
AWARD CLOSEOUT

Award Closeout Policy

Procedure Sections

Last Revised: June 2014

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Reason for Procedure

This procedure outlines the policies and processes for the

Who Should Know This Procedure

- Principal Investigators
- Administrative Staff
- Winter Conference/Summer Workshop Organizers
- Proposal Committee
- Officers
- Trustees
- General Members
- Other: _____

Contacts

Subject	Contact
Award Closeout	PI Finance Manager



Applicable ACP Policies

- Records Retention Policy
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Award Closeout Policy at ACP

NSF Final Project Report

The PI will prepare Final Project Reports. The report will include any activities intended to address the Broader impacts goals of the project. It is not a cumulative report. It is the final annual report of the project written for the most recently completed budget period. The report to NSF should be electronically submitted within 90 days of the expiration of the grant.

NSF Special Reports

If applicable, the PI will provide to the cognizant Program Officer within 90 days of the end of the grant, any unique reports or end items specified in the award. If there is cost sharing of over \$500,000, this must be documented and submitted.

NSF Project Outcomes Report for the General Public

The PI will prepare and electronically submit within 90 days of the end of the grant, a project outcomes report for the public. The report will be a brief summary of the nature and outcomes of the project. The report is posted in the Research Spending and Results section of the Research.gov website.

NSF Compliance with Technical Reporting Requirements

Any award-specific technical reports must be submitted on a timely basis.

NSF Grant Closeout

If all of the financial reports have been adequately filed, NSF will financially close the grant three months after the award expiration date based on the costs recorded at that time. Grants are administratively closed after the Final Project Report is received and after determining that there are no other unmet administrative requirements. If a final audit has not been done prior to grant closeout, NSF may recover disallowed costs resulting from a final audit.



Other Grant and Award Closeouts

On its award document, DOE provides a list of expected reports that includes where they should be submitted. ACP will review other grants and foundation support to determine the elements required in final reports and provide them in a timely manner.

Roles & Responsibilities

Principal Investigators: Responsible for completing final scientific grant reports.

Officers: Responsible for monitoring award closeout to make sure ACP is in compliance.

Administrative Staff: Responsible for completing final financial grant.

Appendix: Applicable Federal Regulations & Criteria

From the NSF AAG 2014 (II-8 & II-9)

E. Technical Reporting

NSF requires project reports for all assistance awards. Information from these reports is used in annual reports to Congress to demonstrate the Foundation's performance as mandated by the Government Performance and Results Act (GPRA) of 1993. These reports also provide NSF program officers and administrative offices with information on the progress of supported projects and the way these funds are used. Information in these reports may be made available to the general public through the Freedom of Information Act (FOIA).

1. Annual Project Reports

Annual Project Reports should address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion that are not intrinsic to the research. These reports are not cumulative, and should be written specifically for the most recently completed budget period. Unless otherwise specified in the award, annual project reports should be submitted electronically via Research.gov, at least 90 days prior to the end of the current budget period to allow adequate time for the Program Officer to review and approve the report. As reflected in the Project Report System, the report is considered due during the 90 day period. The report becomes overdue the day after the 90 day period ends. Failure to submit timely reports will



delay processing of additional funding and administrative actions, including, but not limited to, no cost extensions. In the case of continuing grants, failure to submit timely reports may delay processing of funding increments. See also AAG Chapter I.E.3.

Annual project reports may not be required for fellowship awards. Specific reporting requirements for fellowships are established in the program solicitation and award conditions.

For multi-year standard grants, PIs are required to submit annual reports as outlined above. In the case of cooperative agreements, the annual report is required before NSF approves any future funding increments.

Continuing grants also are subject to the same policies regarding report submission as outlined above. For continuing grants that have a duration of 18 months or more per increment, two annual reports are required. A report must be submitted for the first 12 months of the project, and then another report for the remaining months of the increment. Continuing grants which include an initial increment of 24 months will require an annual report for each 12 month period.

2 . Final Project Report

The Final Project Report should address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion that are not intrinsic to the research. This report is not cumulative; it is the last annual report of the project, and should be written specifically for the most recently completed budget period. Unless otherwise specified in the award, the final project report should be submitted electronically via Research.gov within 90 days following expiration of the grant. As reflected in the Project Report System, the report is considered due during the 90 day period. The report becomes overdue the day after the 90 day period ends. In addition, the grantee also shall provide to the cognizant NSF Program Officer, within 90 days following the expiration of the grant:

- any unique reports or other end items specified in the award, including any reporting requirements set forth in any NSF brochure, guide, solicitation, etc., referenced in the award as being directly related to either the award or the administration of the award.
- a final cost share notification documented and certified by the Authorized Organizational Representative for awards where the cost sharing amount reflected on Line M of the cumulative award budget is \$500,000 or more.

Final project reports may not be required for institutional graduate research fellowships and interagency agreements. However, final project reporting requirements for individual fellowships are established in the program solicitation.

3. Project Outcomes Report for the General Public

Within 90 days following expiration of the grant, a project outcomes report for the general public must be submitted electronically via Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted in



the Research Spending and Results section of the Research.gov website **exactly as it is submitted** and will be accompanied by the following disclaimer:

“This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the National Science Foundation; NSF has not approved or endorsed its content.”

Grantees are to ensure that the report does not contain any confidential, proprietary business information; unpublished conclusions or data that might compromise the ability to publish results in the research literature; or invention disclosures that might adversely affect the patent rights or those of the organization, in a subject invention under the award. Responses are not to contain any private personally identifiable information such as home contact information, individual demographic data or individually identifiable information collected from human research participants.

Section Contents:

1. Describe the project outcomes or findings that address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria. This description should be a brief (generally, two to three paragraphs) summary of the project’s results that is written for the lay reader. Principal Investigators are strongly encouraged to avoid use of jargon, terms of art, or acronyms.
2. NSF will automatically include all publications that are provided regarding the award in the FastLane project reporting system. Other products that have resulted from the award also are to be listed. Examples of other products include collections, data sets, software, as well as educational materials.
3. Information regarding anticipated publication of project results, as well as any other information that would be of interest to the public also may be included in this section.
4. Compliance with Technical Reporting Requirement. PIs must submit final technical reports within the time period specified. Failure to provide these reports on a timely basis will delay NSF review and processing of pending proposals for all identified PIs and co-PIs on a given award.
5. Grant closeout is the process by which NSF determines that all applicable administrative actions and all required work of the grant have been completed. Grants will be financially closed based on final costs reported on the Federal Financial Report (FFR) one full quarter after the expiration of the grant. During April, 2013 NSF will implement the Award Cash Management Service (ACM\$) and stop using the FFRs. Under ACM\$ grants will be financially closed 3 months after their award expiration date based on the costs recorded at that time. Grants are administratively closed after receipt of the Final Project Report and after determination that any other administrative requirements in the grant have been met. In the event a final audit has not been performed prior to the closeout of the grant, NSF reserves the right to recover appropriate amounts after fully considering the recommendations on disallowed costs resulting from the final audit.

