

## NIH REQUIRED CLOSEOUT DOCUMENTS AND SUBMISSION PROCESS

Three (3) documents are required ninety (90) days after the end of the project period:

- final progress report: submitted by PI or administrator
- final invention statement: submitted by PI or administrator
- final financial status report (FSR): submitted by ORACS

Both the final report and the invention statement can be submitted online through the NIH website eRA Commons (<https://commons.era.nih.gov/commons>). It is NIH's preferred method of submission. There is no need to follow-up with a hard copy. Usually the PI would submit these but they can designate an administrator who has their own Commons username and password to submit these on their behalf. See following pages for instructions on how to delegate this authority in Commons.

Once logged in to Commons, there will be a series of tabs at the top, select "Status". A list of the PI's grants will appear. Each year will have its own entry. There will be a "Requires Closeout" link on the right hand side of the grant that has termed. This link will bring you to the Closeout module. The Closeout Module will allow you to upload the final progress report and complete the online final invention statement. As noted above, ORACS will upload and submit the FSR.

### FINAL PROGRESS REPORT

The final progress report is uploaded as a plain word document (that you may convert to a pdf file if you so wish before uploading). There are no form pages, except for an inclusion enrollment table reflecting final number of subjects enrolled if the grant involved human subjects (<http://grants.nih.gov/grants/funding/phs398/enrollmentreport.doc>).

It should include at a minimum:

- a cover page identifying the grant number, title, project period and, of course, the name of the PI;
- a summary statement of progress toward the achievement of the originally stated aims;
- a list of results (positive or negative) considered significant;
- and a list of publications resulting from the project as well as plans for further publications.

There are no page limits. For the publications, if published in publicly available journals, you may provide the url and/or the pub med citation number only instead of uploading a complete copy of the publication (if you prefer though, you may certainly include a complete copy). The publications can also serve as the actual progress report with just a very brief written report.

ORPA's review or signature is not required on the final progress report. Once uploaded in Commons, it automatically goes to NIH.

\*\*\*Be careful, once a file is uploaded, you cannot remove it and re-upload a revised file so make sure it is the correct final version of the progress report.\*\*\*

### FINAL INVENTION STATEMENT

As for the final invention statement, if there are no inventions to report, hit the "no" button to the first question (it won't be obvious) and certify. Once you have done so, ORPA will get an automated email requesting our approval (the final invention statement does require ORPA's electronic confirmation). If there are any inventions to report, say "yes" to the first question and complete the requested information in the next screen.

### FINANCIAL STATUS REPORT

The FSR will be submitted by ORACS once they have received the completed Report of Expenditures (ROE) from the department.

Put cursor over yellow box comment for additional information.

## Delegate Status

There is now a new ability to delegate status authority to users with the AO or ASST roles.

1. Click **Delegate Status**. A list of all ASSTs or AOs in the institution will appear.

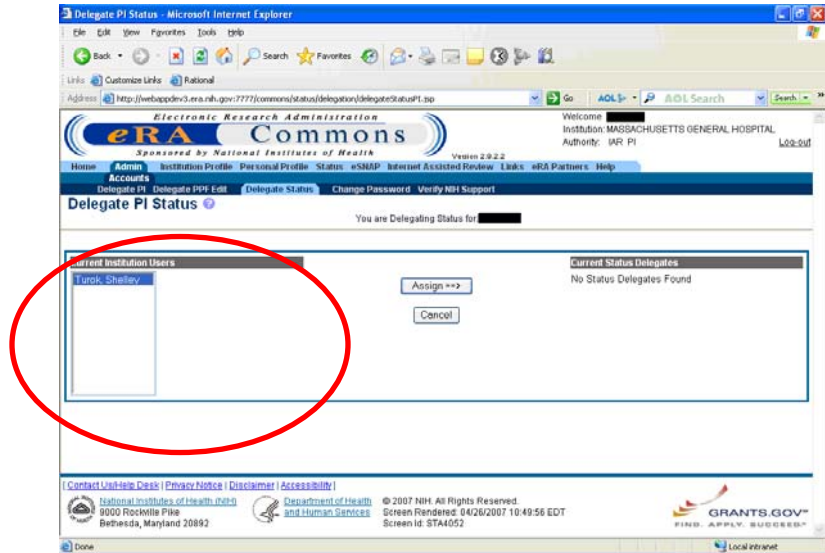


Figure 3: Delegate PI Status (STA4052)

2. Highlight the name of the user you wish to delegate status authority to and click **Assign**. The name of the delegate will appear in the column on the right titled **Current Status Delegates**.

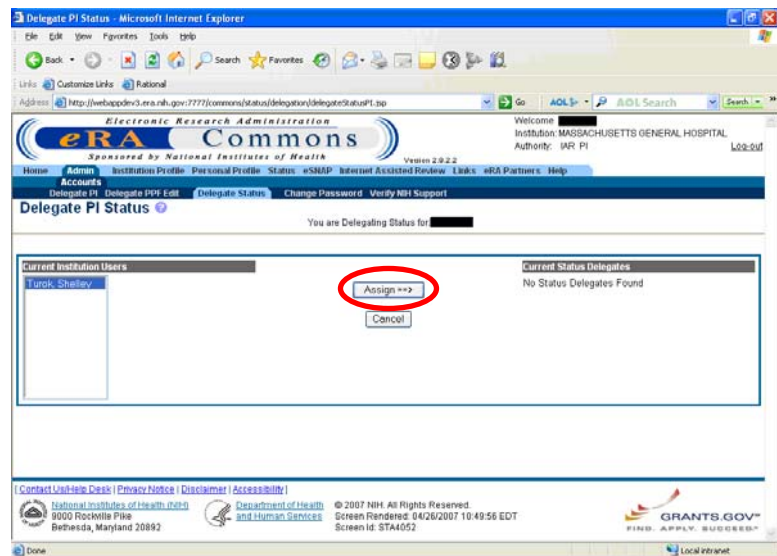


Figure 4: Assign Button (STA4052)

- A confirmation message will appear stating that the Delegate Status was successful. The Status Delegate will now be able to view the PI's corresponding grants on their **Status** menu.

