

AWARD CLOSEOUT GUIDANCE  
Grants and Cooperative Agreements Supported by  
National Institute for Occupational Safety and Health  
Centers for Disease Control and Prevention

1 October 2007

Centers for Disease Control and Prevention, National Institute for Occupational Safety and Health (CDC//NIOSH) will close out a grant as soon as possible after expiration of a grant that will not be extended or after termination of a grant as provided in 45 CFR 74.71 to 74.73. Grantees are required to submit the Closeout Report comprised of the three Final Reports described below within 90 days of the project end date. This date is on the notice of grant award, and can also be obtained from recipient Institution's business office. Failure to submit timely and accurate final reports may affect future funding to the Institution or awards for the same Principal Investigator (PI).

If the final reports cannot be submitted within 90 days, a written request and justification for an extension of the expiration date at least 10 days prior to the expiration date (per the [HHS Grants Policy Statement](#)) must be submitted. Otherwise, there is no guarantee that the extension request can be processed in time. The request must be sent to your Grants Management Specialist at the Procurement and Grants Office (PGO) address listed under Contacts at the end of this document. The PI should follow-up to verify that the request has been received by CDC Procurement and Grants Office (PGO.)

The NIOSH/Office of Extramural Programs (OEP) and CDC/PGO have prepared the following instructions to facilitate preparation of Closeout Reports by the PI and Business Office. These instructions, however, do not replace or supersede any Health and Human Services or CDC policy.

The reports required to closeout a completed award are: a) Final Progress Report; b) Final Financial Status Report; and c) Final Invention Statement. All reports must be sent directly to your CDC/PGO Grants Management Specialist identified in your Notice of Grant Award. A paper original, two (2) copies, and an electronic copy are requested.

### **Closeout Reports:**

#### **a) Final Progress Report**

The Final Progress Report represents the most important report a PI prepares for a grant. It should communicate the results of the research and provide a synthesis of the overall project. NIOSH uses it as a principal reporting tool to inform the Congress, Executive Branch, NIOSH Director, and other stakeholders on the success and impact of the NIOSH extramural research program in addressing occupational safety and health issues. Thus, NIOSH relies on the PI to provide a cogent, well-organized report of findings that can be understood by a broad audience.

Although there is currently no standard Final Progress Report format, NIOSH and CDC/PGO have developed the following guidance for preparing final progress reports.

**Title Page.** The title page should contain the PI's name, affiliation and contact information (address, telephone, email); the institution to which the award was made (include full address); project title; date and number of report (if any); co-investigators, project director and sponsors; grant number(s); and the starting and ending dates.

#### **Table of Contents.**

#### **List of Terms and Abbreviations.**

**Abstract.** This is an overview of the project limited to no more than two pages (preferably one page) stating the occupational safety and health issue that was addressed, the importance of the problem, approach, key findings, and how the results can be utilized in the workplace. This section may contain

much of the same information as in the sections below, but it is intended to be a brief summary for informing others about the key findings and importance of the project. The abstract should be a stand-alone document that is suitable for distribution to a wide audience. The PI should realize that NIOSH/OEP may provide the Abstract to members of Congress, the Secretary of Health and Human Services, the Director of the Institute, and many others. Abstracts are often used without subsequent editing, however, the PI may be contacted directly if any clarifications are needed.

**Highlights/Significant Findings.** Highlights and/or significant findings are similar to conclusions. These are the important results of the project, and should relate to the specific aims of the project. The most important findings should be listed first. Separate findings should be in different paragraphs. Details can be placed in the Scientific Report section of the final report (below).

**Translation of Findings.** This section provides an interpretation of how the significant findings of the project can be used to prevent workplace diseases and injuries. If specific recommendations are made for reducing hazards on the job, the language should be as non-technical as possible to communicate to employers or employees. It is very important that a PI identify how these findings have been or may be adopted in the workplace. If the findings cannot yet be applied to the workplace, this section should address how these findings can be used to guide future investigative activities.

**Outcomes/Relevance/Impact.** This section summarizes, or otherwise concisely states the findings. The primary goal is to answer questions such as “How did this project lead to improvements in occupational safety and health?” or “How can the findings of this study guide future investigations and research?” This section is very important to NIOSH and may be used frequently in communications about your project. It is important to consider how your project relates to occupational safety and health with regard to improved practices, prevention/intervention techniques, legislation, policy, and use of technology. Important outcomes should be explained and classified in one of the following ways: 1) potential outcomes – findings, results, or recommendations that could impact workplace risk if used; 2) intermediate outcomes - how findings, results, or recommendations have been used by others to influence practices, legislation, product design, and so forth; and 3) end outcomes - how findings, results, or recommendations have contributed to documented reductions in work-related morbidity, mortality, and/or exposure.

**Scientific Report.** This report should contain the following: background for the project, specific aims, procedures, methodology, results and discussion, and conclusions. More detail should be provided in this section than is included in the “Significant Findings” section. Each of the specific aims originally planned or added during the project should be addressed in terms of what was accomplished or why progress was not made. In this way there will be a complete documentation of the efforts on the grant. **Information that is considered proprietary** for commercial purposes should be clearly noted as such in case a Freedom of Information Act (FOIA) request is received. Otherwise, the entire report may be released.

