

Understanding National Institutes of Health (NIH) Notice of Award (NOA)

OSR/ASRSP

June 16, 2016

Presented by Kathy Mustea

Northwestern

Reading the NOA



NOA Fundamentals

- NIH Notice of Award (NOA) contains standardized sections we should all understand
- Received by OSR via email


Award e-mailed to: OSR-Awards@northwestern.edu

- Header


Date Issued

Notice of Award

Federal Award Date: 04/04/2016



RESEARCH
Department of Health and Human Services
National Institutes of Health



National Institutes of Health

NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES

Name of Institute that is funding this grant


Grant Number: Breakout

Award

GRANT NUMBER: 1R01MH012345-01A2

How to read NIH Award Numbers:

Type/ Activity code/ Administering Organization/ Serial #/ Grant (budget) year/ Other



GRANT NUMBER: 1/ R01/ MH/ 012345 / -01/ A2

The application number identifies:

- type of application (1)
- activity code (R01)
- organization to which it is assigned (MH)
- serial number assigned by the Center for Scientific Review (CSR) (012345),
- suffix showing the support year for the grant (-01)
- other information identifying amendment (A1), a supplement (S1), or a fellowship's institutional allowance. For contracts, the suffix is replaced by a modification number.

Awarded to...

Grant Number: 1R01DK 012345-01A1
FAIN: R01DK 012345

Principal Investigator(s):
Elizabeth Blackwell MD

Project Title: Omega

Hawkins, Pamela D
Grants Officer
Northwestern University
750 N Lake Shore Dr
7th Floor
Chicago, IL 606114579

Verify correctness of information.

- Ex: should this be an R01?
- Is the PI correct
- Is the project title correct
- Note all NOA's are sent to the Official contact at NU

Grant Number: Type

Types: See table below

Type 1	New
Type 2	Competing continuation (a.k.a. renewal, re-competing)
Type 3	Application for additional (supplemental) support
Type 4	Competing extension for an R37 award or first non competing year of a Fast Track SBIR/STTR award
Type 5	Non-competing continuation
Type 7	Change of grantee institution
Type 9	Change of NIH awarding Institute or Division (competing continuation)

*PMS Transitioned awards are labeled Type 4 This is temporary use of Type 4 but keep that in mind when you see that.

<http://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/type-of-application-submission.htm>

Grant #: Activity & Org. Codes

Activity Code *	Category	Title	Description	Resources
R21	Research Projects	Exploratory/Developmental Grants	To encourage the development of new research activities in categorical program areas. (Support generally is restricted in level of support and in time.)	More Information
R24	Research Projects	Resource-Related Research Projects	To support research projects that will enhance the capability of resources to serve biomedical research.	More Information
R25	Research Projects	Education Projects	For support to develop and/or implement a program as it relates to a category in one or more of the areas of education, information, training, technical assistance, coordination, or evaluation.	More Information
R28	Research Projects	Resource-Related Research Projects	To support research projects contributing to improvement of the capability of resources to serve clinical research.	

R = Research Project
P = Program Project or Center
U = Cooperative Agreement
T = Training
F = Fellowship
K = Career Development

- Activity Codes

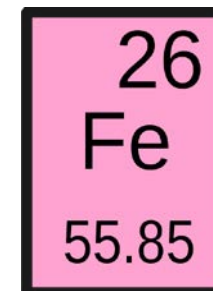
- Complete list of Activity codes can be found here:
- http://grants.nih.gov/grants/funding/ac_search_results.htm

- Organization Codes: aka Two letter codes

- http://grants.nih.gov/grants/acronym_list.htm

Quiz

- What agency is..
 - CA
 - DK
 - GM
 - AI
 - HL
 - EY



Award Period

Period Of Performance:

Budget Period: 04/05/2016 – 03/31/2017

Project Period: 04/05/2016 – 03/31/2020

- **Budget Period:** Approved funding period or current grant period
- **Project Period:** Anticipated competitive Segment
 - May represent all competitive segments from the start.

What Are We Agreeing To..

Dear Business Official:

1. The National Institutes of Health hereby awards a grant in the amount of **\$500,335** (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NORTHWESTERN UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.
 2. Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.
 3. Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Diabetes And Digestive And Kidney Diseases of the National Institutes of Health under Award Number R01DK107767. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.
- Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.
- 4.

