

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.

Closeout Subaward Statement *Caltech use only	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. A-Closeout_Subaward_Statement.pdf
Project Completion Notification Letter	A letter is sent to the recipient to advise them about the project completion. Notification_Letter.pdf
Property/Equipment Report	The subaward must identify all materials and/or equipment acquired using award funds including property provided by the sponsor and/or purchased by a subrecipient. 2-Property_Closeout_Certificate.pdf
Financial Report	The subaward 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. 3-Release_of_Claims.pdf
Invention Report	The subaward must provide a "Report of Invention" on inventions, if any, that includes: <ul style="list-style-type: none">• Name of the subrecipient and subaward number• Prime contractor and contract number• Name of inventor(s)• Title of invention(s)• Disclosure number, patent application serial number or patent number

	<ul style="list-style-type: none"> • Date of production and patent application • Any royalty income, if applicable <p>4-Report of Inventions.pdf</p>
OMB Circular A-133	<p>OMB Circular A-133 requires the California Institute of Technology, as a “pass through entity” to monitor the activity of subrecipients of federal funds.</p> <p>5-A-133 Certification.pdf</p>
Final Invoice	The final invoice must indicate “FINAL OR FINAL INVOICE”
Complete Closeout Packet	Complete Blank Closeout Documents.pdf

All closeout documents should be sent to SubcontractCloseouts@Caltech.edu.