension or Continuation is pending and the PI/Department/College elects NOT to provide the requested closeout information, the form may be returned to Contracts and Grants "AS IS".

- 1) To process, Check the **Extension/Continuation Funds Pending** box

Extension/Continuation

Extension/Continuation Funds Pending

If the requested financial information is not provided, the College/Department assumes all financial responsibility for expenditures incurred after 06/30/2009. Relevant/recent supporting documentation from the Sponsor's contracting official must be attached and submitted to Contracts & Grants by 08/01/2009.

See Warning Message #3, Page 26

By checking this box the **PI/Department/College** is assuming responsibility for any disallowed cost resulting from agency decision.

Note: If the Extension/Continuation is NOT received prior to the Agency Reporting Due Date, the Office of Contracts and Grants WILL complete the necessary reporting documents based on available information in WRS.

- 2) Provide a justification or supporting information for not completing the form

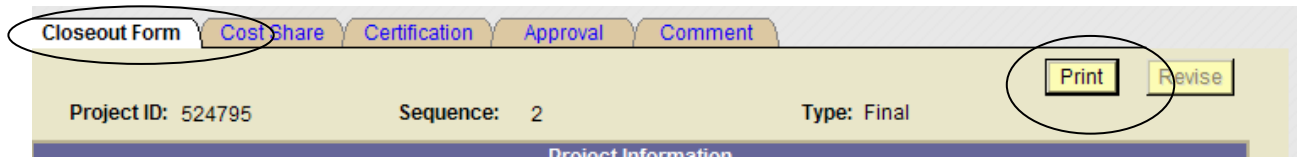
There are two ways to provide the need information:

- a) Include info on the **Comment** Page - Suggested for longer justifications
 - b) Include info in the *Comment section* of the **Approval** Page - Suggested for shorter justifications
- 3) Go to the **Approval** Page and press the **RECYCLE** button to route to next level.

The **RECYCLE** button is the **ONLY** way to route this form when the **Extension/Continuation Funds Pending** box is checked.

I. How to Print a Closeout

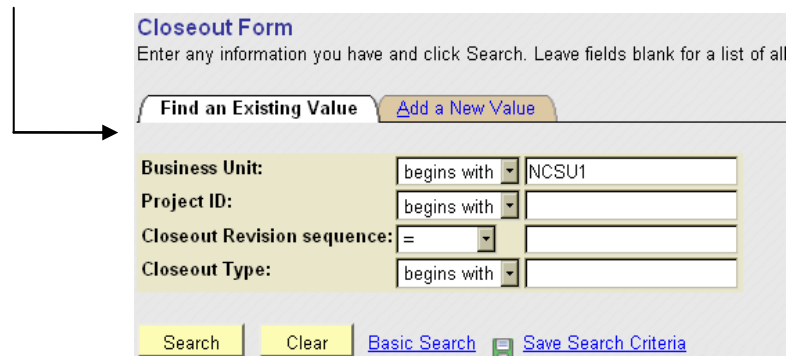
A closeout may be printed at any step during the closeout process. The Print button is available on the **Closeout Form** Page.



- The closeout will be printed in PDF format (i.e., Adobe).
Note: Only the pages with actual data will be printed
(See *Sample Printout beginning on page 29*)
- A "Completed" closeout can be printed from the Closeout link within the MyPack Portal.

Navigate to: Financial System, Contracts and Grants, Closeout, Form

- To retrieve the closeout, go to the "Finding an Existing Value" panel, enter the Project ID and press Search



J. Revising a Closeout

Once a closeout has been approved at all levels the closeout status will change to completed.