1. NIH is giving us money for a specific grant period.
2. NU accepts the award and all terms and conditions **by spending the money and drawing it down**
-Legal binding agreement
3. NU promises to acknowledge NIH awards and institute in publications (PubMed)
4. Promise to follow all the FCOI regulations

Award Data

Award Calculation (U.S. Dollars)

Salaries and Wages	\$147,164
Fringe Benefits	\$41,383
Personnel Costs (Subtotal)	\$188,547
Materials & Supplies	\$58,293
Travel	\$2,700
Other	\$45,900
Subawards/Consortium/Contractual Costs	\$28,170
Publication Costs	\$1,350

Federal Direct Costs	\$324,960
Federal F&A Costs	\$175,375
Approved Budget	\$500,335
Total Amount of Federal Funds Obligated (Federal Share)	\$500,335
TOTAL FEDERAL AWARD AMOUNT	\$500,335

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$500,335

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$500,335	\$500,335
2	\$481,828	\$481,828
3	\$481,371	\$481,371
4	\$475,045	\$475,045

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

- Look to see if your budget was cut
- Verify Correct F & A %
- Future years listed but are not guaranteed funding

Fiscal Information

Fiscal Information:

CFDA Name: Diabetes, Digestive, and Kidney Diseases Extramural Research
CFDA Number: 93.847
EIN: 1362167817A1
Document Number: RDK107767A
PMS Account Type: P (Subaccount)
Fiscal Year: 2016

IC	CAN	2016	2017	2018	2019
DK	8472277	\$500,335	\$481,828	\$481,371	\$475,045

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

- Fiscal information is mostly used by OSR/ASRSP
- Check if you have P (subaccount) award
- Fiscal year refers to the NIH fiscal year, this is the basis of when funds will expire
- Mentions future funding but there is no guarantee you will get it

Terms and Conditions

- Contains the standard terms and conditions
 - NOT-OD-10-040 Legislative Mandates
 - NIH Policies Legislative Notice is part of NIH appropriation law and must be followed NIH Policy Statement
(http://grants.nih.gov/grants/policy/nihgps_2003/)
 - DUNS requirements
 - Transparency Act
 - NIH public Policy
 - FDP Participation (NU is an FDP institute)
 - Carryforward/Carryover Y or N
 - SNAP (Streamlined Noncompeting Award) Y or N

Watch for ..

Carryover Authorized?

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

OR

Carry forward of an unobligated balance into the next budget period requires Grants Management Officer prior approval **This one requires you to ask for Carryover (after the NIH report is sent)**

Subcontracts named correctly? In this example RA noticed the named the wrong institute

Consortium

This award includes funds awarded for consortium activity with Allegheny-Singer Research Institute in the amount of \$22,218 (\$14,522 direct costs + \$7,696 facilities and administrative costs). Consortia are to be established and administered as described in the [NIH Grants Policy Statement](#).

Section IV Special Terms and conditions

SECTION IV – AR Special Terms and Conditions – 2R37AR

-16 REVISED

REVISION

This award is being revised to correct the grant mechanism from R01 to R37, to properly reflect the receipt of a Merit Award.

COMPETING FUNDING LEVEL

This award includes funding adjustment changes in accordance with current NIAMS policy as outlined in the Budget Section of the NIAMS website to award competing grants at approximately 90 percent. http://www.niams.nih.gov/About_Us/Budget/funding_plan_fy2011.asp.

SALARY CAP

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the currently mandated NIH salary cap. Please refer to the NIH Guide for Grants, Cooperative Agreements, and Contracts, Notice: OD-10-040, dated January 6, 2010.

If applicable, this award and/or future years has been adjusted accordingly.

MERIT AWARD

This award is issued under the Method to Extend Research in Time Award (MERIT, R37) Award program in accordance with the letter dated 2/2/11.

- Read this section carefully.
- Some conditions are specific to dept. Others to OSR or ASRSP
- Ask if you don't understand what is being said
- It is important to communicate. Make sure we all know what is expected and what are our responsibilities



Lets looks at some Special conditions and what they mean...

Who's Who On The NOA...

Grants Management Officer (GMO):

- GMOs ensure that the NIH and grantee staffs fulfill requirements of laws, regulations, and administrative policies
- The GMO signs the Notice of Award (NoA)
- NIH official who is responsible for the business management and other non-programmatic aspects of the award.

