Preterm:
> 90 Days Prior to End Date

OGCA - PreTerm
- Notifies department to review requests for FANs, NCEs, appointment forms & termination forms (if Training Grant)
- Reminds department to review Effort
- Reminds department to review C/S
- Reviews award for subaward agreements and will make inquiry to subcontractors regarding final invoice submissions
- Communicates with CSP to verify if this is FINAL and to determine if there are no extensions or additional funding expected
- Reviews award terms/conditions for appropriate carryover authority
Departments - PreTerm

- Run queries/reports to get final financial information checking for:
  - Budget
  - Encumbrances
  - Balance or deficit/overrun

- Reconcile the projects
  - Run queries to see the status of each project
  - Check FAC
  - Check Exclusions
  - Check Subs
  - Reviews cost share/program income, if applicable
  - See Pre-term Checklist for full list

- Communicate with OGCA regarding what to expect in terms of final expenditures so that OGCA can generate & submit accurate expenditure reports and/or final invoices

Term
End Date > 60
### Term

<table>
<thead>
<tr>
<th><strong>OGCA</strong></th>
<th><strong>Departments</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>- Verifies &amp; approves termination notice, if applicable.</td>
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<tr>
<td>- Reviews Sponsor reporting requirements &amp; communications with the department.</td>
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<tr>
<td>- Sends reminder notices for Final Invoices/FSRs. Review WRITTEN approval from departments. Request WRITTEN approval from OGCA dept if invoice/FSR is signed over.</td>
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<tr>
<td>- Reviews any comments on Preterm issues and responds accordingly.</td>
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<tr>
<td>- Validates and share/prepare invoice with the departments, if applicable.</td>
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<tr>
<td>- Provides WRITTEN approval to OGCA dept that the final invoice/FSR is agreed upon.</td>
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<tr>
<td>- Conveys cost share/program income to OGCA dept.</td>
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<tr>
<td>- Submits JEs and manual RSTs.</td>
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<tr>
<td>- Updates HRAFs so that payroll is not sent to suspense.</td>
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<tr>
<td>- Request FAC adjustments.</td>
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</tbody>
</table>

### Term

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<tbody>
<tr>
<td>- Approves JEs and manual RSTs.</td>
</tr>
<tr>
<td>- Makes FAC adjustments as needed.</td>
</tr>
<tr>
<td>- Prepares FSR per agency guidelines and required forms.</td>
</tr>
</tbody>
</table>

### OGCA

>30
OGCA – Term

- A copy of the FSR report is submitted to the PI/Dept with information regarding:
  - Carryover
  - Deficits
  - Residuals

- Verifies award data and that all amendments and milestones are complete and that the projects statuses have been updated to ENDED
  - Open POs can be paid
  - New POs cannot be initiated

- Residuals are kept if approved by Sponsor. If not, AP is notified to issue a refund

OGCA – Term

- AD does final review and approves the FSR

- Award close out is finalized

- Project status is set to CLOSED
  - Date effective
  - Closed = 60 days after end date

OGCA – Term

- Project Status can be changed to ARCHIVED once all of the following conditions have been met: projects within a contract have ended, have been completed cleaned and all funds have been received
  - Project is closed
  - Trial Balance is “0”
  - All Funds received
  - All agency requirements have been met
  - Progress report
  - Inventory report
  - Patent/invention reports
Project Status Adjustments

Status: Open from Closed

- Closed begins 60 days after the project end date. During the period of 60-89 days following the last day of the project, OGCA can process/approve journal vouchers to prepare for final reports and make any final necessary adjustments.

- Compass will not allow charges of any type at + 90 days from the end date. Project status adjustments can be made under the following circumstances:

  - To pay an invoice received after the project end date and no purchase requisition had been created prior to go-live
  - To submit cost-transfers/journal vouchers/RSTs following 60 days after the project end date
  - Requests to allow charges at + 90 days must be submitted to the Kerry Peluso and will only be approved in very rare circumstances
Project Status Adjustment:
Hold Future

Status: Hold Future

- When a project status is set to HOLD nothing is allowed to hit. OGCA does not have the ability to override the system. Expenses, JEs, created POs, everything will FAIL.