If revisions are necessary to represent a valid picture of activity within the project and needs to be revised (i.e., for the removal of charges), the CBO should notify the appropriate Fiscal Manager via e-mail to request the closeout process be re-initiated and the form routed back to the CBO for review and processing. The system at this point will clone the existing form and change the sequence number. The default sequence number for all closeouts is '1'

The image shows two screenshots of a web-based Closeout Form interface. The top screenshot shows the form with 'Project ID: 524795', 'Sequence: 1', and 'Type: Final'. Below this is a 'Project Information' section with fields for Principal Investigator, Sponsor, Department, Fiscal Manager, C & G Due Date, and Agency Due Date. A 'Print' button and a 'Revise' button are visible. A callout box with an arrow pointing to the 'Sequence: 1' field contains the text: 'When a closeout re-enters the Closeout Process for revisions, the sequence number will change'. The bottom screenshot shows the same form after a revision, with 'Project ID: 524795', 'Sequence: 2', and 'Type: Final'. The 'Revise' button is now disabled.

Revision of a closeout is only permitted for the removal of unallowable charges. Revision of a closeout to include additional charges is not permitted except with extenuating circumstances. Approval will be provided on a case by case basis.



Steps to Revise a Closeout:

1. Send e-mail to Fiscal Manager requesting form be re-initiated and re-enter closeout process.
2. Fiscal Manager will re-initiate closeout process and re-route closeout to CBO

K. How to Remove a Closeout

If you receive a closeout that should not have been routed and needs to be removed from the closeout process, recycle the form back to Contracts and Grants with the suggested reason for removal. The Fiscal Manager will review the form and determine the validity of the removal request.

Listed below are the approved reasons for removal of a closeout.

- 1) Incorrect Attribute information
- 2) Continuation/Mod/Supplement Processed
- 3) Pending No-Cost Extension
- 4) Other (additional justification required)

When recycling a closeout for removal, one of the four reasons listed above **must** be included in either the Comment Section of the Approval Page or on the Comment Page.

If #4 is the reason for the removal request, a detailed justification must be provided to support this selection.

When a closeout has been removed from the E-closeout process, the Contracts and Grants Attribute page will be updated to reflect the reason for the removal.

The screenshot shows a form titled "Closeout Information" with the following fields and annotations:

	C & G Due Date	Agency Due Date	Status
<input type="checkbox"/> Interim			
<input checked="" type="checkbox"/> Final	04/15/2009	04/30/2009	P In Process
<input type="checkbox"/> Invoice Flag	Invoice Closeout Due Freq Days	30	Removal Reason

Annotations:

- A box labeled "Type of required reporting" points to the "Interim" and "Final" checkboxes.
- A box labeled "Current Closeout Processing Status" points to the "P In Process" status.
- A box labeled "Hyperlink will redirect you to the closeout processing area." points to the "Inquiry" link.

L. Fixed Price Projects

Fixed Price Projects are assigned to Fiscal Manager Code (D, E or Q) only.

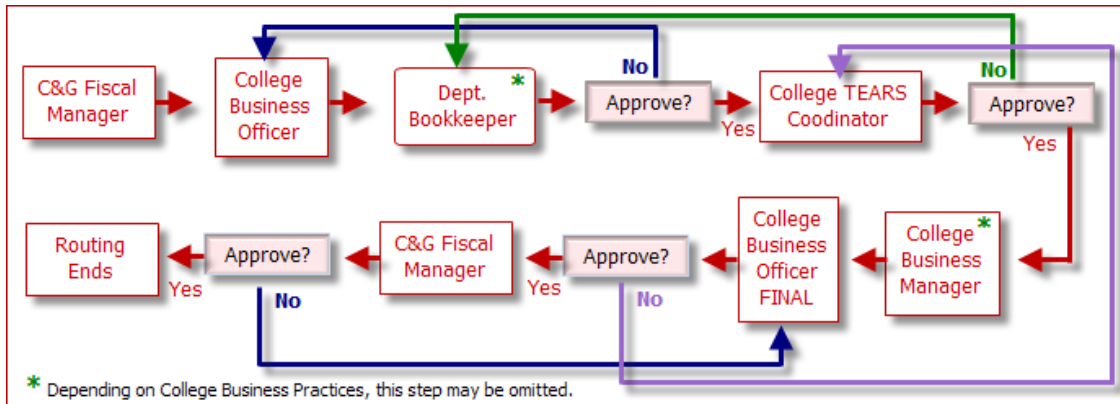
To begin the E-closeout process, Repeat steps A thru G

A new field has been added to the E-Closeout Form for the College/Department to specify the ledger-7 for the transfer of any residual Total Direct Costs. The transfer of funds will ONLY occur after final review of the project is completed and confirmation of all agency payments.

