

# **BUSINESS BREAKOUT SESSION**

**Closeout, Final Reports, and Carryover**

**WETP Grants**

**ARRA Supplements**

# ARRA Supplements

## Closeout Reporting:

**For each ARRA supplement, separate closeout documents (Final Progress Report, Final Financial Status Report, and Final Invention Statement) will be required to closeout the Recovery Act funding at the time the ARRA funding ends.**

# Closeout

**NIH will close out a grant as soon as possible after expiration if the grant will not be extended.**

- **Timely submission of all required reports and adjustments for amounts due to the grantee or NIH.**
- **Does not automatically cancel any requirements for property accountability, record retention, or financial accountability.**
- **Grantee remains obligated to return funds due as a result of later refunds, corrections, or other transactions, AND the Federal government may recover amounts based on the results of an audit covering any part of the period of grant support.**

## **Final Reports**

- **Financial Status Report**
- **Final Progress Report**
- **Final Invention Statement and Certification**
- **Due Date – 90 days after the end of grant support.**

# Financial Status Report

- **Covers the period of time since the previous FSR submission**
- **Must have no unliquidated obligations and must indicate the exact balance of unobligated funds**

## **Financial Status Report – cont.**

- **Submission of a revised final FSR resulting in additional claims by the grantee**
  - **Claims considered for approval subject to:**
    - **Justification for revision**
    - **Charge must represent allowable costs**
    - **Unobligated balance sufficient to cover the claim**
    - **Funds available**
    - **NIH receives the revised FSR within 15 months of the original due date**

## **Final Progress Report**

**Required for any grant award that will not be extended through the award of a new competitive segment.**

**Report should include a summary of progress toward the achievement of the originally stated aims. A list of significant results, and, if applicable, a list of publications.**

## **Final Invention Statement and Certification**

**HHS 568 must be submitted whether or not the funded project results in any subject inventions from the original effective date through the end of the project.**

## **Record Retention and Access and A-133 Audits**

**Grantees must retain financial and programmatic records, supporting documents, and all other records required by terms of award, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the final FSR is submitted. Note: If the grantees records are under litigation, the records must be retained until all litigation is resolved.**

**A-133 Audit – must be submitted regardless of continuation of the grant. A-133 audits are due the earlier of 30 days after receipt of the auditor’s report or nine months after the end of the audit period (organization’s fiscal year).**

## **Expanded Authorities - WETP**

**For those grants that are ending with the current project period, the grantee may extend the final budget period without prior approval from NIEHS. This one-time no-cost extension may be for a period of up to 12 months beyond the original expiration date shown on the NoA. The grantee must enter the extension through the NIH Commons. Failure by the grantee organization to provide the no-cost extension prior to the budget period end date will result in the extension becoming a prior approval item and be made only at the discretion of the awarding component.**

## **Expanded Authorities – ARRA T-3**

**The ARRA T-3s are being awarded under the general NIH Terms of Award. Therefore, these records will be eligible for a one-time no-cost extension (up to 12 months) of the ARRA project period. This extension is allowable regardless of the status of the parent grant and will not impact the continued funding of the parent grant. Note that because of the separate accountability requirements for ARRA funding and the need to financially closeout the ARRA funding in a timely manner, additional extensions beyond the initial one; i.e., those requiring NIH prior approval, will be rare.**

## **Carryover**

**The carryover process does continue from one project period segment to the next for those grants funded under a competitive continuation. This does not imply that a carryover request will be approved. It simply implies that the process continues.**

**ARRA T-3 – Carryover over of ARRA funds is not allowable.**

**Grants under a no-cost extension – current funds can be expended during the extension.**

---

## **WORKER EDUCATION AND TRAINING PROGRAM**

---

## CONTACT US

Carolyn Mason

Deputy Grants Management Officer

Phone: 919-541-1373

[mason6@niehs.nih.gov](mailto:mason6@niehs.nih.gov)

Aaron Nicholas

Grants Management Specialist

Phone: 919-541-7823

[nicholaa@niehs.nih.gov](mailto:nicholaa@niehs.nih.gov)

*Coming Soon:*

Wanda Boggs

Grants Management Specialist

Phone: 919-316-4638

[boggs@niehs.nih.gov](mailto:boggs@niehs.nih.gov)