

State of Vermont
Agency of Natural Resources
Department of Environmental Conservation

Financial Procedure:	Federal Grant Close Out	Effective Date:	7/1/2022
Applicable To:	Department of Environmental Conservation	Revision Date:	7/25/2022
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Procedure Objective

To detail the close out process of all grants and contracts issued by the Department of Environmental Conservation (DEC). This process is applied to both contracts and grants. The DEC follows a process which ensures a complete and accurate grant file has been maintained as required by [Agency of Administration Bulletin 5 and 3.5](#).

Impacted Department or Divisions

Administration and Innovation Division (AID) and the Water Investment Division (WID) within the DEC.

Resources Required

- VISION Grant Tracking Module: <https://finance.erp.vermont.gov/psp/FMPRD/?cmd=login&languageCd=ENG&>
- Grants and Contracts Management System (GCMS): <http://anrintra.vt.gov/DEC/GCDMS/Default.aspx>
- DEC Internal Staff SharePoint Vendor Certificate Library: <http://anrconnect/sites/AccountsPayable/Certificates%20of%20Insurance/Forms/AllItems.aspx>
- Documents and tools utilized the agreement File Close Out process include:
 - Disposition & Ownership of Equipment Request template
 - Agreement File Review Checklist
 - Close-Out letter template
 - GCMS Task List Report

Governing Documents

[Agency of Administration Bulletin 5](#) – Policy for Grant Issuance and Monitoring
[Agency of Administration Bulletin 3.5](#)- Procurement and Contracting Procedures
DEC's Granting Plan
DEC's Contracting Plan

Timeline/Frequency

Agreement file Close-Out will be completed no later than 90 calendar days from the agreement end date. During the first week of each month, a GCMS report will be run to identify which agreements will be closing out in the next 90 days. This report will help to identify which agreements need to be amended or closed.

Overview

The official agreement files are stored electronically in various locations as outlined in the Granting and Contracting Plan. This process ensures a complete agreement file has been maintained.

Details

To initiate the agreement file Close-Out, process the GMS will add the “Close Out” task list at the agreement level in GCMS. This will initiate the following tasks to be completed by the GMS (or another appointed team member). **Please read through all of these steps below before starting the closeout process because depending on your project; some steps may not be necessary and other steps may need to be completed before a subsequent step; this is all dependent on your particular project.** The steps below are not necessarily in a sequential order. All applicable tasks need to be completed (grants vs. contracts).

Pre-Close Reminder

At least 30 days prior to the agreement end date the Grants and Contracts Supervisor (AID) or the WID Program Manager will reach out to appropriate Division to confirm the status of the award and if closeout or an amendment is needed. This is currently done through the 90-day scheduler and the “End Dates of Active Agreements” report.

Final Payment Issued

The Invoice Processor will reach out to the GMS notifying them that the final invoice has been received. This will signal the GMS to connect with the TPM and awardee to request an Equipment Ownership request if applicable and confirm in writing all required documentation has been received and is acceptable. This confirmation is uploaded into GCMS. Disposition / Ownership of Equipment Request template only pertains to agreements where equipment was purchased as part of the scope of work / deliverables.

The GMS should edit the agreement status in GCMS to “*Closed*” and include the date the final close out letter was sent to the awardee.

Match Reconciliation- Grants only - if applicable

For agreements where match is required, the Grantee must submit [Form 430-M](#)

documenting the match contributed for the project. The GMS will confirm the amount listed on the Form 430-M matches the amount in the agreement and save the form in GCMS under document type *Match*. The GMS will then edit the agreement in GCMS and enter the match amount under “Match Completed”.

File Review

The GMS will complete the internal Grant/Contract File Review Checklist of the agreement file in GCMS to confirm that all documentation has been completed and stored in the appropriate locations.

Close-Out Letter

After the final invoice has been processed the GMS will reach out to the awardee using the Close Out Letter template (*the blue excerpt should be removed for agreements that are not federally funded*). After the Close Out Letter has been sent to the awardee the GMS will save the correspondence under document type Close Out Documents in GCMS.

Performance Assessment Reported (VISION Grant Tracking Update)- Grants Only

After the closeout letter is sent to the awardee, the agreement is considered closed. This closeout date is also used for record retention. The GMS should document any performance or financial issues encountered while working with the grantee in the Vision Grant Tracking module. Comments should include only information which will be useful in the Risk Assessment Process.

Inactivating Award in VISION Grant Tracking- Grants Only

Before closing an award in VISION Grant Tracking, the GMS must confirm the total expenditures of the activity. If the full award amount has not been expended the GMS must add a new funding line in VISION Grant Tracking. The line should include the same funding type and list the remaining amount of the grant award as a negative number. The GMS will check the amendment box and list the amendment number as zero. ***Grants will be closed out through our month closeout process.***

*Fund Type	*Amount	CFDA #	S.A.	FFATA	Amend.	Amend.#	Amend. date	Other Fund Type Description:
S-Fund	69,869.92		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
S-Fund	-1.00		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0	04/24/2020	

To inactivate the award the GMS will select “inactive” from the drop-down menu listed to the right of the grant number. This will complete the agreement close out process in VISION.

GCMS Task List saved to File

The last step in the agreement close out process is to save the completed GCMS task list to the file in GCMS. This is done by selecting the *export tasks for agreement* icon and saving the excel sheets as a combined pdf. to the file under document type *Close Out Documents*.

Notices

- These procedures are intended to support the Agency of Natural Resources internal control environment.
- In consideration of these procedures, the objective should be on adherence and not on rationalizing ways and means for circumvention.
- Nothing in this document shall limit or supersede any applicable Federal or State laws, statutes, bulletins, or regulations.