Project Direct Costs			
Final expenditures should include only actual cash outlays. All transactions related to this project should be reflected in Financials PRIOR to 04/15/2009. If this is not possible, ALL reconciling items MUST be listed on the Reconciliation form.			
Get Project Costs	Total Direct Budget	\$16,500.00	As Of 03/31/2009
Enter Recon Items	Total Direct Costs	\$697.93	As Of 03/31/2009
	Reconciling Items		
	51891 Fringe Costs		
	Final Direct Costs	\$697.93	
	Direct Balance Available	\$15,802.07	
Transfer balance to Project ID	<input type="text"/>		
C & G Use Only			
F & A Work Area	Rate 0.15000	Total F & A Budget	\$2,475.00 As Of 03/31/2009
<input type="text"/>		Total F & A Costs	\$104.69 As Of 03/31/2009
		F & A Costs on Reconciling Items	
		TOTAL PROJECT COSTS	\$802.62

Workflow and Filters

Workflow Diagram:



CBO (College Business Officer), CBM (College Business Manager), and TEARS Coordinator are setup in the Approver table by the designated C&G staff.

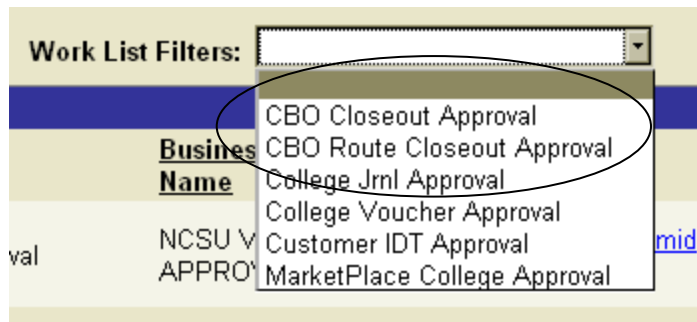
Departmental Bookkeeper(s) is assigned by the CBO at approval time.

CBM (used by CALS) is assigned at the **same time** as the Department Bookkeeper.

When a closeout is recycled, it routes **back 1 level at a time**.

Workflow Filters:

Five new items have been added to the Worklist Filter Box to assist with the management of closeouts. This helps to identify how the forms have been routed for processing.



CBO Closeout Approval - Indicates forms were created using the **Form** link (i.e., a single form routed, one at a time). Also used to indicate the form has been approved at the Department and TEARS level and is waiting for final CBO review and approval.

CBO Route Closeout Approval - Indicates form was created and routed using the **Route to CBO Button** (i.e., several forms routed at one time). Also used to indicate the form has been approved at the Department and TEARS level and is waiting for final CBO review and approval.

Department Closeout Approval - Indicates form has been approved at the CBO level and is waiting for Department Bookkeeper/Contract Manager review and approval.

Tears Closeout Approval - Indicates form has been approved at the Department level and is waiting for TEARS Coordinator review and approval.

CBM Closeout Approval - Indicates form has been approved at the TEARS level and is waiting for final CBM review and approval. This is only applicable when a CBM is entered in one of the Department Bookkeeper boxes on the Approval page.

Email Notifications

E-Mail Notifications will be sent directly to the CBO!

- 1) "Closeout Due Date is imminently Due " - Sent 5 days prior to C&G Due Date

*Sample
E-Mail*

*** DO NOT RESPOND TO THIS EMAIL. THIS IS AN AUTO-GENERATED NOTIFICATION. ***

The Closeout for project id 527052 'UNC-WILMINGTON' is currently due on 05/15/2009. Please complete and route to GEORGEANN D' ASTOLI before the due date.

