

TIGER TIPS
RESOURCES FOR AUBURN RESEARCHERS
GRANT/CONTRACT CLOSEOUT

Award closeout is the process of documenting and assuring the fulfillment of the terms and conditions, certifying awardee compliance with applicable regulations and making final disposition of all award by-products, such as final vouchers, reports, patent disclosures and property. Closeout requirements are normally reflected in the terms and conditions of the award document. Though some of the closeout processes are shared, the closeout of grants and cooperative agreements varies in important ways from the closeout of contracts. In addition, most federal agencies now require electronic submission of final reports.

It is important that closeout procedures be adhered to and timely submission of reports shall be done to alleviate the threat of sponsors suspending payment for cost incurred by the University on the project being completed and other projects funded by the sponsor and, in the worst case scenario, withholding of new awards campus-wide. Government acceptance of the awardee final deliverables and reports is critical to the overall success of the project. In many instances, final acceptance initiates the release of final payments and ultimately leads to release of the awardee lingering obligations under the award.

The Project Director is ultimately responsible for preparing and submitting the required documents with or without notification on the date due to the sponsor.

There is no “standard closeout instruction list” as each sponsor has different requirements. However, the following basic reports are the types of documentation generally required by the sponsor:

1. **Technical/Narrative/Progress Reports** – Project Director is responsible for the timely submission of monthly, quarterly, annual and final reports (as required). At times the sponsor will require the signature of the authorizing official of the institution on final reports.
2. **Cost Reports** – All financial reporting to the sponsor will be provided by Contracts and Grants Accounting.
3. **Patents/New Technology Reports/Inventions** – This information is provided by the Project Director and given to Office of Sponsored Programs to be submitted to the sponsor. If new technology/patents exist, this information will be verified by the Office of Technology Transfer.

4. **Property/Equipment** – *This is government furnished, equipment purchased on award or loan equipment.* Inventory list must contain, at a minimum:
 - 1) Contract number
 - 2) FOAP (Banner number)
 - 3) Property identification number
 - 4) Name/description
 - 5) Manufacturer’s name, model number and serial/part number
 - 6) Unit cost
 - 7) Total cost
 - 8) Source (Government-furnished Equipment or contractor acquired)
 - 9) Condition code
 - 10) Date purchased

5. **Subcontractors** – Subcontractors are required to provide all closeout documents to the Auburn Project Director or Office of Sponsored Programs and must be included within the final documentation provided to sponsors. *If equipment is purchased on a subaward, a detailed inventory listing must be provided.* The required documents can be found at: <https://fp.auburn.edu/vpr/osp/subagreements.aspx>

The following is a list of documents required by specific agencies when closing-out a grant/contract:

National Institutes of Health (NIH)

Unless the Grants Management Officer grants an extension, grantees must submit:

1. Final Financial Status Report
2. Final Progress Report
3. Final Invention Statement and Certification

Department of Defense (DOD)

1. Standard Form 272 Federal Cash Transactions Report
2. Final Scientific Report
3. Patent Report (Form DD 882)
4. Deliverables (Form DD 250)
5. Government Furnished/Owned Property (Form DD 1662). A detailed listing of property and letter of disposition is required, as applicable.
6. Final Security Closeout (Form DD 254), as applicable

National Aeronautics and Space Administration (NASA)

1. Final Standard Form 272
2. Final Summary Report
3. Final Inventory Report of Federally Owned/Furnished Property (Form DD 1018). A detailed listing of property and letter of disposition is required, as applicable.

4. Final patents report (new technology) (Form C-3043)

Department of Energy (DOE)

1. Scientific/Technical Report (DOE Form 241.3) Must be submitted electronically via the DOE Energy Link System (E-link)
2. Patent Certification
3. Property Certification
4. Final Financial Status Report

National Science Foundation (NSF)

1. Final Federal Financial Report
2. Final project report must be submitted electronically via the NSF Fastlane system
3. Project outcomes report for the general public must be submitted electronically via Research.gov

For each of these agencies, this documentation is due no later than **ninety days after the award expiration date**. Failure to submit timely and accurate final reports may affect future funding to the organization or specific awards to the Project Director.

NOTE: Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Please be sure to read the terms and conditions of each award for a full understanding of the reporting process.