Grants Management Specialist (GMS):

- The GMS works with the GMO on the day-to-day management of the grant.

Program Official (PO):

- Responsible for the programmatic, scientific, and/or technical aspects of assigned applications and grants.
- Works in partnership with grants management on post-award administration, including review of progress reports, participation in site visits, and other activities.

Grantee Participants

- **Authorized Organizational Representative (AOR):**
 - The AOR, also known as Signing Official (SO) in the eRA Commons
 - Is the designated representative of the grantee organization in matters related to the award and administration of its NIH grants, including those that require NIH approval.
 - In signing a grant application, this individual certifies that the applicant organization will comply with all applicable assurances and certifications referenced in the application.
 - This individual's signature further certifies that the applicant organization will be accountable both for the appropriate use of funds awarded and for the performance of the grant-supported project or activities resulting from the application.
- **Project Director(s)/ Principal Investigator(s) (PD/PI):**
 - The PD/PIs are the individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program supported by the award.
 - The applicant organization may designate multiple individuals as PIs

Contacting the NIH

- Staff contacts are listed on the NOA but just remember that OSR is the authorized agent.
- Please have OSR contact them

STAFF CONTACTS

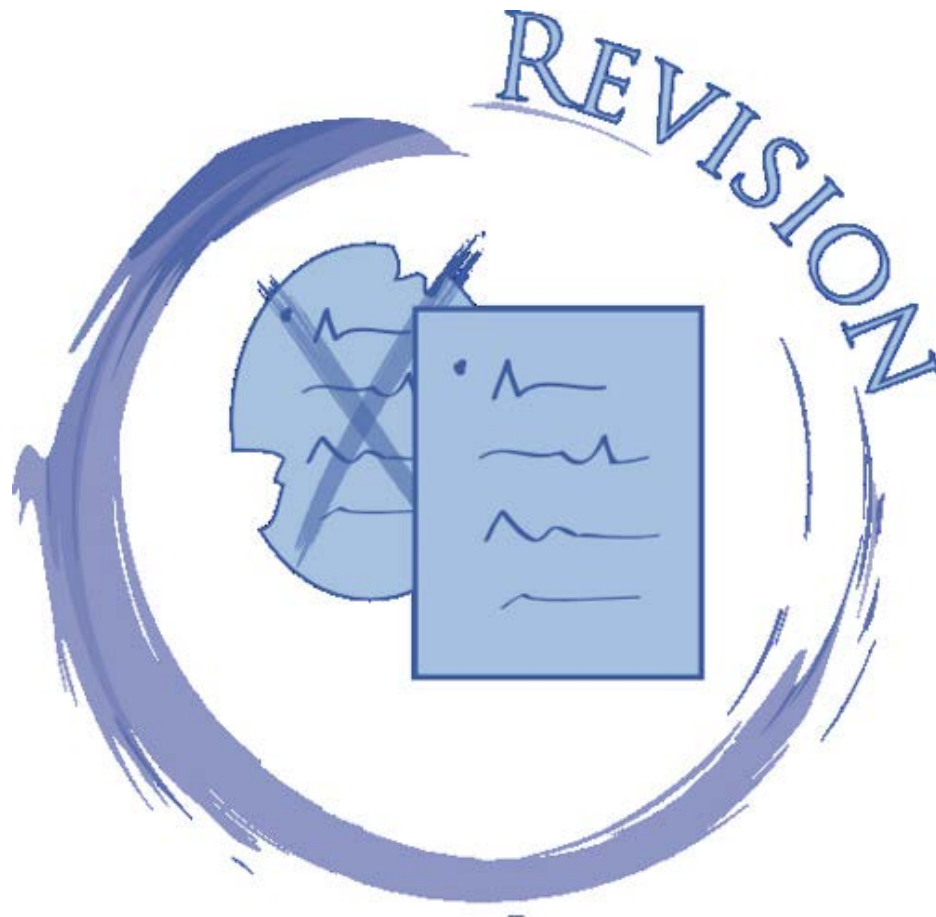
The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Stephanie Kreider
Email: skreider@mail.nih.gov **Phone:** 301-402-1691

