

Anatomy of a Notice (NOA)



North
Univ



April 15, 2020


Learning Objectives

- Purpose of Notice of Award (NOA)
- Understand content/format of standard NOAs
- Review Examples (NIH, NSF, Foundation)

What is a Notice of Award

- The legally binding document that notifies the grantee (NORSE) administrators that an award has been made
- Contains or references all terms and conditions of the award and the obligation funds
- Contains information about the administration and financial management as well as information about applying for continuation (renewal)

NIH Notice of Award (NOA)

 RESEARCH Department of Health and Human Services National Institutes of Health NATIONAL CANCER INSTITUTE		NIH Awarding Institute ↓	Notice of Award Federal Award Date: 12/04/2019
			↑ Date NOA issued

Grant Number: 5R01CA200844-04 FAIN: R01CA200844	→	FAIN #: unique identifying number assigned
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5	R01	CA	200844	
Type (of application)	<u>Activity Code</u>	<u>Administering Organization</u>	Serial #	C

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 Institution (continuation)

NIH Notice of Award (NOA)

Project Title: Lipid-dendrimer micellar nanocarriers for siRNA/drug co-delivery in MDR cancer



Period Of Performance:

Budget Period: 12/01/2018 – 11/30/2019

Project Period: 12/07/2015 – 11/30/2020

Budget Period = Period for which funding is available

Project Period = Anticipated total completion date

NIH Notice of Award (NOA)

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$339,188 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NORTHEASTERN 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.

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.

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 R01CA200844. 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.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

- Amount
- Reference

- Acceptance

- Publication

- Compliance
- Interest

- Grant

NIH Notice of Award (NOA)

SECTION I – AWARD DATA – 5R01CA200844-04

Award Calculation (U.S. Dollars)

Federal Direct Costs	\$221,887
Federal F&A Costs	\$117,301
Approved Budget	\$339,188
Total Amount of Federal Funds Obligated (Federal Share)	\$339,188
TOTAL FEDERAL AWARD AMOUNT	\$339,188

AMOUNT OF THIS ACTION (FEDERAL SHARE) **\$339,188**

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
4	\$339,188	\$339,188
5	\$349,679	\$349,679

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

Fiscal Information:

CFDA Name: Cancer Treatment Research
CFDA Number: 93.395
EIN: 1041679980A1
Document Number: RCA200844A
PMS Account Type: P (Subaccount)
Fiscal Year: 2019

IC	CAN	2019	2020
CA	8479567	\$339,188	\$349,679

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

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NIH Notice of Award (NOA)

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01CA200844-04

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

SECTION III – TERMS AND CONDITIONS – 5R01CA200844-04

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.

NIH Notice of Award (NOA)

SECTION III – TERMS AND CONDITIONS – 5R01CA200844-04

Continued...

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).

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

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

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

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) R01CA200844. 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/>.

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

• Streamlined Noncompeting Award Procedures (SNAP).

• Compliance with the NIH Public Access Policy is now mandatory.

NIH Notice of Award (NOA)

SECTION IV – CA Special Terms and Conditions – 5R01CA200844-04

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.

- Clinical Trial Indicator: No

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIBIB acceptance of the certification of IRB approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIBIB notification to the grantee that the identified issues have been resolved and this restriction removed. Failure to comply with the above requirements can result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action.

- Award issued with restriction

See the NIH Grants Policy Statement section 4.1.15 Human Subjects Protections, for specific requirements related to the protection of human subjects, which are applicable to and a term and condition of this award.

http://grants.nih.gov/grants/policy/nihgps/HTML5/section_4/4.1_public_policy_requirements_and_objectives.htm#Human3

PAR

This award is subject to the award requirements found in Section VI. Award Administration Information of EB-17-003, entitled, "BRAIN Initiative: Proof of Concept Development of Early Stage Next Generation Human Brain Imaging (R01 Clinical Trials Not Allowed)", released on 10/05/2017 which is hereby incorporated by reference as special terms and conditions of this award. Copies of this announcement may be accessed at the following internet address:

<https://grants.nih.gov/grants/guide/ra-files/RA-EB-17-003.html>

- Award subject to PAR

KEY PERSONNEL

In addition to the Principal Investigator (PI), the following individual(s) are named as key personnel:

-Swathi Kiran

Written prior approval is required, if any of the individual(s) named above 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.

http://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.1_changes_in_project_and_budget.htm

- Named Key Personnel

NIH Notice of Award (NOA)

- 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: Nicole Franklin
Email: nicole.franklin@nih.gov **Phone:** 240-276-5360

Program Official: Yali Fu
Email: fuyali@mail.nih.gov **Phone:** 240.276.5924

SPREADSHEET SUMMARY
GRANT NUMBER: 5R01CA200844-04

INSTITUTION: NORTHEASTERN UNIVERSITY

- NIH Grants Management Specialist
- Please work with the Grants Management Specialist for help!

