



Lawrence Berkeley  
National Laboratory

## Quick Reference Sheet: #eSR5492 Grant/Contract Closeout Process



The financial and award close-out process of non-DOE awards has been coordinated in eSRA. This will utilize the notification functionality of eSRA in the process and the steps taken in the close-out process will be documented in the history of the award in eSRA.

**Financial Closeout:** Resource Analyst (RA) indicates costs are final. Contract Accounting (CA) does the final closeout of the award. Refer to *Financial Closeout Process for RA QR5491* and *Financial Closeout Process for CA QR5493* for additional information on that process.

**Grant/Contract Closeout:** PI (with assistance from RA) meets all contractual and reporting requirements. Contract Office Administrator (Admin) will request a closeout checklist from the PI, if necessary. Contract Officer (CO) or Admin will indicate the award is closed.

**Award will not be changed to the “Closed” state until both financial and contract closeouts are complete.**

**Step 1: Automatic Notification** from eSRA (to the PI, post-award RAs, and the CO) that the award has expired. This is the trigger to start the closeout process.

### **Step 2: CO determines when it is time to closeout the award:**

- ***Will there be additional funding coming on this award?*** If yes, do not send for closeout.
  - Enter a comment so others will know of pending future actions, or
  - Create modification to add funding and time. Approval of this type of modification will change the end date of the award.
- ***Will there be a No-Cost-Extension (NCE)?*** If yes, do not send for closeout.
  - If the sponsor will be issuing the NCE (without being requested by the PI), enter a comment so others will know of pending future actions, or
  - If the PI needs to request the sponsor issue a NCE, ask the RA to assist the PI to create a Modification Request in eSRA for a NCE. Approval of this type of modification will change the end date of the award.
- ***Are there closeout activities that require the CO’s participation?*** If yes, do not send for closeout.
  - Complete the final requirement (examples are NIH final reports and invention statements which must be submitted by a signing official).
  - Hold onto the file until all reports have been submitted which may take several months.
- ***Is the award ready for closeout?*** If yes, send to the Admin for the final closeout.

### **Step 3: CO sends award to Admin for Closeout:**

- Forward the “Award Expired” email to the Admin, or send separate email to the Admin.
- Tell Admin to start the closeout process.
- Give the hard-copy file to the Admin for archiving.

### **Step 4: Admin Sends Close out Checklist to the PI:**



*Note: The eSRA Contract/Grant closeout process can be run in parallel to the financial closeout being done by the RA and CA.*



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Expired awards will be in the Inbox of the Admin's personal workspace.

- **Select the award to be closed.**

Page for Teresa Grossman

Welcome to your eSRA Proposal System Personal Workspace.

**My Roles**  
OCO Administrator  
Registered User

**Request New Sponsor**  
You do not have sufficient privileges to create Projects with this Project Creator Component.

**My Inbox** Closeout Actions

Awards that require action

Filter by Name Go Clear Advanced

Name	SmartForm	Date Modified	State	ID	Sponsor	PI	Funding Proposal	Project ID	Start Date	End Date	Sponsors Award	Prime Sponsor's Award Number	Division
Assistance to CIEE KETI Year 3 Project	[Edit]	11/3/2014 10:04 AM	Award Expired	WF010958	UC CALIF INST FOR ENERGY EFFICIENCY & E	Kiliccote	WF010958	100819	4/22/2014	11/30/2014	POKR03-L08		Environmental Energy Tech

- **Admin Requests Close Out Checklist:**

**Current State**

**Award Expired**

View Award  
Printer Version  
View Differences

Award Documents  
Terms And Conditions

**Activities**

Close Out Award  
Merge Word Document  
Request Close Out Checklist

- This activity provides the ability to add a comment and/or attachments that will be included in the email notification to the PI and RA and stored in the history of the award.

**Request Close Out Checklist**

Comments:

Attachments:

Document	Description
There are no items to display	

OK Cancel

- **eSRA Sends Closeout Checklist to the PI and changes the state to *Pending Closeout Checklist***

**Current State**

**Pending Close Out Checklist**

View Award  
Printer Version  
View Differences

Award Documents  
Terms And Conditions

**Activities**

Merge Word Document

LBNL eSRA System

Dear PI:

As you know, the subject agreement has expired. In accordance with DOE requirements, you are required to confirm all deliverables have been submitted before we can close this award.

