NIH Grant Closeout Guidance

The requirement for timely closeout of a grant is a grantee (NIU) responsibility. This responsibility is shared between the Principal Investigator and NIU Grants Staff. Failure to submit timely and accurate closeout documents may affect future funding at NIU.

For NIH awards, NIU must submit a final Financial Status Report (FSR), Final Progress Report, and Final Invention Statement and Certification within **90 calendar days** of the end of grant support.

The NIH encourages grantees to submit all closeout documents through the Closeout feature available in the NIH eRA Commons.

**Financial Status Report (FSR)** is required for:

1. Any grant that is terminated;
2. Any grant that is transferred to a new grantee, or;
3. Any award, including awards under SNAP, which will not be extended through award of a new competitive segment (renewal application).

**Responsibility:** The Grants Fiscal Administrator will prepare the final FSR and submit it electronically through the NIH eRA Commons.

**Final Progress Report** is required for:

1. Any grant that is terminated;
2. Any award that will not be extended through award of a new competitive segment (renewal application). *Note: If a competitive renewal (Type 2) application has been submitted, whether funded or not, the progress report contained in that application may serve in lieu of a separate final progress report.*

At minimum, the final progress report should include a summary of progress made toward achievement of the originally stated aims, a list of significant results (positive or negative), and a list of publications. Principal Investigators should also report any additional information required by the awarding Institute/Center or as outlined in the notice of award. When applicable, the following should also be included in the report:

- Report on the inclusion of gender and minority study subjects (using the gender and minority inclusion table as provided in the [PHS 2590](#)).
- Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see [Public Policy Requirements and Objectives—Inclusion of Children as Subjects in Clinical Research](#)).
- Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.
• Publications that were authored or co-authored by the PD/PI and arose from the award must include the NIH Manuscript Submission reference number (e.g., NIHMS97531) or the PubMed Central (PMC) reference number (e.g., PMCID234567) for each article. If the PMCID is not yet available because the Journal submits articles directly to PMC on behalf of their authors, indicate "PMC Journal - In Process." A list of these Journals is posted at: http://publicaccess.nih.gov/submit_process_journals.htm.

• If there are any other specific requirements set forth in the terms and conditions of the award, they must be addressed in the final progress report as well.

Responsibility: Principal Investigator. The progress report may be submitted directly to NIH by the PI in the NIH eRA Commons. To submit a progress report in the Commons:

1. Log in to the Commons (contact rachael_andel@niu.edu in OSP if you need assistance with your log in ID)

2. Select Status in the menu bar at the top of the page.
   • If logged in using a PI account, all the individual's NIH applications will appear.

3. Select the Requires Closeout hyperlink on the right side of the screen corresponding to the application for which information is being submitted.


5. OSP will receive an email indicating the Progress Report has been submitted. No action by OSP required.

Final Invention Statement and Certification is required for:

1. Any grant that is terminated;
2. Any award that will not be extended through award of a new competitive segment (renewal application). Note: If a competitive renewal (Type 2) application has been submitted, whether funded or not, the progress report contained in that application may serve in lieu of a separate final progress report.
3. Whether or not the funded project results in any subject inventions, and whether or not inventions were previously reported.

NOTE: Certain funding mechanisms do not currently require the submission of a final invention statement. These mechanisms include C06, R13, R25, S15, Ts, and Fs. Most NIH awards at NIU require the completion of a Final Invention Statement.

Responsibility: Principal Investigator. The Final Invention Statement should also be completed by the PI in the NIH eRA Commons. To complete the Invention Statement in the Commons:
1. Log in to the Commons (contact rachael_andel@niu.edu in OSP if you need assistance with your log in ID)

2. Select **Status** in the menu bar at the top of the page.
   - If logged in using a PI account, all the individual’s NIH applications will appear.

3. Select the **Requires Closeout** hyperlink on the right side of the screen corresponding to the application for which information is being submitted.

4. Select **Process Final Invention Statement** and select whether any inventions are to be reported.
   - If “yes” is selected please fill out the **Title of Invention**, **Name of Inventor**, and **Date Reported to DHHS** text fields and then check the **Verify** button.

5. OSP will receive an email indicating the Final Invention Statement is ready for review and verification. OSP will verify the information with the NIU Technology Transfer Office (TTO), and the PI will be contacted to discuss any questions that may arise. After review, OSP will submit the Invention Statement to NIH as the NIU Signing Official.

6. Both the PI and OSP will receive an automated email indicating the Invention Statement has been submitted.