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

OSR/ASRSP
June 16, 2016
Presented by Kathy Mustea
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
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...

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

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

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

Grant #: Activity & Org. Codes

- **Activity Codes**
  - Complete list of Activity codes can be found here:
  - [http://grants.nih.gov/grants/funding/ac_search_results.htm](http://grants.nih.gov/grants/funding/ac_search_results.htm)

- **Organization Codes: aka Two letter codes**
  - [http://grants.nih.gov/grants/acronym_list.htm](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:

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.

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

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

- 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). Consortiums are to be established and administered as described in the NIH Grants Policy Statement.
Section IV Special Terms and conditions

- 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

**SECTION IV – AR Special Terms and Conditions – 2R37AR -16 REVISED**

**REVISON**
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. [Link](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 8, 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.
Let's look 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

SECTION I – AWARD DATA –5RxGM012345-02 REVISED

Award Calculation (U.S. Dollars)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Direct Costs</td>
<td>$200,000</td>
</tr>
<tr>
<td>Federal F&amp;A Costs</td>
<td>$100,000</td>
</tr>
<tr>
<td>Approved Budget</td>
<td>$300,000</td>
</tr>
<tr>
<td>Federal Share</td>
<td>$300,000</td>
</tr>
<tr>
<td>Less Unobligated Balance</td>
<td>$50,000</td>
</tr>
<tr>
<td>TOTAL FEDERAL AWARD AMOUNT</td>
<td>$250,000</td>
</tr>
<tr>
<td>AMOUNT OF THIS ACTION</td>
<td>$0</td>
</tr>
</tbody>
</table>

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

SUMMARY TOTALS FOR ALL YEARS

<table>
<thead>
<tr>
<th>Year</th>
<th>This Award</th>
<th>Cumulative Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>$250,000</td>
<td>$250,000</td>
</tr>
</tbody>
</table>

Fiscal Information:
- CFDA Number: 93.701
- EIN: 000000000A1
- Document Number: RGM012345X
- Fiscal Year: 2010

<table>
<thead>
<tr>
<th>IC</th>
<th>CAN</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>GM</td>
<td>XXXXXXX</td>
<td>$250,000</td>
</tr>
</tbody>
</table>

- 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

SECTION I – AWARD DATA –5RxxGM012345-02 REVISED

Award Calculation (U.S. Dollars)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Direct Costs</td>
<td>$165,000</td>
</tr>
<tr>
<td>Federal F&amp;A Costs</td>
<td>$ 85,000</td>
</tr>
<tr>
<td>Approved Budget</td>
<td>$250,000</td>
</tr>
<tr>
<td>Federal Share</td>
<td>$250,000</td>
</tr>
<tr>
<td>Less Unobligated Balance</td>
<td>$50,000</td>
</tr>
<tr>
<td>TOTAL FEDERAL AWARD AMOUNT</td>
<td>$200,000</td>
</tr>
</tbody>
</table>

AMOUNT OF THIS ACTION (FEDERAL SHARE) ($-50,000)

SUMMARY TOTALS FOR ALL YEARS

<table>
<thead>
<tr>
<th>YR</th>
<th>THIS AWARD</th>
<th>CUMULATIVE TOTALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>$250,000</td>
<td>$250,000</td>
</tr>
</tbody>
</table>

Fiscal Information:
CFDA Number: 93.701
EIN: 00000000000A1
Document Number: RGM012345X
Fiscal Year: 2010

IC  CAN  2010
GM  XXXXXXX  $200,000
Another Example of Recycling/Offset

<table>
<thead>
<tr>
<th>Award Calculation (U.S. Dollars)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Expenses</td>
<td>$24,100</td>
</tr>
<tr>
<td>Stipends</td>
<td>$121,968</td>
</tr>
<tr>
<td>Trainee Tuition/Fees</td>
<td>$32,000</td>
</tr>
<tr>
<td>Trainee Travel</td>
<td>$3,600</td>
</tr>
<tr>
<td>Federal Direct Costs</td>
<td>$181,668</td>
</tr>
<tr>
<td>Federal F&amp;A Costs</td>
<td>$11,973</td>
</tr>
<tr>
<td>Approved Budget</td>
<td>$193,641</td>
</tr>
<tr>
<td>Federal Share</td>
<td>$193,641</td>
</tr>
<tr>
<td>Less Unobligated Balance</td>
<td>$37,036</td>
</tr>
<tr>
<td>TOTAL FEDERAL AWARD AMOUNT</td>
<td>$156,605</td>
</tr>
<tr>
<td>AMOUNT OF THIS ACTION (FEDERAL SHARE)</td>
<td>$156,605</td>
</tr>
</tbody>
</table>

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
Presented by:
Katherine Mustea
Accounting Services for Research & Sponsored Programs
312-503-0862