Closeout Project: 527052

Closeout Type: Final

Closeout Seq: 1

To review the closeout listed here, view the closeout form, reconciling items, cost sharing, certifications and approvers by selecting 'Contracts & Grants', 'Closeout', 'Form' and enter the project id, type and sequence.

If you have questions, please contact Thelia Burrell at 515-8006, thelia_burrell@ncsu.edu or Julie Brasfield at 515-8008, julie_brasfield@ncsu.edu.

Thanks

- 2) "Delinquent Closeouts" - Sent the day after the C&G Due Date and every other day following the 1st Delinquency Email, repeated until closeout is received

*Sample
E-mail*

*** DO NOT RESPOND TO THIS EMAIL. THIS IS AN AUTO-GENERATED NOTIFICATION. ***

The Closeout for project id 521597 'MCKNIGHT FONDATION' is now overdue. Please complete and route to MARY BETH FLEMING immediately.

Closeout project: 521597

Closeout type: Final

Closeout seq: 1

To review the delinquent closeout listed here, view the closeout form, reconciling items, cost sharing, certifications and approvers by selecting 'Contracts & Grants', 'Closeout', 'Form' and enter the project id, closeout type and closeout sequence.

If you have questions, please contact Thelia Burrell at 515-8006, thelia_burrell@ncsu.edu or Julie Brasfield at 515-8008, julie_brasfield@ncsu.edu.

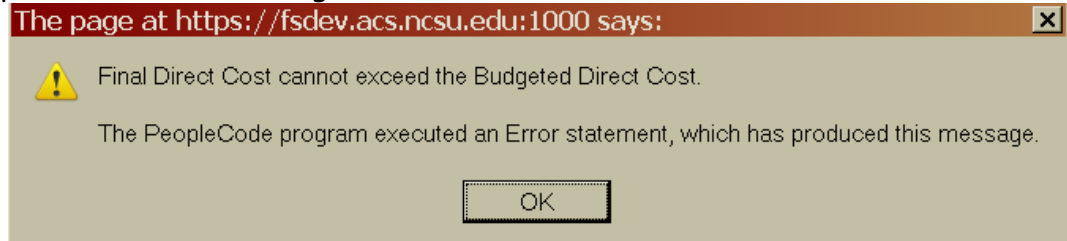
Thanks

Helpful Hints

- The Fiscal Managers will route all closeouts to the CBO by no later than the 15th of each month.
- Closeouts will automatically enter the E-closeout process based on a calculation using the Budget End Date.
- All closeouts with a December 15th - January 3rd C&G Due Date will be due to C&G by the 1st of December. This is due to the University Closing schedule.
- Closeouts may be manually added to the E-Closeout process. Contact the Fiscal Manager assigned to this project to request manual inclusion in current closeout processes.
- Closeouts are routed for review, processing and approval 30 days prior to the Budget End Date.
- The default sequence number for all Closeouts is '1'. This indicates it is the original (Interim or Final) Closeout form
- A closeout may be edited by the CBO/CBM, TEARS Coordinator and/or Departmental Bookkeeper/Contract Manager while it is being reviewed or processed at another level. However, no additional edits may be processed once the form has been routed to Contracts & Grants.
- Backup/supporting documentation should be e-mailed to the assigned Fiscal Manager by the C&G Due Date. The Fiscal Manager will upload the documents to the E-closeout file. Future enhancements will include an Image Page. Users will be able to review all documents uploaded to the E-file through this page.
- Colleges and departments will be able to upload documents in the next enhancement to the E-closeout system.
- The following Accounts (i.e., Object Codes) have been restricted from use:
 - 51891 (University Benefits),
 - 58960 (F&A)
- Remaining funds (i.e., residual cash) from a Fixed Price Project can only be transferred to a Ledger 7. Department without an available ledger-7 will have six (6) months from the Project End Date to expend the funds from the existing ledger-5 project id. Funds MUST be expended during this six (6) month period or a ledger -7 must be established.

