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
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/](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

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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<tbody>
<tr>
<td>Federal Direct Costs</td>
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<tr>
<td>Federal F&amp;A Costs</td>
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<tr>
<td>Approved Budget</td>
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<tr>
<td>Total Amount of Federal Funds Authorized (Federal Share)</td>
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<td>TOTAL FEDERAL AWARD AMOUNT</td>
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SECTION I – Anticipated Total Funding, Funding Estimates each year

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<th>YR</th>
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<th>CUMULATIVE TOTALS</th>
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<td>5</td>
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Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

SECTION I – FISCAL INFORMATION

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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: Moininger, Jennifer 12/21/2021
Award Processed: 12/30/2021 12:02:11 AM

SECTION II – PAYMENT/HOTLINE INFO

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

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. 42 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 (FAPIIS)). 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.

SECTION IV – SPECIAL TERMS AND CONDITIONS – OTHER TYPICAL TERMS

• Key personnel might be specified (listed)
  o 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

<table>
<thead>
<tr>
<th>INSTITUTION: DARTMOUTH COLLEGE</th>
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<table>
<thead>
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<th>Year 3</th>
<th>Year 4</th>
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<th>Facilities and Administrative Costs</th>
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<th>Year 3</th>
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