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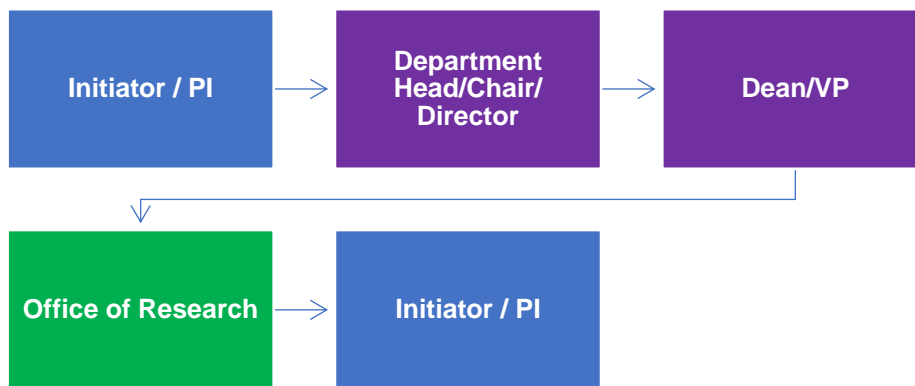
Purpose & Use

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



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.

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

Principal Investigator	
First Name:	<input type="text"/> *
Last Name:	<input type="text"/> *
Email:	<input type="text"/> *
College:	Select... * ▼
Department:	<input type="text"/> * ▼


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

Form Routing	
Department	<input type="text"/> *
Head/Chair/Director Email:	<input type="text"/> *
Dean/VP Email:	<input type="text"/> *

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

Award to Close	
Award ID:	<input type="text"/> *
Grant ID:	<input type="text"/> *
Grant Expiration Date:	<input type="text"/> * 
Department:	<input type="text"/> * ▼
Does the PI have a PI Enhancement (PIE) account? <input type="checkbox"/> Yes <input type="checkbox"/> No	

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.

Validity of Request	
The contract is fixed price (i.e., there is no provision for the return of unexpended funds to the sponsor).	<input type="checkbox"/> Yes <input type="checkbox"/> No
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.	<input type="checkbox"/> Yes <input type="checkbox"/> No
All encumbrances and pre-encumbrances have been liquidated.	<input type="checkbox"/> Yes <input type="checkbox"/> No
All salaries have been transferred to another source of funding as of the expiration date.	<input type="checkbox"/> Yes <input type="checkbox"/> No
All allocable charges, including travel charges incurred prior to the expiration date, have been posted to the account.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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.

Disposition of Unexpected Fund Balances	
<ul style="list-style-type: none"> 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. UNO's full F&A rate will be charged on the entire remaining award budget, even if a lower rate was allowed at the proposal stage. 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. Any residual balance less than \$500.00 will be transferred to the F&A cost reserve account of the college or center/institute. 	
<p>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.</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No
<p>Please explain why the balance exists:</p> <div style="border: 1px solid gray; height: 40px; width: 100%;"></div>	

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.

PI Certification

Please [click here](#) to read Administrative Policy AP-RE-07.2.



I certify that all salaries have been charged commensurate with the percent of effort commitments made to the sponsor in the proposal and/or award. I further certify that all allocable charges associated with the scope of work of the project have been properly charged to the account and have not been charged to the general fund, another sponsored project, or any other university or UNO Foundation account.

Supervisor Instructions by Action

Approve Request

Approvals		(anyone may reject the request at the top of the form)
Principal Investigator:	jelandr1	1/6/2021
Department Head/Chair/Director:	<input type="checkbox"/> I approve this request.	
Dean/VP:	<input type="checkbox"/> I approve this request.	
Grant Accountant:	<input type="checkbox"/> I approve this request.	
Office of Research:	<input type="checkbox"/> I approve this 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.

