Guide Contents

Purpose & Use .............................................................................................................................. 3
Information Needed ................................................................................................................... 3
Form Routing ............................................................................................................................. 3
  Statuses ..................................................................................................................................... 3
    • DRAFT ................................................................................................................................. 3
    • SAVED ................................................................................................................................. 3
    • SUBMITTED ....................................................................................................................... 3
    • APPROVED BY CHAIR ........................................................................................................ 3
    • APPROVED BY DEAN .......................................................................................................... 4
    • APPROVED BY ACCT ......................................................................................................... 4
    • REJECTED ........................................................................................................................... 4
    • APPROVED ........................................................................................................................ 4
Recipients .................................................................................................................................... 4
  • Email To .................................................................................................................................. 4
Initiator Instructions by Section ................................................................................................. 5
  Principal Investigator ................................................................................................................ 5
  Form Routing ........................................................................................................................... 5
  Award to Close .......................................................................................................................... 5
Validity of Request ...................................................................................................................... 6
Disposition of Unexpected Fund Balances .................................................................................. 6
PI Certification ............................................................................................................................ 6
Supervisor Instructions by Action ............................................................................................... 7
  Approve Request ...................................................................................................................... 7
  Reject Request ......................................................................................................................... 7
Approver Instructions by Action (Grant Accountant) .................................................................. 8
  Approve Request ...................................................................................................................... 8
  Reject Request ........................................................................................................................ 9
Approver Instructions by Action (Office of Research) ................................................................. 10
  Approve Request ...................................................................................................................... 10
  Reject Request ........................................................................................................................ 10
Contacts ....................................................................................................................................... 11
  Technical Issues ...................................................................................................................... 11
  Research Policy/Scenario Questions ....................................................................................... 11
**Purpose & Use**

The **Fixed Price Closeout Request** form is used to request a closeout of a fixed price award.

**Information Needed**

- PI contact information
- Department head/chair/director and dean/VP contact information
- Award ID
- Grant ID and expiration date
- Whether the PI has a PI Enhancement (PIE) account
- Information regarding the award and its status

**Form Routing**

![Diagram showing form routing through Initiator/PI, Department Head/Chair/Director, Dean/VP, Office of Research, and back to Initiator/PI]

**_statuses**

**DRAFT**

The form opens in **Draft** status and can be edited by the initiator. Once the form is submitted, it will no longer be in **Draft** status.

**SAVED**

If a draft form is submitted without a PI’s certification, the form will enter **Saved** status.

The PI (and the initiator, if different) will receive an email prompting the PI to make the necessary certifications and then resubmit the form.

**SUBMITTED**

If a draft form is submitted with a PI’s certification, the form will enter **Submitted** status.

The request will forward to the listed department head/chair/director for approval. The initiator (and the PI, if different) will be copied on the email.

**APPROVED BY CHAIR**

If a submitted form is approved by the department head/chair/director, the form will enter **Approved by Chair** status.

The request will forward to the listed dean/vice president for approval. The initiator (and the PI, if different) will be copied on the email.
Fixed Price Closeout Request

APPROVED BY DEAN

If a form is approved by both the department head/chair/director and the dean/vice president, the form will enter Approved by Dean status.

The request will forward to the Office of Research for approval.

APPROVED BY ACCT

If a form is approved by the department head/chair/director, the dean/vice president, and a grant accountant in the Office of Research, the form will enter Approved by Acct status.

The request will forward to the Office of Research for additional approval.

REJECTED

If a submitted form is rejected by any party, the form will enter Rejected status.

The initiator (and the PI, if different) will receive notification of the rejected form via email.

APPROVED

If a submitted form is fully approved by the Office of Research, the form will enter Approved status.

The initiator (and the PI, if different) will receive notification of the approved form via email.

