

UNDERSTANDING YOUR NIH NOTICE OF AWARD (NOA)

- NIH emails NOA to OSP Sponsored Projects email
- The NOA authorizes funding and contains standard terms & conditions
- Awarded as a grant
- Refer to the sample provided below

HEADER

Department of Health and Human Services
National Institutes of Health
NATIONAL CANCER INSTITUTE

Notice of Award
FAIN# R01CA555555
Federal Award Date
12/30/2021

- The NIH awarding institute is the “National Cancer Institute (NCI)”
- The Federal Award Date of 12/30/2021 is the date the NOA was issued by NIH

AWARD NUMBER

- Grant Number: 1R01CA555555-01
 - Type of application (1)
 - Activity Code (R01)
 - Administering organization to which it is assigned (CA)
 - Serial number assigned by the Center for Scientific Review (CSR) (555555)
 - Suffix showing the support year/budget year for the grant (-01)

TYPES

- Type 1 – New
- Type 2 – Competing continuation
- 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

Listing of Activity Codes:

http://grants.nih.gov/grants/funding/ac_search_results.htm

Listing of Administering Organizations:

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

FEDERAL AWARD INFORMATION

Recipient Information	Federal Award Information																								
1. Recipient Name TRUSTEES OF DARTMOUTH COLLEGE 6001 PARKHURST HALL STE 207 HANOVER, NH 03755	11. Award Number 1R01CA55555-01																								
2. Congressional District of Recipient 02	12. Unique Federal Award Identification Number (FAIN) R01CA555555																								
3. Payment System Identifier (ID) 1020222111A3	13. Statutory Authority 42 USC 241 42 CFR 52																								
4. Employer Identification Number (EIN) 020222111	14. Federal Award Project Title Why are the Three Stooges Funny																								
5. Data Universal Numbering System (DUNS) 041027822	15. Assistance Listing Number 93.396																								
6. Recipient's Unique Entity Identifier EB8ASJBCFER9	16. Assistance Listing Program Title Cancer Biology Research																								
7. Project Director or Principal Investigator Moe Howard	17. Award Action Type New Competing																								
8. Authorized Official Jill Mortali	18. Is the Award R&D? Yes																								
Federal Agency Information	<table border="1"> <thead> <tr> <th colspan="2" style="text-align: center;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr> <td>19. Budget Period Start Date</td> <td>01/01/2022 – End Date 12/31/2022</td> </tr> <tr> <td>20. Total Amount of Federal Funds Obligated by this Action</td> <td style="text-align: right;">\$379,548</td> </tr> <tr> <td> 20 a. Direct Cost Amount</td> <td style="text-align: right;">\$231,432</td> </tr> <tr> <td> 20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$148,116</td> </tr> <tr> <td>21. Authorized Carryover</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>22. Offset</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>23. Total Amount of Federal Funds Obligated this budget period</td> <td style="text-align: right;">\$379,548</td> </tr> <tr> <td>24. Total Approved Cost Sharing or Matching, where applicable</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>25. Total Federal and Non-Federal Approved this Budget Period</td> <td style="text-align: right;">\$379,548</td> </tr> <tr> <td colspan="2" style="border-top: 1px dashed black;"> 26. Project Period Start Date 01/01/2022 – End Date 12/31/2026 </td> </tr> <tr> <td>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</td> <td style="text-align: right;">\$379,548</td> </tr> </tbody> </table>	Summary Federal Award Financial Information		19. Budget Period Start Date	01/01/2022 – End Date 12/31/2022	20. Total Amount of Federal Funds Obligated by this Action	\$379,548	20 a. Direct Cost Amount	\$231,432	20 b. Indirect Cost Amount	\$148,116	21. Authorized Carryover	\$0	22. Offset	\$0	23. Total Amount of Federal Funds Obligated this budget period	\$379,548	24. Total Approved Cost Sharing or Matching, where applicable	\$0	25. Total Federal and Non-Federal Approved this Budget Period	\$379,548	26. Project Period Start Date 01/01/2022 – End Date 12/31/2026		27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$379,548
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9. Awarding Agency Contact Information Jennifer S Meininger NATIONAL CANCER INSTITUTE jennifer.meininger@nih.gov (240) 276-6330	28. Authorized Treatment of Program Income Additional Costs																								
10. Program Official Contact Information Jeffrey Hildesheim Program Director NATIONAL CANCER INSTITUTE hildesheimj@mail.nih.gov 240-276-6220	29. Grants Management Officer - Signature Jennifer S Meininger																								
30. Remarks Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.																									

AWARD PERIODS

- Budget Period: 01/01/2022 – 12/31/2022 (represents current awarded budget period)
- Project Period: 01/01/2022 – 12/31/2026 (represents the anticipated overall funding period of the award)

WHY THE NOA IS ISSUED, 1st Paragraph

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$379,548 (see "Award Calculation" in Section I and "Terms and Conditions" in

Section III) to DARTMOUTH COLLEGE 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.

- In this example, the first paragraph lets us know how much has been awarded for the current budget period which was \$379,548.

ACCEPTANCE, 2nd Paragraph

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

STANDARD NIH POLICIES

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 Cancer Institute of the National Institutes of Health under Award Number R01CA267691. 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.