**Publications.** List the published or “in press” articles resulting from the grant support (NIOSH should be acknowledged in the articles). Provide annotations that describe how the articles relate to the specific aims. **Do not submit reprints or manuscripts.** In addition, investigators are encouraged to inform NIOSH about publications resulting from the project after the final report is submitted.

### **Citation Format Examples**

#### Journal Articles

Clark WW, Popelka GR: [1989] Hearing Levels of Railroad Trainmen. *Laryngoscope* 99:1151-1157.

Gomes M, Santella RM: [1990] Immunologic Methods for the Detection of Benzo(a)pyrene Metabolites in Urine. *Chemical Research in Toxicology*, in press.

#### Books

Trush MA, Thompson DC: [1989] Enhancement of Chemical Activation Via Radical-Dependent Mechanisms: An Emerging Concept in Chemical-Chemical Interactions. In:

Oxygen Radicals in Biology and Medicine, (eds. MG Simic, KA Taylor, JF Ward, CV Sonntag), Plenum Publishing Corporation, pp 739-744.

Murlas CG: [1989] Environmental Airway of Mucosal and Changes in Hyperreactivity. In Airway Epithelium: Structure and Function in Health and Disease, (eds. S Farmer, D Hay), Marcel Decker Inc., in press.

#### Proceedings

Park MY, Casali JG: [1989] A Laboratory Simulation of Selected In-field Influences on Hearing Protector Performance. Proc of 1989 Human Factors Society 33rd Annual Conference, Denver, Colorado, 946-950, October 16-20.

#### Dissertation/Thesis

Holton PM: [1986] Particle Size-Dependent leakage through the Face seal of Negative Pressure Half-Mask Respirators, Ph.D. Thesis, University of Cincinnati.

**Inclusion of gender and minority study subjects.** If applicable, use the gender and minority inclusion table provided in the [PHS-2590](#).

**Inclusion of Children.** Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children. You can refer to the following internet sites <http://grants1.nih.gov/grants/funding/children/children.htm> <http://grants.nih.gov/grants/funding/phs398/phs398.html>.

**Materials available for other investigators.** Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that are available to be shared with other investigators and how it may be accessed.

**b) Final Financial Status Report Forms.** The institution's business office will determine whether the [long form, SF-269](#) or [the short form, SF-269A](#) should be used for the Financial Status Report (FSR). Follow the instructions provided. Please provide an original and two (2) copies.

For organizations receiving their funds through the Health and Human Services Payment Management System (PMS), final reports, as specified by PMS, must be submitted to that office. It is the responsibility of the grantee to reconcile reports submitted to PMS and to the CDC awarding office.

**Requirement.** Final FSRs are required for grants that have been completed and are being closed, and grants that have expired or have been terminated. Final FSRs are also required when grants are transferred to a new grantee or are modified during the project and require an adjustment of funds. These include awards which will not be competitively extended through award of a new competitive segment.

#### **Process.**

The final FSR must:

- cover the period of time since the previous FSR submission or as much of the competitive segment as has been funded prior to termination;
- have no unliquidated obligations. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded; and
- indicate the exact balance of unobligated funds. Unobligated funds must be returned to CDC/PGO or must be reflected by an appropriate accounting adjustment in accordance with instructions from the GMO or from the payment office.

Withdrawal of the unobligated balance following expiration or termination of a grant is not considered an adverse action and may not be appealed. Where the submission of a revised final FSR results in additional claims by the grantee, CDC will consider the approval of such claims subject to the following minimum criteria:

- the charges must represent allowable costs under the provisions of the grant;
- there must have been an unobligated balance for the given budget period that is sufficient to cover the additional claim. Such a claim may be considered regardless of whether the unobligated balance was moved forward to offset the award for a subsequent budget period;
- funds must be available from the applicable appropriation; and
- CDC/PGO must receive the revised FSR within 15 months of its due date.

**c) Final Invention Statement and Certification Form.**

**Process.** Final Invention Statement ([HHS Form 568 - Fillable](#)) signed by the PI and the institution's authorized official must be submitted even if there were no inventions. You must list all inventions conceived, or first actually reduced to practice, during the course of work under the project, from the original effective date of support through the date of expiration or termination, regardless if reported previously reported. If there were no inventions, indicate "None" on the statement.

**CONTACTS:**

Send original and two hard copies and an electronic copy to the Grants Management Specialist identified in your Notice of Grant Award.

For questions, contact:

CDC/PGO – Mr. Larry Guess, e-mail [lguess@cdc.gov](mailto:lguess@cdc.gov); telephone 412-386-6826

NIOSH/OEP – Your Scientific Program Administrator (identified in the Notice of Grant Award)

NIOSH/OEP — email [OEPCorrespond@cdc.gov](mailto:OEPCorrespond@cdc.gov); telephone 404-498-2530