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# Closeouts and GIM 39

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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](mailto: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).

# Who Prepares and Submits?

- 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](mailto:closeout@uw.edu))

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# 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.
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# 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**

# GIM 39 Exceptions

- 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 27<sup>th</sup> on.
- Notification process will begin next week.
- Please notify [closeout@uw.edu](mailto:closeout@uw.edu) if there are questions on closeout responsibilities.

# Questions?

- Review GIM 39
- Contact your University administrative office:
  - OSP: [closeout@uw.edu](mailto: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](mailto:gcahelp@uw.edu) OR GrantTracker for specific budget number  
(financial reporting)