GENERAL WARNING MESSAGES AND SUGGESTED ACTION STEPS:

1) Expenditures exceed Budget:

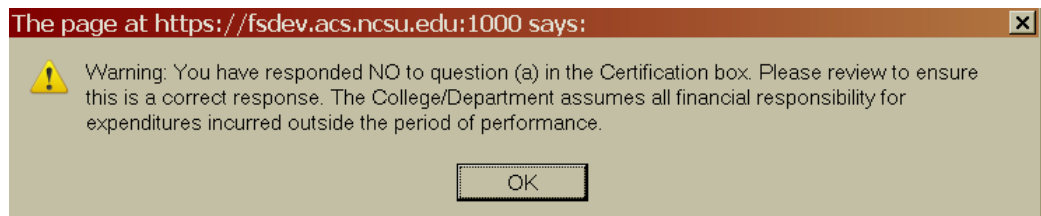


Action steps:

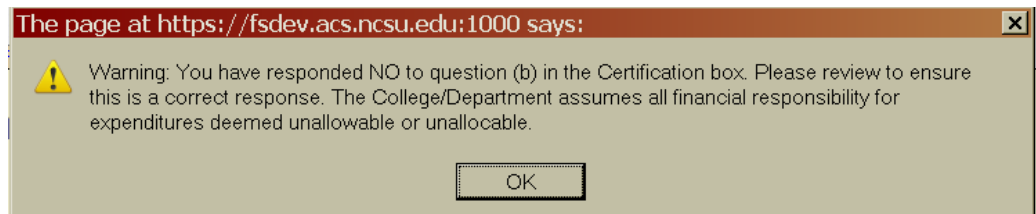
- Acknowledge warning message (i.e., Press OK)
- Go to Closeout Form Page
- Review and adjust reconciling items, as needed
- Continue with approval process

2) If you answer "NO" to the following Certification questions: (You will get a warning message)

a) All expenses were incurred within the period of performance?



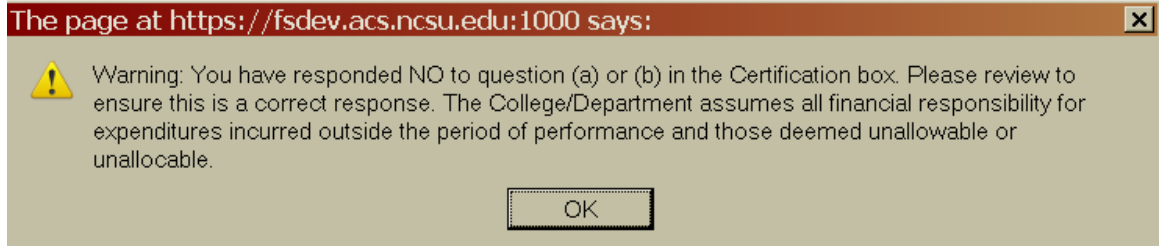
b) All expenses have been reviewed for allowability/allocability?



Action Steps:

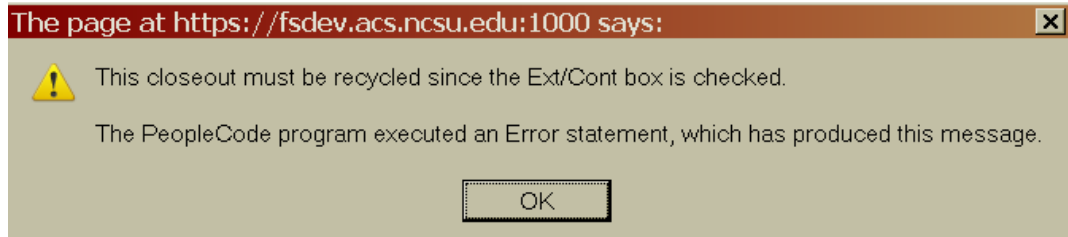
- If the form is at the Departmental Bookkeeper/Contract Manager level and the warning is acknowledged (i.e., press OK), at this point the answer to these questions may either stand "as is" or be changed, if necessary. If the "NO" was in error.
- If the form is at the CBO/CBM level and the **Approve** button is selected while the value of Certification questions 'a' and 'b' is "NO", the user will still get the warning message. *However, the system will assume the Certification Answers were correct and continue with the final approval processes and route the form to Contracts & Grants.*

