Grants Management Division (GMD)

User Manual

Award Closeout Processing

NOAA Grants Online Program Management Office

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Version 4.28
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Closeout Process

The closeout process cannot begin until the Award expiration date has passed and the Award status has changed from Accepted to Expired. The Grantee can then submit the Final Performance Progress Report and the Final Federal Financial Report. When all Final reports are received and accepted (steps 1 - 3b/4b on the GMD-4 process map), the Grant Specialist(s) affiliated with the Line Office/Region for the Award receives an email notification that work can then commence on the Financial Closeout (step 6 on the GMD-4 process map). The De-Obligation memo is sent to the Grants Officer for approval. Once the De-Obligation memo is approved, any remaining ASAP funds should be de-authorized.

When the Financial Closeout is complete, the Administrative (Manual) Closeout must also be addressed. Completion of the Administrative Closeout is a manual process that requires one of three responses: Yes, No, or N/A to a series of questions.

Please note, step-by-step instructions in this guidance document focus on steps 6 – 31 on the GMD-4 process map below (surrounded by the blue box).

**Note (EDA):** In this document the term Grants Management Division (GMD) is synonymous to Grants Management.
1. There is no task to initiate the Financial Closeout of an Award. To commence the Financial Closeout, click the Awards tab and then click the Search Awards link.

2. From the Search Awards page, the user has the option to input information for one or more data element(s) or just click the Search button to view Awards for his/her organization.

3. Click the Search button.

4. When the search results display, click the Award Number link for the Award for which the Financial Closeout should occur.
5. The Grants File launch page is displayed. Choose **Initiate Financial Closeout** from the Action dropdown menu and click the **Submit** button.

![Grants File - NA18NOS4810020](image)

**NOTE:** If the user does not have the **Initiate Financial Closeout** option, refer to the **Override Section**.

6. The De-obligation Memo is displayed.

![De-obligation Memo](image)

**NOTE:** If any money remains on a NOAA Interfaced Award, the Financial Closeout Checklist box will be checked automatically. When the Financial Closeout Checklist box is checked, the memo will automatically go to the Finance Reviewer for review.
7. The section in the blue box below indicates the **Total De-obligation Amount from CBS** and the subsequent **ACCS Line** are only applicable to NOAA Interfaced Awards. For all other Awards, the de-obligation amount defaults to zero on the screen but the actual de-obligation amount is based on the Final Financial Report.

8. Under Justification for De-obligation, choose the applicable template.

![Justification for De-obligation](image)

The selected template results in standard language being populated in the text box. The user should modify as appropriate.

9. As appropriate, update the Financial Closeout Checklist checkbox.

![Financial Closeout Checklist](image)

**NOTE:** EDA must manually check this box if there is money left on the Award.
10. To include attachments, at the bottom of the screen, click the [+] sign beside the words "Add new Attachment."

11. When the below screen displays, there are two mandatory fields: Filename* and Description*. Click the Choose File button to navigate to the file you would like to attach. Provide a brief description of the attachment. When finished with data entry, click the Save Attachment button.

12. The user must click the Save and Start Workflow button to proceed to the next step. The workflow should be started after all relevant information has been entered for the de-obligation memo and all attachments have been included.
13. If funds remain or if the reconciliation box is checked, to move the de-obligation memo forward in the closeout process, the Grants Specialist should choose **Forward De-obligation to Finance Reviewer** from the Action dropdown menu.

![Forward De-obligation to Finance Reviewer](image1.png)

If no funds remain, the user will have the option to **Forward De-obligation to Grants Officer**. After selecting the appropriate option click the **Submit** button to complete the task.

![Forward De-obligation to Grants Officer](image2.png)

14. Once the Financial Reviewer approves the de-obligation memo, the task is sent to the Grants Officer for approval. The screen below shows Review De-obligation as a task in the Grants Officer's Inbox.

![Your Tasks](image3.png)
15. When appropriate, the Grants Officer should choose the **Review / Revise De-obligation Memo** option and when satisfied with the details in the Memo, choose the **Approve De-Obligation Memo** option from the Action dropdown menu. Click the **Submit** button.

![Financial Closeout - NA18NOS4810020](image)

**NOTE:** If the Grants Officer attempts to approve the De-Obligation Memo for a NOAA Interfaced Award more than 90 days after the Award expiration date, ASAP processing is no longer available. Therefore, an error message will be displayed. To remedy the error, the Grants Officer must notify the Grants Online Help Desk in writing regarding the error. The Help Desk contacts GMD on behalf of the Grants Officer. GMD updates the data so the Grants Officer can approve the Financial Closeout De-Obligation Memo in Grants Online.

16. This completes the Financial Closeout task. If the user navigates to the Grant File, this is noted as per the screenshot below.

![Sub Documents](image)

**Associated Documents**

- **Financial Closeout**
  - ID: 2569057
  - Title: Financial Closeout
  - Status: Completed
  - Status Date: 11/13/2017

[Correspondence and Federal Reports](image) (This section not viewable by recipient users.)
Initiate Administrative (Manual) Closeout

1. There is no task to initiate the Administrative (Manual) Closeout of an Award. To commence the Administrative (Manual) closeout, click the Awards tab and then click the Search Awards link.

2. From the Search Awards page, the user has the option to input information for one or more data element(s) or click the Search button to view Awards for his/her organization.

3. Click the Search button.

4. When the search results display, click the Award Number link next to the Award for which the Administrative (Manual) Closeout should occur.