**Please complete this process in eSRA by 2/27/2015.**

Award #	AWD00000185
Sponsor	NIH HEART, LUNG & BLOOD, NATL INST
Award Title	<a href="#">test award state</a>
Project ID	stpid
Period of Performance	2/1/2014 - 1/31/2015

Click on the link above to go directly to this award.

**Comments:**

[Testing the Closeout checklist email.](#)

**Attachments:**

You can take the following actions by using the activity buttons available to you; (Optional) "Complete Deliverables" to complete any remaining deliverables and record that with your award in eSRA. (Required) "Submit Close Out Checklist" to provide your confirmation that all deliverables are complete.

If you have any questions, please contact [Alina Leong](#) or [WFOCloseouts@lbl.gov](mailto:WFOCloseouts@lbl.gov).

Thanks!



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## Step 5: PI Completes Close Out Checklist:

- PI Completes remaining deliverables, if any (see training about deliverables for assistance)
- PI submits Close Out Checklist
  - Makes selection about the final deliverables
  - Explanation is optional with the first option, but required for the 2<sup>nd</sup> and 3<sup>rd</sup> option

**Current State**

**Pending Close Out Checklist**

- View Award
- Printer Version
- View Differences
- Award Documents
- Terms And Conditions

**Activities**

- Complete Deliverable
- Edit Post Award RAs
- Edit TAs
- Email Award Team
- Log Comment
- Merge Word Document
- Submit Close Out Checklist

**Submit Close Out Checklist**

Award #	WF010464
Sponsor	Defense Advanced Research Projects Agency
Award Title	Berkeley Open Biofoundry (BOB)
Project ID	100499
Period of Performance	3/27/2014 - 9/24/2014

\* Please select the correct option below and provide an explanation if applicable:

- Final Report/Deliverable submitted to Sponsor as required. (You are not required to submit a copy of the report/deliverable to OSPIP.)
- Final Report/Deliverable not submitted to Sponsor as required. (Explanation required)
- Sponsor Requires no Final Report/Deliverable. (Explanation required)

Clear

**Explanation:**  
Optional with first choice above; required for the 2nd and 3rd options.

**Add Attachment:**

Add

Document	Description
There are no items to display	

OK Cancel

- eSRA sends notification along with completed checklist back to the Admin and changes the state to **Pending Close Out**.

**Current State**

**Pending Close Out**

- View Award
- Printer Version
- View Differences
- Award Documents
- Terms And Conditions

**Activities**

- Edit Post Award RAs
- Edit TAs
- Email Award Team
- Log Comment
- Merge Word Document



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## Step 5: Admin Closes Award

- Print the Closeout Checklist for the file from:
  - Email notification, or
  - History
    - Click on the link in the history section labeled *Close Out Checklist Submitted*.
    - Print the pop-up window

- Click on the award in the path displayed at the top to close the pop-up window and return to the award workspace.