- NIH Acknowledgement
- NIH Public Access Policy (PubMed)
- Conflict of Interest

AUTHORIZED THE AWARD

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Jennifer S Meininger
Grants Management Officer
NATIONAL CANCER INSTITUTE

- Grants Management Officer who processed the award

SECTION I – AWARD DATA

Federal Direct Costs	\$231,432
Federal F&A Costs	\$148,116
Approved Budget	\$379,548
Total Amount of Federal Funds Authorized (Federal Share)	\$379,548
TOTAL FEDERAL AWARD AMOUNT	\$379,548

SECTION I – Anticipated Total Funding, Funding Estimates each year

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$379,548	\$379,548
2	\$379,570	\$379,570
3	\$379,295	\$379,295
4	\$374,585	\$374,585
5	\$374,583	\$374,583

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

SECTION I – FISCAL INFORMATION

Fiscal Information:

Payment System Identifier: 1020222111A3
 Document Number: RCA555555A
 PMS Account Type: P (Subaccount)
 Fiscal Year: 2022

IC	CAN	2022	2023	2024	2025	2026
CA	8479568	\$379,548	\$379,570	\$379,295	\$374,585	\$374,583

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

NIH Administrative Data:

PCC: 87TB / OC: 41021 / Released: Meininger, Jennifer 12/21/2021
 Award Processed: 12/30/2021 12:02:11 AM

SECTION II – PAYMENT/HOTLINE INFO

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01CA555555-01

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

- OSP draws down actual funds spent monthly by doing a “letter of credit”

SECTION III – STANDARD TERMS AND CONDITIONS

SECTION III – STANDARD TERMS AND CONDITIONS – 1R01CA55555-01

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain

SECTION III – RESEARCH AND DEVELOPMENT

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of “Research and Development” at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

SECTION III – FDP PARTICIPATION

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VII Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

SECTION III – CARRYOVER

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

Another Carryover Example

Carry forward of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

SECTION III – ESNAP

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

Another ESNAP Example

This Award is excluded from the Streamlined Non-Competing Award Process

- When an award is not under ESNAP, it usually means OSP needs to submit an annual financial report to NIH
- When the NOA does not mention “Streamlined” subject matter at all, then SNAP does not apply

SECTION III – ADDITIONAL TERMS AND CONDITIONS

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R01CA267691. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:

Additional Costs

- Please note that if there is Program Income on the grant, NIH will indicate on the NOA how the Program Income should be treated, in this example they state Program Income should be treated as Additional Costs

SECTION IV – SPECIFIC AWARD CONDITIONS

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

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REQUIREMENT: The awardee is required to follow the Model Sharing plan included in the competing application and may not implement any changes in the plan without the written prior approval of the National Cancer Institute.

INFORMATION: In accordance with the National Cancer Institute's (NCI's) Fiscal Year (FY) 2022 funding policies, this award has been issued at 91.5% of the adjusted requested level*. Support recommended for future years has been adjusted accordingly.

*adjusted requested level: The requested level of support with adjustments made in accordance with the budget narrative in the summary statement and applicable grant policies.

INFORMATION: This is a Modular Grant Award issued without direct cost categorical breakdowns in accordance with the guidelines published in the [National Institutes of Health Grants Policy Statement](#). Recipients are required to allocate and account for costs related to this award by category within their institutional accounting system in accordance with applicable cost principles.

INFORMATION: This award includes funds awarded for consortium activity. Consortia are to be established and administered as described in the [NIH Grants Policy Statement \(NIH GPS\)](#).

INFORMATION: As indicated in the NIH Guide Notice: [NOT-OD-22-045](#), NIH is currently funded through a Continuing Resolution (CR). All legislative mandates that were in effect in FY 2021 (see [NOT-OD-21-056](#)) remain in effect under the CR including the salary limitation set at Executive Level II of the Federal Pay Scale as described in [NOT-OD-21-057](#).

SECTION IV - SPECIAL TERMS AND CONDITIONS – OTHER TYPICAL TERMS

- Key personnel might be specified (listed)
 - Written prior approval is required if any of the individuals named in this section withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.

SECTION IV - SPECIAL TERMS AND CONDITIONS – OTHER TYPICAL TERMS

- Salary cap language
- None of the funds in this award shall be used to pay the salary of an individual at a rate more than the current salary cap. Current salary cap levels can be found in the following URL:
https://grants.nih.gov/grants/policy/salcap_summary.htm
- Note: Salary cap policy applies even if not specified in the NOA.
- Note: Policy is updated every year.

SECTION IV – SPECIAL TERMS AND CONDITIONS – OTHER TYPICAL TERMS

- There could be many other specific terms and conditions referenced in Section IV. It is important to read and understand them all. It is equally important that everyone knows what their responsibilities are regarding those terms.

SPREADSHEET SUMMARY

SPREADSHEET SUMMARY

AWARD NUMBER: 1R01CA55555-01

INSTITUTION: DARTMOUTH COLLEGE

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
TOTAL FEDERAL DC	\$231,432	\$231,445	\$231,457	\$231,468	\$231,480
TOTAL FEDERAL F&A	\$148,116	\$148,125	\$147,838	\$143,117	\$143,103
TOTAL COST	\$379,548	\$379,570	\$379,295	\$374,585	\$374,583

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	64%	64%	64%	64%	64%
F&A Cost Base 1	\$231,432	\$231,445	\$230,997	\$223,621	\$223,598
F&A Costs 1	\$148,116	\$148,125	\$147,838	\$143,117	\$143,103