- *At this point, if the response was incorrect, the CBO/CBM must e-mail the assigned Fiscal Manager to request the closeout be recycled for the correction.*



REPLACE WITH NEW WARNING MESSAGE

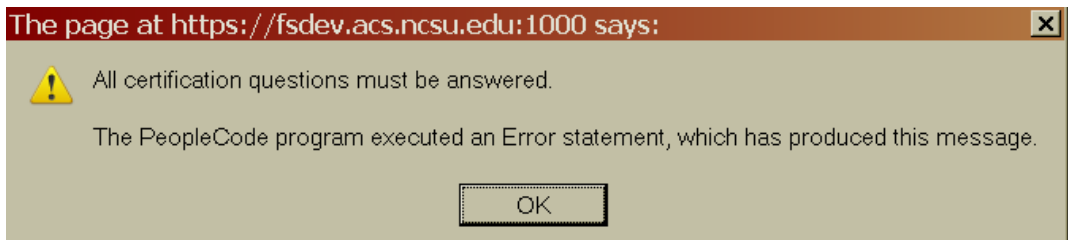
3) The Extension/Continuation Funds Pending box checked:



Action steps:

- Acknowledge warning message (i.e., Press OK)
- Go to the Closeout Form Page
- Review and determine if the Extension/Continuation Funds Pending box should be checked.
 - If not, uncheck box and resave form.
 - If **checked box** remains ASIS, form must BE **RECYCLED** to process.

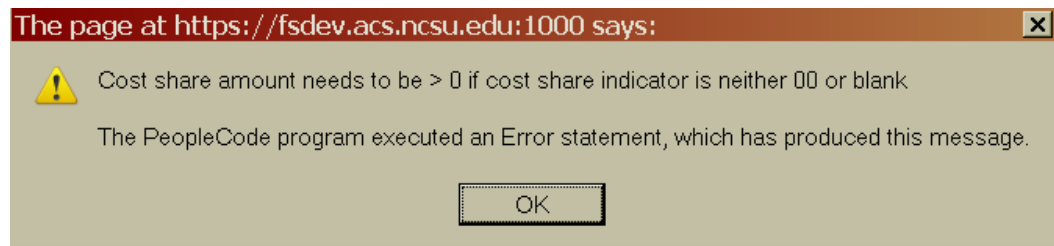
4) If all Certifications are not answered



Action steps:

- Acknowledge warning message (i.e., Press OK)
- Go to Certification Page
- Review and complete all certification questions

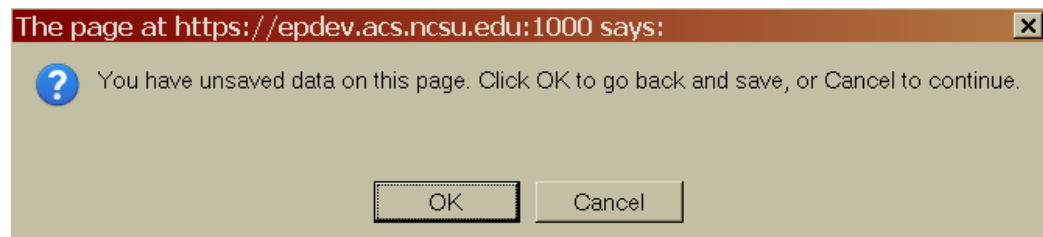
5) No Cost Share Information Provided:



Action steps:

- Acknowledge warning message (Press OK)
- Review closeout info, make corrections as necessary
- Cost Share Info **Must** be provided to route from CBO Level to Contracts and Grants.