- To request a project be put on hold, the following should be done:
  - New Form: Project Status Hold form
  - Hold section
  - Review Hold section
  - Submit via psgrants.emory.edu

OGCA

Reconciles the FSR/Final Bill

<table>
<thead>
<tr>
<th>Deliverables to Agency</th>
<th>Department Review &amp; Finalisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>90 - Day (Typically federal)</td>
<td>60 days</td>
</tr>
<tr>
<td>60 - Day (Typically billings, foundations, NSF)</td>
<td>30 days</td>
</tr>
<tr>
<td>30 - Day (Typically billings &amp; foundations)</td>
<td>15 days</td>
</tr>
<tr>
<td>10 - 15 Days (i.e. GA awards)</td>
<td>The month before it ends</td>
</tr>
</tbody>
</table>
Relinquishments/Transfers/Terminations

- Award Transfer
- Retain Award/Change PI
- Terminated

While the transfer negotiations are in progress, the PI/Department need to review the award and project all appropriate Emory expenditures to be incurred/reported prior to the transfer of the award. Whenever practical, expenditures should be stopped prior to the anticipated transfer date, so that there is a clear understanding of total costs to be reported under the Emory award.

Upon receipt of the letter, OSP and OGCA will prepare the appropriate relinquishment forms and financial reports that will be forwarded to the Sponsor. Both OSP and OGCA must certify the transfer.
Relinquishments/Transfers

As part of the transfer process, OGCA will create an internal financial report for the award. OGCA will not certify the transfer until it is clear that all costs to be reported have been identified and/or projected. It is important for the PI/Department to have firm information on projected expenditures and to be able to verify that all costs have been included in the information provided to OGCA for the financial report. A delay in providing financial information will result in a delay in processing the relinquishment forms.

In the event that actual costs exceed the estimated costs, in many cases, Emory will not be able to collect the difference between what was reported on the relinquishment and what were actual costs. Any cost discrepancies will need to be absorbed by the Department from an unrestricted account or overrun account.

Relinquishments/Transfers

Once the financial report has been completed, OGCA will sign the relinquishment form and forward it to OSP. OSP will be the final institutional signature and OSP will forward the transfer/relinquishment form to the sponsor.

Some sponsors may require additional closeout documents such as a final inventory report, an assignment of refunds and rebates or a contractor’s release. These documents are completed and submitted by OGCA as part of the financial closeout reporting.

In rare cases the sponsor will issue a formal award modification showing the termination at Emory. OSP will issue an NOA when a modification is received. OGCA will close the account based on the relinquishing financial report date/information, whether or not an official modification or NOA has been received.

Relinquishments/Terminations

When it is determined that the award will be terminated, an official letter should be submitted to the sponsor advising them of the termination and the effective date. The letter should be signed by the PI and the Departmental Chairperson and routed to OSP/OGCA. OSP is the official institutional signatory and they will forward the letter to the sponsor. The Sponsor must be notified, as soon as possible. OSP will issue an NOA showing the effective date of the termination.

OGCA will complete the final financial report and other closeout documents that may be needed (e.g., final inventory, refunds and rebates, contractor’s release) upon receipt of the NOA or other confirming information on the termination.
Relinquishment/Substitute PI

- Official letter to sponsor for approval
- Letter must be signed by PI, Department Chair and School (multiple departments/schools require signatures from all)
- Route approval letter to OSP for Institutional signature
- OSP forwards to sponsor

Resources

 Queries: Run to review accounts and see which projects/contracts are ending

- EU_GM_PROJ_LIST_BY_PROJ_DEPTID
  This query will allow you to pull all projects by a certain Project Department ID. Useful for seeing the end dates for all projects within a certain department.
- EU_GM_PROJ_LIST_BY_CONT_DEPTID
  This query will allow you to pull all projects by the overall Contract's Department ID. Useful to see all of the projects within a contract, including projects housed in a department different than the overall contract.

Resources

 Reports/Queries: Run to review Financial Information

- SPP 2242
  Sponsored Projects Detail
- EU_GM_PROJ_TRANS_BY_CONTRACT
  Financial transactions by contract #
- EU_GM_PROJ_TRANS_BY_PROJECT
  Financial transactions by project #
- Project Variance
  Grants > Interactive Reports > Project Variance
  Budget, Actuals, Encumbrances, Uncommitted Balance
Resources

- Project Adjustment Form
- Future Project Status on Hold Form
- PreTerm Checklist
- Relinquishment/Transfer Document
- OGCA Analyst