5. The Grants File launch page is displayed. Choose Initiate Manual Closeout from the Action dropdown menu and click the Submit button.
NOTE: If the user does not have the **Initiate Manual Closeout** option, refer to the **Override Section**.

6. The Administrative (Manual) Closeout screen is displayed. A response **must** be provided for each item.

<table>
<thead>
<tr>
<th>Award Number: NA16GOT0060014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of non-Federal entity: ATLANTIC SALMON FEDERATION INC</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>* 1. Have all the countersigned copies of the grant award/amendments been accepted?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 2. Have the Cost-Share/Match requirements been met in accordance with award requirements?</td>
</tr>
<tr>
<td>(Refer to Grant File header, PO Checklist, SF-424/SF-424A, and Final SF-425, etc.)</td>
</tr>
<tr>
<td>* 3. Are the indirect cost requirements consistent with the award and the Indirect Cost Rate Agreement attached to the Organizational Profile?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 4. As identified on the Program Officer’s checklist, Federal Agency-owned equipment provided to the non-Federal entity for use under this award was accounted for on a SF-428B.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 5. A Tangible Personal Property Report (SF-128, SF-428B, or SF-4285, as needed) for this non-research award with budgeted equipment and/or supplies in excess of $5,000 in accordance with the final budget (SF-424A) was submitted.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 6. If real property was purchased under the award, ensure the Real Property Report (SF-429) has been received and attached to the grants file.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 7. Proper documentation was submitted for patents/royalties/inventions contemplated under this award.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 8. Have all the Specific Award Conditions (SACs) with due dates been satisfied?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 9. Has the final Federal Financial (SF-425) Report been received and accepted?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 10. If applicable, has the final Request for Advance or Reimbursement (SF-270) payment been received and accepted?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 11. Has the final performance progress report been received and accepted?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 12. If there are unobligated federal funds remaining, confirm that the de-obligation process is complete.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 13. Is the Single Audit report current before closing out the expired award? Ensure that the Single Audit report and/or the Image Management System (IMS) report is current and attached to the organizational profile.</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>* 14. If applicable, has the &quot;For-profit Audit Requirement&quot; SAC been satisfied?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

Note: The Attachments link does not appear until the document is saved.
7. At any time to add an attachment click the **Save** button; the Attachments link is visible at the bottom of the page. Click the [+] sign beside the words Add New Attachment.
8. When the Attachments section displays, there are two mandatory fields: Filename* and Description*. Click the Choose File button to navigate to the file you would like to attach.

9. Provide a brief description of the attachment. When finished with data entry, click the Save Attachment button.
10. The user must click the **Save and Start Workflow** button to proceed to the next step. The workflow cannot start until all questions have been answered.
11. To complete the closeout process, the Grants Specialist should choose the **Forward Checklist to Grants Officer** option from the Action dropdown menu. Click the **Submit** button to complete the task.

![Closeout Checklist](image)

12. The screen below shows the **Review GMD Closeout** task in the Grants Officer’s Inbox. Click the **View** button on the line for that task.

![Your Tasks](image)
13. When appropriate, the Grants Officer should choose the **Review Closeout Checklist** option and when satisfied that all tasks have been complete, choose the **Close Award** option from the Action dropdown menu. Click the **Submit** button.

![Closeout Checklist](image)

**NOTE:** This step cannot be reversed.

14. This completes the Award Closeout. If the user navigates to the Grants File, the Status is “Closed” and the Closeout Date is displayed as shown in the screen image below.

![Grants File](image)
Override Options

On occasion, the Grants Specialist will need to Initiate Closeout with the Override GMD Policy option. The circumstances for which an override will be necessary are as follows:

- The Grantee did not or cannot submit the Final Performance Progress Report
- The Grantee did not or cannot submit the Final Federal Financial Report
- An Award Action Request (AAR) was not completed, for example if the AAR was not accepted by the Grantee
- There is an Award File in Progress and the Grant has expired

**NOTE:** Once the Grants Specialist has started the Override option, the Grantee will not be able to submit the Final reports via Grants Online. Any additional reports can be uploaded as an attachment to the Grants File by the Grants Specialist.

In the case of an AAR that was not completed, any open actions will be labeled “Terminated” upon closeout.

Initiate Financial Closeout - Override Option

1. There is no task to initiate the Financial Closeout of an Award. To commence the Financial Closeout, search for the appropriate Award and navigate to the Grants File launch page.

2. From the Grants File launch page choose **Initiate Financial Closeout – Override GMD Policy** from the Action dropdown menu and click the **Submit** button.
3. The Financial Closeout screen displays. The screen lists the policy issues that require the override process. Enter the Justification for Overriding GMD Policy and click the **Save** button.

![Financial Closeout screen](image)

4. To continue with the process, reference steps 6 - 16 in the [Initiate Financial Closeout](#) section.
Initiate Administrative (Manual) Closeout - Override Option

1. There is no task to initiate the Administrative (Manual) Closeout of an Award. To commence the Administrative (Manual) Closeout, search for the appropriate Award and navigate to the Grants File launch page.

2. From the Grants File launch page choose **Initiate Manual Closeout – Override GMD Policy** from the Action dropdown menu and click the **Submit** button.

3. The Manual Closeout Policy Issues screen displays. The screen lists the policy issues that require the override process. Enter the Justification for Overriding GMD Policy and click the **Save** button.

4. To continue with the process, reference steps 6 - 14 in the **Initiate Administrative (Manual) Closeout** section.