Subaward Closeout

Overview

California Institute of Technology’s (Caltech) subaward closeout is the administrative process of completing all internal procedures and sponsor requirements when a subaward is complete.

Policy Statement

The closure of sponsored grants and contracts is dependent on the closeout of any/all supporting subawards. A subaward is subject to closeout only after the period of performance end date is reached and all services, including any reports, and data, have been delivered to and are accepted by Caltech. To ensure the timely closure of federally funded prime grants/contracts, Caltech incorporates language in its subawards requiring the delivery of all final reports and the final invoice typically within sixty (60) days of subaward completion.

Reports

During subaward closeout, the subrecipient must submit all required financial, performance, and other reports as outlined by the sponsored award. To facilitate this requirement, the following documents are necessary to complete the closeout process. Subs will need to submit items 1-5 to Caltech.

<table>
<thead>
<tr>
<th>Closeout Subaward Statement</th>
<th>This document is submitted by Caltech’s Principal Investigator (PI) confirming that all work under the subaward is complete. The subaward closeout process will commence upon receipt of this document.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Completion Notification Letter</td>
<td>A letter is sent to the subrecipient to advise them about the project completion.</td>
</tr>
<tr>
<td>1. Property/Equipment Report</td>
<td>The subrecipient must identify all materials and/or equipment acquired using award funds including property provided by the sponsor and/or purchased by a subrecipient/subcontractor/contractor.</td>
</tr>
<tr>
<td>2. Financial Report/Release of Claims</td>
<td>The subrecipient must provide a “Contractor’s Release of Claims and Assignment of Refund, Rebates, and Credits” form indicating the total sum paid or is to be paid under the subaward.</td>
</tr>
<tr>
<td>3. Invention Report</td>
<td>The subaward must provide a “Report of Invention” on inventions</td>
</tr>
</tbody>
</table>

- a. NIH form: [click here](#)
- b. DOE form: [click here](#)
- c. NASA form: [click here](#)
- d. DOD, NSF and all other federal: [click here](#)
4. **OMB Single Audit Certification or other Audit certification**

“pass through entity” to monitor the activity of subrecipients of federal funds.

**Entities subject to 2 CFR 200 Subpart F Single Audit**
- [click here](#) for: a. **Single Audit Certification**

For-profit and all other entities who have **not** conducted a 2 CFR 200 Subpart F Single Audit
- [click here](#) for: b. **Mini-Audit Questionnaire**

5. **Final Invoice**

The final invoice must:

- a. indicate “FINAL OR FINAL INVOICE”
- b. include Caltech Agreement number
- c. include required Uniform Guidance certification language from 2 CFR 200.415(a):

  By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

- d. be emailed to [accountspayable@caltech.edu](mailto:accountspayable@caltech.edu)

All closeout documents (except Final Invoice*) should be emailed to [SubcontractCloseouts@Caltech.edu](mailto:SubcontractCloseouts@Caltech.edu).