Program Official: Marie Mancini
Email: mancinim2@mail.nih.gov **Phone:** 301-594-5032 **Fax:** 301-480-4543

SPREADSHEET SUMMARY
GRANT NUMBER: 5R01AR012345-02

INSTITUTION: NORTHWESTERN UNIVERSITY



NOA Revisions and Changes that affect you

Understanding How Funds Expire

- Grantees are required to use funds within 5 years from which the funding was first made available
 - Ex: We have a 5-year award made in 2007 with a no-cost extension into the 6th year (2013).
 - If there are unspent funds from 2008 (for instance due to first-year invoices not yet paid to a subcontract), those unspent first-year funds cannot be recovered by the Treasury in 2013, as they have expired
 - PMS is used to show year by year basis
 - PMS drawdown: First in,-First out rule will prevent funds from expiring

Carryover Requests

- The request must include the grant number and PI name
- The request must include an appropriate scientific justification:
 - A plan for the use of funds
 - A detailed categorical breakdown, including F&A costs, if applicable,
 - A justification of the unobligated balance of funds
 - What period is this request for? Be specific about need timeline
- The request should present the implications for the project if the request is not approved
- The request must be reasonable, allowable, and necessary
- If the request duplicates funding already provided in the current year support, i.e., overlap, the request may not be approved. Include specific details on how the project will benefit by the unobligated funds

Recycling/Offset

- Occurs on awards that do not have automatic carryover / Carryforward permission
 - non-snap awards
- Funds are recycled or offset when the NIH decides to use your unspent funds to fund a portion of your award
 - Watch award if you see a decrease total awarded amount
 - Once the NIH takes your money there are no carryover funds available

What Carryover Looks Like

On Revised NOA

Sample May 2011

SECTION I – AWARD DATA –5RxxGM012345-02 REVISED

Award Calculation (U.S. Dollars)

Federal Direct Costs		\$200,000
Federal F&A Costs		\$100,000
Approved Budget		\$300,000
Federal Share		\$300,000
Less Unobligated Balance		\$50,000
TOTAL FEDERAL AWARD AMOUNT		\$250,000

Initial award:
 DC = 165,000
 F&A = 85,000
 Approved = 250,000

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$250,000	\$250,000

Fiscal Information:

CFDA Number: 93.701
 EIN: [0000000000A1]
 Document Number: RGM012345X
 Fiscal Year: 2010

	IC	CAN	2010
GM		XXXXXXX	\$250,000

- DC and F & A were increased so they can take back the 50K,
- Amount of this action is Zero because there was no real change to the original award for year 2. It was year 1 funds that were brought over.

Ex: Offset/Recycling

On revised NOA

Sample May 2011

SECTION I – AWARD DATA –5RxxGM012345-02 **REVISED**

Award Calculation (U.S. Dollars)

Federal Direct Costs	\$165,000
Federal F&A Costs	\$ 85,000
Approved Budget	\$250,000
Federal Share	\$250,000
Less Unobligated Balance	\$50,000
TOTAL FEDERAL AWARD AMOUNT	\$200,000
AMOUNT OF THIS ACTION (FEDERAL SHARE)	(\$-50,000)

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$250,000	\$250,000

Fiscal Information:

CFDA Number: 93.701
 EIN: [0000000000A1]
 Document Number: RGM012345X
 Fiscal Year: 2010

IC	CAN	2010
GM	XXXXXXXX	\$200,000

Another Example of Recycling/Offset

Award Calculation (U.S. Dollars)

Training Expenses	\$24,100
Stipends	\$121,968
Trainee Tuition/Fees	\$32,000
Trainee Travel	\$3,600
Federal Direct Costs	\$181,668
Federal F&A Costs	\$11,973
Approved Budget	\$193,641
Federal Share	\$193,641
Less Unobligated Balance	\$37,036
TOTAL FEDERAL AWARD AMOUNT	\$156,605
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$156,605

In this example of training grant this is an original unrevised NOA. The NIH took back 37,036, used the money to offset the funding for this year. Thus the total federal share was reduced from 193,641 to 156,605

The carryover was used by NIH to fund this year

Important Links

- You can find your NOA in eRA commons
 - <https://era.nih.gov/erahelp/commons/default.htm#cshid=1031>
- Notice of Award Policy
 - http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch5.htm



Presented by:
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