Closeout Subcommittee

• Subcommittee under Operations and Policy Committee (OPC)

• Membership includes:
  o OSP: Tricia Hopkins, Marc Todesco (lead)
  o HMS: Rita Bergemann, Sheila Doyle
  o HSPH: Jen Neira
  o Wyss: Nicole Boquet

• Award Management Checklist
  • New resource to assist with managing and closing out sponsored awards
Awards Management Checklist

• Supplemental resource for the “Closeout and Reporting Policy for Sponsored Awards” revised in May 2021

• Developed from an existing checklist deployed at the Harvard Kennedy School

• Checklist was piloted by schools and departments over the past year
NOT JUST ANOTHER CHECKLIST!

- Tool for Grant Managers
- Consolidated list of activities
- Links to resources
- Customizable
- Not required by OSP!
Who should use the checklist?

- Department Local Level Managing Units (DLLMU)
  - Grant managers, research administrators, etc.

- Department Managers
  - Can implement locally to improve internal controls and procedures

- New staff
  - Outlines a range of activities to monitor during the award and at closeout

**Note:** the checklist is NOT REQUIRED BY OSP
## Benefits of the Checklist

- **Award management tool** that is useful to new or existing grant managers who manage sponsored awards
- **Provides** grant managers with a list of common areas that require oversight and monitoring
- **Reminders** for potential compliance issues

### Separate checklists for:
- **During Award**
- **During Closeout**
- **Can be used as a “hand-off”**
  - **Helpful when transferring portfolios across staff**

---

### Award Management Checklist – During Award

<table>
<thead>
<tr>
<th>Activity</th>
<th>Primary and Secondary</th>
<th>Tracking and Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disbursements/Invoices</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
<tr>
<td>Expenses</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
<tr>
<td>Reports</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
</tbody>
</table>

### Award Management Checklist – During Closeout

<table>
<thead>
<tr>
<th>Activity</th>
<th>Primary and Secondary</th>
<th>Tracking and Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Closeout</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
<tr>
<td>Financial</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
<tr>
<td>Closeout</td>
<td>OUP, P2P</td>
<td>OUP, P2P</td>
</tr>
</tbody>
</table>
Other Features

- Downloadable from the “Resources” section of the Closeout Policy

- Excel file
  - Customizable based on award terms

- Includes:
  - Links to relevant policies and guidance
  - User Guide and FAQs
**Award Management Checklist - During Award**

<table>
<thead>
<tr>
<th>Topic</th>
<th>Checklist Activity</th>
<th>Higher Priority</th>
<th>Secondary Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Award Balance</strong></td>
<td>Make sure all funded Project Schedules are entered in the Financial System and the Award Project Schedules are aligned with the Award documents.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
<tr>
<td><strong>Award Balance</strong></td>
<td>Make sure all funded Project Schedules are entered in the Financial System and the Award Project Schedules are aligned with the Award documents.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
<tr>
<td><strong>Award Balance</strong></td>
<td>Check for all research equipment over $25,000 and any outstanding subcontracts for the awarding of the project.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
<tr>
<td><strong>Award Balance</strong></td>
<td>Award Funds must be used in accordance with the terms and conditions of the agreements.</td>
<td>L/O/L/P</td>
<td></td>
</tr>
<tr>
<td><strong>Award Balance</strong></td>
<td>Award funds must be used in accordance with the terms and conditions of the agreements.</td>
<td>L/O/L/P</td>
<td></td>
</tr>
<tr>
<td><strong>Award Balance</strong></td>
<td>Award funds must be used in accordance with the terms and conditions of the agreements.</td>
<td>L/O/L/P</td>
<td></td>
</tr>
<tr>
<td><strong>Personnel</strong></td>
<td>Ensure personnel have the necessary certifications and clearances.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
<tr>
<td><strong>GL Adjustments</strong></td>
<td>Ensure all GL adjustments are accurate and made in a timely manner.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
<tr>
<td><strong>GL Adjustments</strong></td>
<td>Ensure all GL adjustments are accurate and made in a timely manner.</td>
<td>L/O/L/P</td>
<td>L/O/L/P</td>
</tr>
</tbody>
</table>

**Legend:**
- **L**: Low Priority
- **O**: Regular Priority
- **P**: High Priority
- **L/O/L/P**: Low to High Priority
- **O/L/P**: Regular to High Priority
- **P/L/P**: High to Low Priority
- **L/P/L/P**: Low to Medium to High Priority
- **O/P/L/P**: Regular to Medium to High Priority
- **P/L/P/L/P**: High to Medium to Low to High Priority

Note: Fields to record the completion of activities and any relevant comments throughout the table.
REMINDERS AND RESOURCES

• Downloadable from the “Resources” section of the Closeout Policy
  • Blog post to follow, once the checklist is available

• The Award Management Checklist is not required by OSP
  • Download and save locally (not in GMAS)

• The checklists are comprehensive but not exhaustive
  • Can be customized based on local procedures and award terms

• For any future questions or feedback, please reach out to one of the Closeout Subcommittee representatives listed below

  OSP: Tricia Hopkins, Marc Todesco (lead)                       HSPH: Jen Neira
  HMS: Rita Bergemann, Sheila Doyle                             Wyss: Nicole Boquet
Notes from Demo: User Guide Tab

- When to use each checklists
  - During Award – use up to 90-days prior to award/account end
  - During Closeout – use 90-days prior to award/account end through closeout

- Frequently asked questions (FAQs)

- How to use the checklists
  - Review checklists monthly
  - Save locally (not in GMAS)
  - Customize checklist based on award terms
  - Record and track notes for each activity
Notes from Demo: During Award

- Download and save a checklist for each project
- Helpful reminders to review as part of monthly reconciliation and when preparing for meetings with PI
- Checklist activities arranged by topic
  - Includes links to related policies and guidance
- Checklist can be filtered and sorted
  - Identifies “higher priority” items with an asterisk*
- Identifies the Primary and Secondary roles responsible for each activity
- Area for Notes to track each activity and Additional Comments
Notes from Demo: During Closeout

- Includes the same functionality as the “During Award” checklist
- Outlines specific actions to take during closeout