Recipients

- SAVED
  - PI
  - Initiator (if different)

- SUBMITTED
  - Department head/chair/director
  - Initiator
  - PI (if different)

- APPROVED BY CHAIR
  - Dean/vice president
  - Initiator
  - PI (if different)

- APPROVED BY DEAN
  - Office of Research

- APPROVED BY ACCT
  - Office of Research

- REJECTED
  - Initiator
  - PI (if different)

- APPROVED
  - Initiator
  - PI (if different)

Email To

If the form needs to be sent to any recipients other than those listed above, any user can add any UNO email address into the Email To field and then submit the form. The user will be copied on an email sent to the entered email address.
Initiator Instructions by Section

Principal Investigator

<table>
<thead>
<tr>
<th>Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name:</td>
</tr>
<tr>
<td>Last Name:</td>
</tr>
<tr>
<td>Email:</td>
</tr>
<tr>
<td>College:</td>
</tr>
<tr>
<td>Department:</td>
</tr>
</tbody>
</table>

1. **First Name**: Enter the first name of the PI.
2. **Last Name**: Enter the last name of the PI.
3. **Email**: Enter the UNO email address for the PI.
4. **College**: Select the PI’s college from the dropdown menu.
5. **Department**: Select the PI’s department from the dropdown menu.

Form Routing

<table>
<thead>
<tr>
<th>Form Routing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
</tr>
<tr>
<td>Head/Chair/Director Email:</td>
</tr>
<tr>
<td>Dean/VP Email:</td>
</tr>
</tbody>
</table>

1. **Department Head/Chair/Director Email**: Enter the UNO email address for the department head/chair/director.
2. **Dean/VP Email**: Enter the UNO email address for the dean/vice president.

Award to Close

<table>
<thead>
<tr>
<th>Award to Close</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award ID:</td>
</tr>
<tr>
<td>Grant ID:</td>
</tr>
<tr>
<td>Grant Expiration Date:</td>
</tr>
<tr>
<td>Department:</td>
</tr>
<tr>
<td>Does the PI have a PI Enhancement (PIE) account?</td>
</tr>
</tbody>
</table>

1. **Award ID**: Enter the award ID (obtained in Workday).
2. **Grant ID**: Enter the grant ID (obtained in Workday).
3. **Grant Expiration Date**: Enter or select the grant expiration date.
4. **Department**: Select the department in which the award is housed from the dropdown menu.
5. Indicate whether or not the PI has a PI Enhancement (PIE) account.
Validity of Request

Answer a series of YES/NO questions indicating whether or not the award is eligible for a fixed price closeout.

<table>
<thead>
<tr>
<th>Validity of Request</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>The contract is fixed price (i.e., there is no provision for the return of unexpended funds to the sponsor).</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>All work has been completed. All interim and final progress, technical reports, and/or deliverables have been submitted as required by the terms of the contract. Copies of all reports have been provided to the Office of Research.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>All encumbrances and pre-encumbrances have been liquidated.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>All salaries have been transferred to another source of funding as of the expiration date.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>All allocable charges, including travel charges incurred prior to the expiration date, have been posted to the account.</td>
<td>☐</td>
<td>☑</td>
</tr>
</tbody>
</table>

Disposition of Unexpected Fund Balances

Read the policies listed in the form regarding the disposition of unexpected fund balances. Then, indicate whether or not you need to request an exception to the listed policies.

If you request an exception, explain why the balance exists.

<table>
<thead>
<tr>
<th>Disposition of Unexpected Fund Balances</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upon completion of a fixed price contract and final determination of the unexpended balance, the Office of Research will first apply these funds to cover overdrawn projects belonging to the PI.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>UNO’s full F&amp;A rate will be charged on the entire remaining award budget, even if a lower rate was allowed at the proposal stage.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Residual balances in excess of 15% will be retained by the Office of Research. Any remaining residual balance in excess of $500.00 will be transferred to the PI Enhancement (PIE) account.</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Any residual balance less than $500.00 will be transferred to the F&amp;A cost reserve account of the college or center/institute.</td>
<td>☐</td>
<td>☑</td>
</tr>
</tbody>
</table>

Request a Policy Exception?

If the residual balance is in excess of 15% of the total award, please (1) provide an explanation below why balance exists and (2) obtain the dean/vice president’s signature.

Please explain why the balance exists:

PI Certification

1. Read Administrative Policy AP-RE-07.2.
2. Make the required certifications by clicking the check box. Your username and the date will auto-populate in the Approvals section at the bottom of the form.
3. After clicking the check box, click the Submit button in the ribbon at the top.
4. The department head/chair/director will be notified of the request via email. The PI (and the initiator, if different) will be copied.
Supervisor Instructions by Action

Approve Request

1. To approve the Fixed Price Closeout Request, scroll down to the Approvals section at the bottom.

2. **Department Head/Chair/Director:** The department head/chair/director should click this check box to approve the request. Your username and the date will auto-populate.