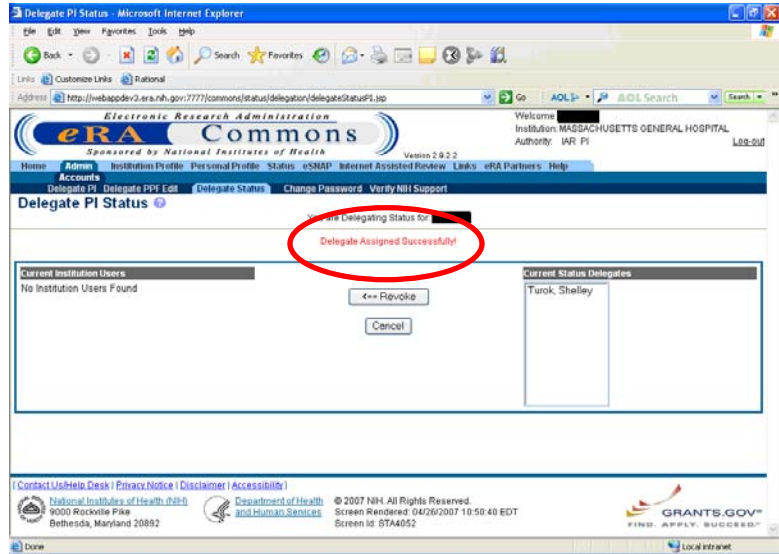


Figure 5: Delegate Status Confirmation (STA4052)

**NOTE:** Summary statements and scores/percentiles will not be visible to the delegate.

- The PI and Status Delegate will receive an e-mail if Delegate Status authority is granted.

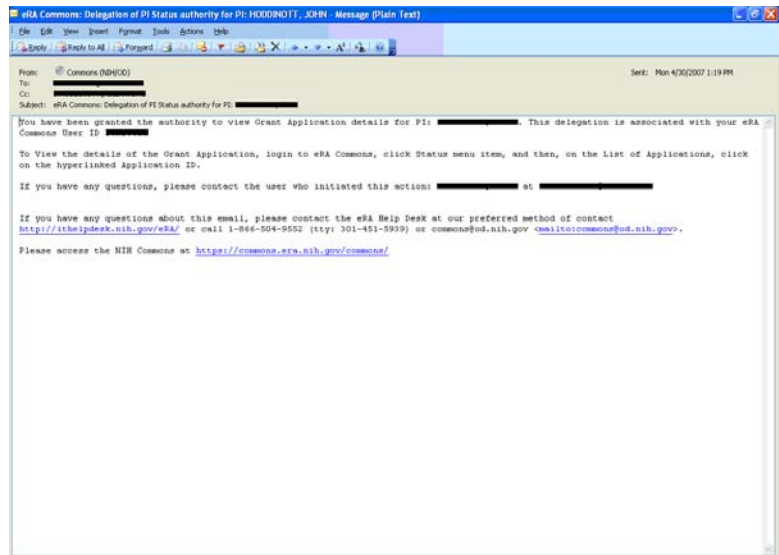


Figure 6: Delegate Status Granted E-Mail

Also, if Delegate Status authority is revoked, the PI and Status Delegate will receive an e-mail.

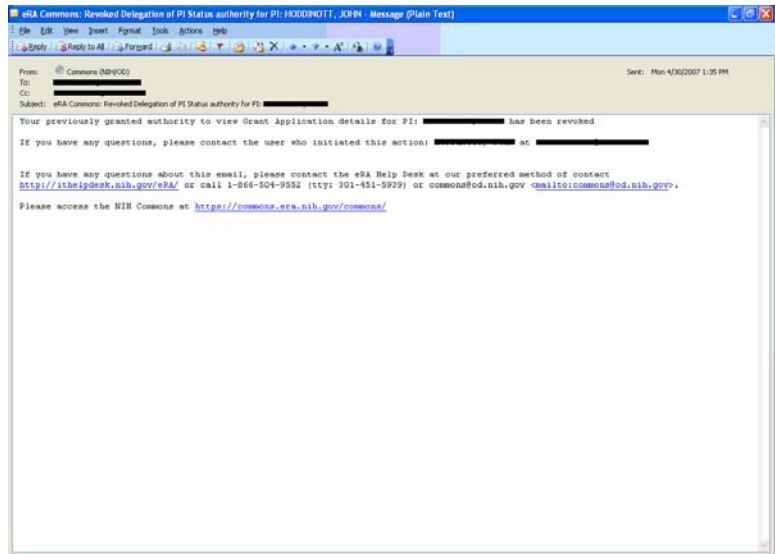


Figure 7: Delegate Status Revoked E-Mail