Closeouts and GIM 39

Presented by: The Office of Sponsored Programs
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MRAM
Closeouts

- Federal Sponsors require final reports at the end of an award:
  - Final Progress/Technical Report
  - Final Invention Statement
  - Final Property Report
  - Final Financial Status Report
  - Additional Reports specified in award terms and conditions
Who Prepares and Submits?

- **Final Progress/Technical Report:**
  
  - Principal Investigator prepares and submits to Sponsor per Sponsor submission guidelines.
  
  - A copy is provided to the Closeout Specialist in OSP (closeout@uw.edu). (This is to assure that if the sponsor sends a note saying it has not been received, OSP can handle the notice).
Final Invention Statement:

- Principal Investigator confirms whether a subject invention was created during course of work:
  
  - If YES, provide positive invention statement to Center for Commercialization (C4C)
  
  - If NO, provide negative invention statement to OSP Closeout Specialist (closeout@uw.edu)
Who Prepares and Submits?

- Final Property Report:
  - Equipment Inventory Office (EIO) prepares and submits to Sponsor.
  - EIO works with Department if there are questions on equipment inventory for project.
Who Prepares and Submits?

- Final Financial Status Report (or Invoice):
  - Grant and Contract Accounting (GCA) prepares and submits final financial reports/statements/invoices.
  - GCA works with the Dept. if there are questions on encumbrances/allowability of expenditures.
How Do I Know When These Are Due?

- Check the Award first! Requirements are in the terms and conditions.

- OSP Closeout Specialist will send e-mail closeout instructions to PI and Dept. eGC1 contacts for federal awards ending within 45 days.

- OSP will follow up at End Date and Closure Date (90 days past End Date) by e-mail.
What Happens If Closeout Requirements Are Not Met?

A Federal Sponsor may:

- Put restrictions on future awards to that PI.
- Not fund future work of that PI.
- Not fund future research at the University.
- Restrict funding on existing research at the University.
GIM 39

- Applies to federal awards
- Includes guidance for PIs and Departments on closeout requirements
- Sets out responsibilities
- Explains notification process
- University policy is that any PI delinquent on submitting his/her final progress/technical report to a federal sponsor may not submit new proposals until closeout requirements are met.
- Delinquent = 120 days past the Award End Date
Exceptions are Narrow:
- Medical Leave/Serious Illness
- Family Leave
- Left University

Exceptions are only granted by the Executive Director of OSP. Requests are made by PI or Chair.

If PI unavailable, the Chair of the Dept. is responsible for fulfilling the closeout requirements of the ended project.
GIM 39 implementation

- GIM 39 will be effective for federal awards with closeout requirements ending June 27th on.

- Notification process will begin next week.

- Please notify closeout@uw.edu if there are questions on closeout responsibilities.
Questions?

- Review GIM 39

- Contact your University administrative office:
  - OSP:  closeout@uw.edu (award requirements, final technical, negative invention statement)
  - EIO:  http://f2.washington.edu/fm/eio/ (property report)
  - C4C:  http://depts.washington.edu/uwc4c/ (subject invention disclosures)
  - GCA:  gcahelp@uw.edu OR GrantTracker for specific budget number (financial reporting)