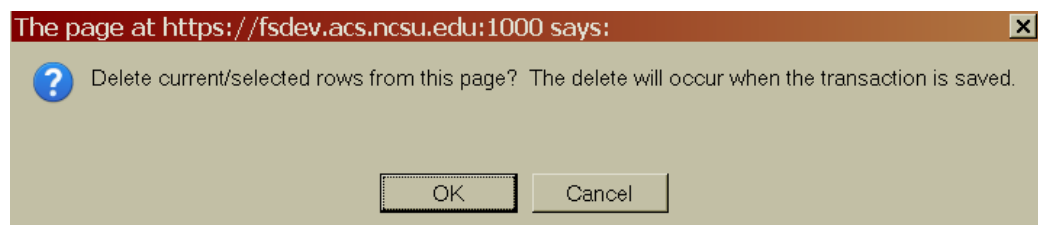
6) Data has not been saved prior to exit of program



Action steps:

- Acknowledge warning message (Press OK), **Or** (Press Cancel)
- Review closeout info, make corrections as necessary
- Press Save button (to continue working) or Approve button (to route to next level)

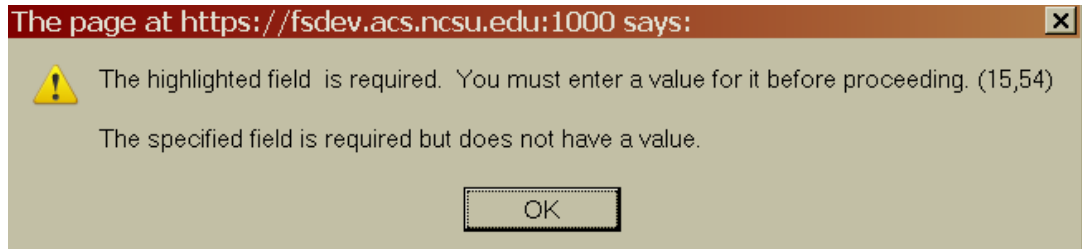
7) Delete of a current row:



Action steps:

- Acknowledge warning message (Press OK), **Or** (Press Cancel)
- If the row was deleted in error, your only option is to exit **without** saving the closeout.
- If the row is to be deleted, press Save button and continue as indicated

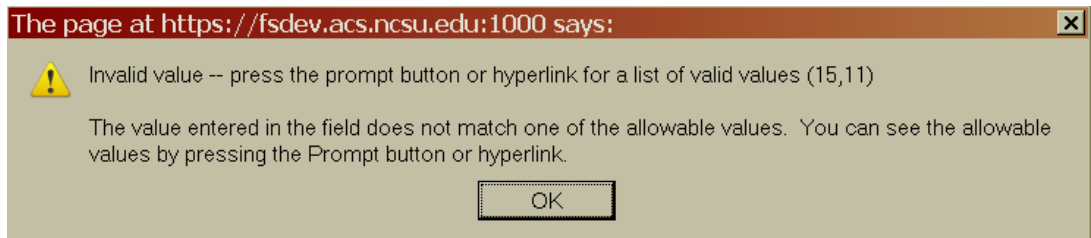
8) Required field data missing:



Action steps:

- Acknowledge warning message (Press OK)
- Enter the missing data

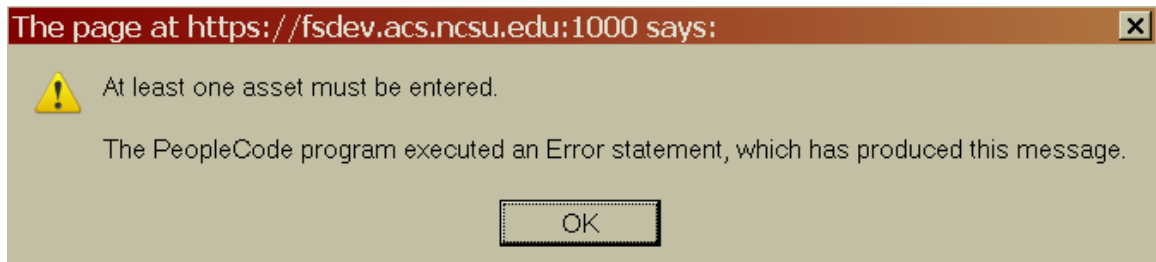
9) Incorrect / Invalid Entry:



Action steps:

- Acknowledge warning message (Press OK)
- Correct the invalid/incorrect info
- This includes the restricted Accounts (i.e., Object Codes)
 - 51891 - University Benefits
 - 58960 - F&A (Facilities & Administrative Cost)

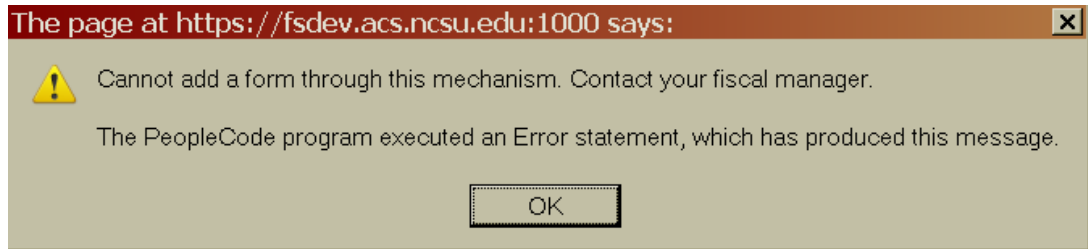
10) Asset field data missing: (there is a "Yes" value in the Equipment Cert area)



Action steps:

- Acknowledge warning message (Press OK)
- Enter the missing data

11) Adding a Project to the Closeout Process:



Note: Colleges and Departments do not have the authority to add a project to the closeout process. This process is handled by the Office of Contracts and Grants.

Action steps:

- Acknowledge warning message (Press OK)
- Send an e-mail to the Fiscal Manager assigned to your Project, include the following:
 - Request the Project be manually added to the E-closeout process.
 - Explanation , justification or documentation supporting purpose for the request
- When closeout is received, follow the steps beginning with the "Getting Started" section

Closeout Form

Project ID: 525433

Sequence: 1

Type: Interim

Project Information			
Principal Investigator:	POLLOCK, K. H.	Fiscal Manager:	(I) CYNTHIA MARTIN
Sponsor:	USDC NOAA	C&G Due Date:	
Department:	112101 - Biology	Agency Due Date:	

Extension/Continuation	
NO	Extension/Continuation Funds Pending
If the requested financial information is not provided, the College/Department assumes all financial responsibility for expenditures incurred after 05/31/2009. Relevant/recent supporting documentation from the Sponsor's contracting official must be attached and submitted to Contracts & Grants by .	

Project Direct Costs		
Final expenditures should include only actual cash outlays. All transactions related to this project should be reflected in Financials PRIOR to . If this is not possible, ALL reconciling items MUST be listed on the Reconciliation form.		
Total Direct Budget	\$95,001.00	As of 04/30/2009
Total Direct Costs	\$94,999.31	As of 04/30/2009
Reconciling Items		
51891 Fringe Costs		

Final Direct Costs	\$94,999.31	
Direct Balance Available	\$1.69	

C&G Use Only		
Total F&A Budget		As of 04/30/2009
Total F&A Costs		As of 04/30/2009
F&A Costs on Reconciling Items		

TOTAL PROJECT COSTS	\$94,999.31	

The financial information, cost sharing, and certifications on this report are presented completely and accurately to the best of my knowledge. Additional costs that are NOT listed as reconciling items are the Department's/College's responsibility for payment and must be removed immediately.

Last Updated by: Carolyn C. Bunn

05/12/2009 11:35:09AM