- Click the *Close Out Award* activity

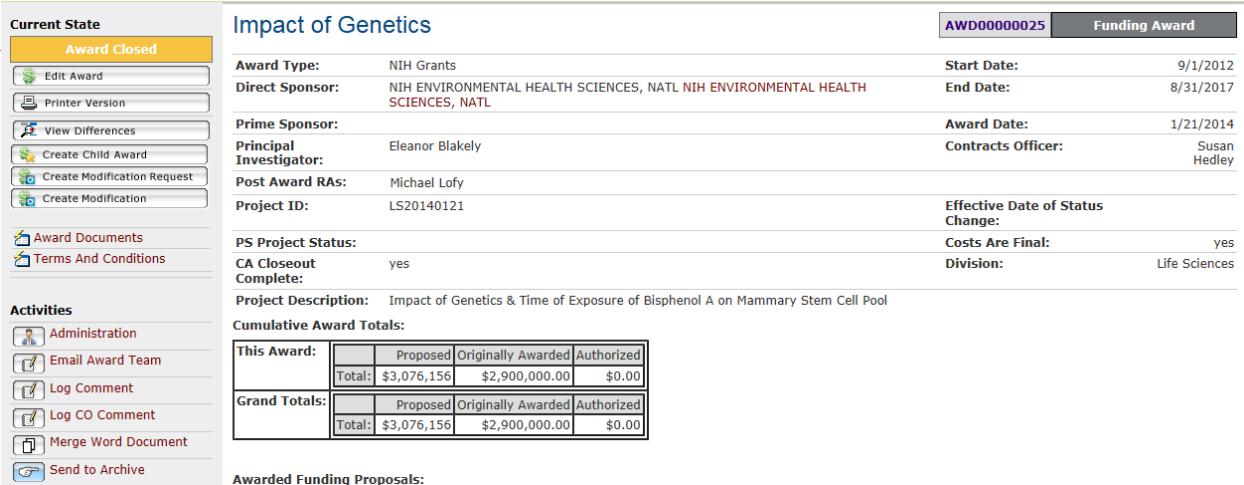
- Confirm award deliverables (based on the checklist you received) have been met by checking the box
- Comments and attachments are optional.
- Click **OK**.
- Award state will change to *Final Closeout Pending CA approval* if the financial close is still being processed.
- Award state will change to *Award Closed* if the financial close has already been processed.

**Final Closeout Pending CA  
Closeout**

**Award Closed**

**Step 6: Admin prepares paper file for archive**

- Print the award workspace showing the “Award Closed” state.



**Current State**

**Award Closed**

Edit Award  
Printer Version  
View Differences  
Create Child Award  
Create Modification Request  
Create Modification

**Activities**

Administration  
Email Award Team  
Log Comment  
Log CO Comment  
Merge Word Document  
Send to Archive

**Impact of Genetics** AWD00000025 Funding Award

**Award Type:** NIH Grants **Start Date:** 9/1/2012  
**Direct Sponsor:** NIH ENVIRONMENTAL HEALTH SCIENCES, NATL NIH ENVIRONMENTAL HEALTH SCIENCES, NATL **End Date:** 8/31/2017  
**Prime Sponsor:** **Award Date:** 1/21/2014  
**Principal Investigator:** Eleanor Blakely **Contracts Officer:** Susan Hedley  
**Post Award RAs:** Michael Lofy  
**Project ID:** LS20140121 **Effective Date of Status Change:**  
**PS Project Status:** **Costs Are Final:** yes  
**CA Closeout Complete:** yes **Division:** Life Sciences  
**Project Description:** Impact of Genetics & Time of Exposure of Bisphenol A on Mammary Stem Cell Pool

**Cumulative Award Totals:**

This Award:	Proposed	Originally Awarded	Authorized
Total:	\$3,076,156	\$2,900,000.00	\$0.00

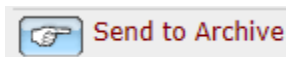
Grand Totals:	Proposed	Originally Awarded	Authorized
Total:	\$3,076,156	\$2,900,000.00	\$0.00

**Awarded Funding Proposals:**

- Admin reviews paper file to ensure inclusion of key documents and prints them for inclusion if necessary:
  - Award Closeout Checklist (completed)
  - All award documents, most recent first
  - Terms and Conditions documents (if any)
  - Funding Allocations Tab (required)
  - Approvals tab (if there are any Award level approvals)
  - eSRA ‘Printer Version’ of the Award
  - Funding Proposal Information (Summary) page
  - Funding Proposal Approvals tab
  - Funding Proposal Contacts tab
  - Funding Proposal Printer Version
  - Documents submitted to sponsor (8.5 or other PDF proposal package)
- Admin prepares label

Award# / Project#	Division
PI Last Name	Sponsor Name

- When boxes are sent to Archives, Admin uses activity “Send to Archives” to indicate the date the files are sent to Archives and enter optional comments.



**For more information**

eLearning Module eSR5490 covers the entire closeout process.

Additional eSRA reference materials and eLearning modules are available at <http://esra.lbl.gov/training>.