Why it’s needed

- To fulfill our obligation to the sponsor based on the terms and conditions of the award

- Required under federal regulations (OMB Circular A–110, Sec. C, Reports and Records)

- To fulfill our obligation to the University, proper closing of the award in Banner – we’ll focus on this today

- Grants are not being closed out in a timely basis
What are the benefits?

- Fulfill external/internal obligations
- Timely submission of technical/financial reports
- Avoid cost overruns in Banner
- Avoid spending after award end date, i.e. PAYROLL, copy cards, procurement cards
- Timeliness of cost transfers – must be completed within 90 day window after award ends
What are the consequences of not closing out an award?

- Non compliance with Federal regulations and sponsors terms & conditions

- Could jeopardize the University’s and/or Principal Investigator’s future funding with sponsor

- Could result in cost disallowance to the University based on audit findings
How will this work?

- Formal process has been designed
- Involves ORAF, PI, the Department Administrator, and the Chair (if necessary)
- Checklist and email notice will be sent to the PI, 60 days before an award is ending, and cc’d to all listed above
  - Must be returned to ORAF 10 days from receipt of email notice
  - Time constraints on when the checklist is to be returned
Date: July 5, 2011

To: Prof. Smith

From: The Office of Research Administration and Finance

Our records indicate that the following research grant or contract for which you are the Principal Investigator will **end on August 31, 2011**.

- **Sponsor:** The National Science Foundation
- **Title:** Research, Research, Research
- **Index Code Number:** 5xxxxx
- **Banner Fund Number:** 5xxxxx
- **Grant Code Number:** G0000xxxx

Please notify us of any anticipated extension or renewal of the award.

Otherwise, please review the attached procedures carefully. All items listed must be addressed to ensure the successful closeout of your project. The completed checklist must be returned to our office no later than 10 days prior to your award end date.

Research Finance
Consequences of not returning checklist

- 2\textsuperscript{nd} notice will be sent to everyone that received the initial list AND the department chair
  - Also has time constraints attached to it

- If 2\textsuperscript{nd} notice is not returned ORAF will take action on any item on the list that has not been addressed
  - Operating Index will be used
30 days have passed and your extension has not arrived, what happens now?

- The award will remain on our closeout list flagged as pending extension

- You’ll receive a notice from us asking if the extension has been received from sponsor

- If no, we will send you a UPAF form
  - To ensure that funds are guaranteed

- If yes, we will remove the flag, no notice sent
University Prior Approval Form

Northeastern University - Office of Research Administration and Finance - ORAF
UPAF - University Prior Approval Form
Request for Review and Approval of Proposed Action Related to a Pending Proposal or Sponsored Project

Principal Investigator(s)
Department(s)

Budget Period
Start Date
End Date
Project Period
Start Date
End Date
Award No.
NIU Budget (Fund) No.

Programmatic Justification Needed for Each Action Requested
Please attach an explanation for the programmatic need for any of the changes as noted below.

☐ No Cost Extension
☐ Equipment Purchase:
- Special Purpose, Request to purchase equipment having an acquisition cost of $1,500 or more for items not identified in the original agency-approved budget and for which agency approval is required.
- General Purpose Equipment (office equipment, fax equipment, refrigerators, etc.). Request to purchase general purpose equipment will not be approved unless it can be demonstrated that it will be used exclusively for the conduct of research.

☐ Endorsement of correspondence to an agency for budget revisions or other actions requiring agency approval.

Request for Advance Account
Please attach correspondence from the funding agency pertaining to the status of the award, a budget for the amount of the advance account and a justification as to the need for the advance account.

**Please note that the start date, once entered into Banner, cannot be changed.

☐ In the event the award is not made, or there is a gap in the funding, then unrestricted funds will be utilized to cover expenses from:
Name of College or Unit and/or Banner #
In the amount not to exceed:
H. Unrestricted account number:

☐ Check if project involves use of:
Human Subjects ☐ Animal Subjects

☐ Date on which Institutional Compliance Division approved Human or Animal Subjects Protocols
Approval Date:

Certifications and Approvals
Certification of Principal Investigator(s):
This request is proper to and consistent with the scope and objectives of the project as approved by the agency.

Signed By: Principal Investigator Date
Signed By: Principal Investigator Date

Approvals:
This request has been reviewed for consistency with Agency, University, college and departmental policies, and approval is recommended.

Signed By: Department Chair and/or College Dean/Unit Head/Designee as applicable Date

ORAF Approvals

Approved: Director, RA/Designee Date
Questions?