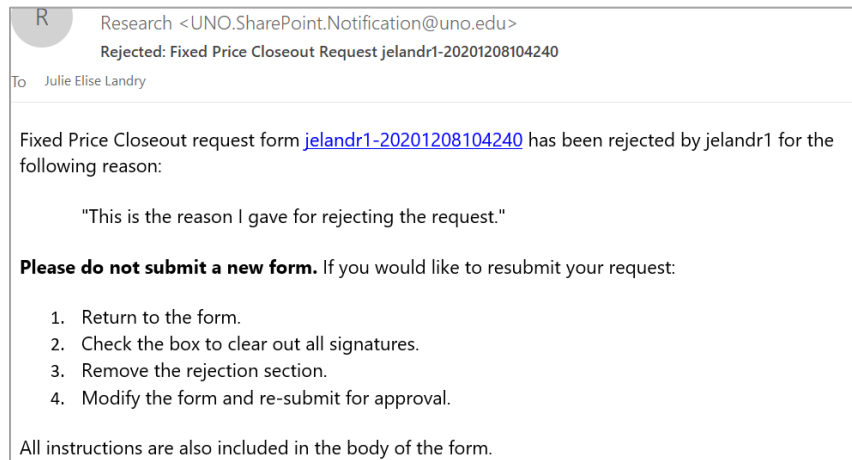
Reject Request

Reason for Rejecting:	<input style="width: 100%; height: 40px;" type="text"/>
Sign:	<input style="width: 100%; height: 20px;" type="text"/>

Click "Submit" in the ribbon above to reject the form.

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:



Approver Instructions by Action (Grant Accountant)

Approve Request

Office of Research Certifications	
<input type="checkbox"/>	All interim and final progress and technical reports have been submitted.
<input type="checkbox"/>	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:	<input type="text"/>
Click to view checklist:	

1. To approve the Fixed Price Closeout 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.

Approvals <i>(anyone may reject the request at the top of the form)</i>		
Principal Investigator:	jelandr1	1/6/2021
Department Head/Chair/Director:	<input checked="" type="checkbox"/> I approve this request. jelandr1	1/6/2021
Dean/VP:	<input checked="" type="checkbox"/> I approve this request. jelandr1	1/6/2021
Grant Accountant:	<input type="checkbox"/> I approve this request.	
Office of Research:	<input type="checkbox"/> I approve this request.	

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

Reason for Rejecting:

Sign:

Click "Submit" in the ribbon above to reject the form.

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:

R Research <UNO.SharePoint.Notification@uno.edu>
Rejected: Fixed Price Closeout Request jelandr1-20201208104240

To Julie Elise 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.

Approver Instructions by Action (Office of Research)

Approve Request

Office of Research Certifications		
<input checked="" type="checkbox"/>	All interim and final progress and technical reports have been submitted.	
<input checked="" type="checkbox"/>	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:	<input type="text" value="jelandr1-20210106100958"/>	
Click to view checklist:	jelandr1-20210106100958	
Approvals <i>(anyone may reject the request at the top of the form)</i>		
Principal Investigator:	jelandr1	1/6/2021
Department Head/Chair/Director:	<input checked="" type="checkbox"/> I approve this request. jelandr1	1/6/2021
Dean/VP:	<input checked="" type="checkbox"/> I approve this request. jelandr1	1/6/2021
Grant Accountant:	<input checked="" type="checkbox"/> I approve this request. jelandr1	1/6/2021
Office of Research:	<input type="checkbox"/> I approve this request.	

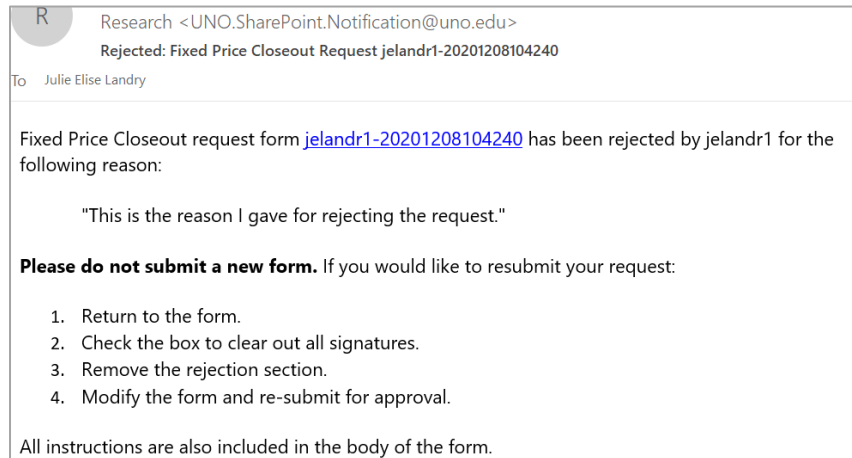
1. To approve the Fixed Price Closeout Request, scroll down to the **Office of Research Certifications** section.
2. Verify the information entered by the Grant Accountant. Verify the information in the internal Closeout Checklist.
3. **Office of Research:** Click this check box to approve the request. 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

Reason for Rejecting:	<input type="text"/>
Sign:	<input type="text"/>
Click "Submit" in the ribbon above to reject the form.	

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:



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.

Document Notes

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