3. **Dean/VP:** The dean/vice president should click this check box to approve the request. Your username and the date will auto-populate.

4. **Submit:** After clicking the appropriate check box, click the Submit button in the ribbon at the top.

5. After the department head/chair/director has given their approval, the request will forward to the dean/vice president. The PI (and the initiator, if different) will be copied.

6. After the dean/vice president has given their approval, the request will forward to the Office of Research.

Reject Request

1. To reject the Fixed Price Closeout Request, click **Reject this form** at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).
3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.

5. The PI (and the initiator, if different) will receive an email similar to below:

   ![Email Example](image)

   **Approver Instructions by Action (Grant Accountant)**

   **Approve Request**

   **Office of Research Certifications**
   - All interim and final progress and technical reports have been submitted.
   - All payments required under the contract have been received by UNO.

   **Closeout Checklist (Internal Only)**
   Please enter the Form ID of the completed internal [closeout checklist](#). Enter the form ID *exactly* as it appears at the top of the form that corresponds with this request.

   Form ID: [ ]
   Click to view checklist:

   1. To approve the Budget Amendment Request, scroll down to the **Office of Research Certifications** section.

   2. Click both check boxes to make the indicated certifications.

   3. **Form ID:** Enter the form ID of the internal closeout checklist exactly as it appears in the corresponding form.

   ![Approval Table](image)
4. **Grant Accountant:** Click this check box to approve the request. Your username and the date will auto-populate. (Note: This check box will be disabled if you have not confirmed the above certifications.)

5. **Submit:** After clicking the check box, click the **Submit** button in the ribbon at the top.

6. The Grant Administration Manager will be notified via email.

**Reject Request**

1. To reject the Fixed Price Closeout Request, click **Reject this form** at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.

5. The PI (and the initiator, if different) will receive an email similar to below:

```
Fixed Price Closeout request form jelandr1-20201208104240 has been rejected by jelandr1 for the following reason:

"This is the reason I gave for rejecting the request."

Please do not submit a new form. If you would like to resubmit your request:

1. Return to the form.
2. Check the box to clear out all signatures.
3. Remove the rejection section.
4. Modify the form and re-submit for approval.

All instructions are also included in the body of the form.
```
### Approver Instructions by Action (Office of Research)

#### Approve Request

1. To approve the Budget Amendment Request, scroll down to the **Office of Research Certifications** section.

2. Verify the information entered by the Grant Accountant. Verify the information in the internal Closeout Checklist.

3. **Office of Research**: Click this check box to approve the request. Your username and the date will auto-populate. (Note: This check box will be disabled if the grant accountant has not confirmed the above certifications.)

4. **Submit**: After clicking the check box, click the **Submit** button in the ribbon at the top.

5. The PI (and the initiator, if different) will be notified via email.

#### Reject Request

6. To reject the Fixed Price Closeout Request, click **Reject this form** at the top of the form.

7. **Reason for Rejecting**: You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

8. **Sign**: Sign the form. Your username and the date will auto-populate.

9. **Submit**: After signing the form, click the **Submit** button in the ribbon at the top.
10. The PI (and the initiator, if different) will receive an email similar to below:

```
Subject: Rejected: Fixed Price Closeout Request jelandr1-20201208104240

To: Julie Eline Landry

Fixed Price Closeout request form jelandr1-20201208104240 has been rejected by jelandr1 for the following reason:

“This is the reason I gave for rejecting the request.”

Please do not submit a new form. If you would like to resubmit your request:

1. Return to the form.
2. Check the box to clear out all signatures.
3. Remove the rejection section.
4. Modify the form and re-submit for approval.

All instructions are also included in the body of the form.
```

## Contacts

### Technical Issues

If you encounter a technical issue with the SharePoint form, contact Julie Landry at jelandr1@uno.edu.

### Research Policy/Scenario Questions

If you have a question about your submission or its results, contact the appropriate member of your [service team](#) as indicated on the Office of Research website.