Budget	Year 4	Year 5
TOTAL FEDERAL DC	\$221,887	\$228,750
TOTAL FEDERAL F&A	\$117,301	\$120,929
TOTAL COST	\$339,188	\$349,679

- Current and projected costs

Facilities and Administrative Costs	Year 4	Year 5
F&A Cost Rate 1	54.5%	54.5%
F&A Cost Base 1	\$215,231	\$221,888
F&A Costs 1	\$117,301	\$120,929

NSF Notice of Award (NOA)

AWARD NOTICE

Award Date:	June 14, 2019
Award No. (FAIN):	1910850
Proposal No.:	1910850
Managing Division Abbreviation:	CCF

The National Science Foundation hereby awards a grant of \$499,671 to Northeastern University for support of the project described in the proposal referenced above. This award is expected to total \$499,671.

This project, entitled "SMF: Small: Program Analysis for Data Science," is under the direction of [REDACTED].

This award starts October 1, 2019 and ends September 30, 2022.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Research Terms and Conditions (RTCs) dated March 14, 2017, and NSF Agency Specific Requirements, dated February 25, 2019, available at: <https://www.nsf.gov/awards/managing/rtc.jsp>.

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

This award is subject to the Federal Funding Accountability and Transparency Act (FFATA) award term entitled, Reporting Subawards and Executive Compensation, which has been incorporated into the NSF Terms and Conditions referenced above.

If the awardee has any questions related to the pre-populated data associated with this award in the FFATA Subaward Reporting System, such questions should be submitted to: FFATAREporting@nsf.gov or by phone to: (800) 673-6188.

This award is subject to the provisions of NSF Solicitation 18-568, Computing and Communication Foundations (CCF): Core Programs.

• [NSF Research Terms and Conditions](#)

• Award is also subject to

NSF Notice of Award (NOA)

The attached budget indicates the amounts, by categories, on which NSF has based its support.

The indirect cost rate(s) for this award is/are :

Item Name

Indirect Cost Rate

Modified Total Direct Costs

57.0000%

These rates are at the time of award and are based upon the budget submitted to the NSF. It does not include any out-year adjustments. The NSF will not modify awards simply to correct indirect cost rates cited in the award notice. See the Proposal & Award Policies & Procedures Guide (PAPPG) Chapter X.A.3.a. for guidance on re-budgeting authority.

Please view the project reporting requirements for this award at the following web address [<https://reporting.research.gov/fedAwardId/1910850>].

The cognizant NSF program official for this grant is Anindya Banerjee, (703) 292-7885

The cognizant NSF grants official contact is Pamela Conyers, (703) 292-5329.

Sincerely,

Pamela Conyers
Grants and Agreements Officer

CFDA No. 47.070, Computer and Information Science and Engineering

ORAF@neu.edu

CCF-1910850

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NSF Notice of Award (NOA)

SUMMARY PROPOSAL BUDGET

Award No. 1910850

Person MOS	cal	acad	sumr	
A. (3.00) Total Senior personnel	0.00	0.00	1.50	\$
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$
2. (0.00) Other professionals	0.00	0.00	0.00	\$
3. (6.00) Graduate students				\$
4. (0.00) Secretarial-clerical				\$
5. (0.00) Undergraduate students				\$
6. (0.00) Other				\$
Total salaries and wages (A+B)				\$
C. Fringe benefits (if charged as direct cost)				\$
Total salaries wages and fringes (A+B+C)				\$
D. Total permanent equipment				\$
E. Travel				
1. Domestic				\$
2. International				\$
F. Total participant support costs				\$
G. Other direct costs				
1. Materials and supplies				\$
2. Publication costs/page charges				\$
3. Consultant services				\$
4. Computer (ADPE) services				\$
5. Subawards				\$
6. Other				\$
Total other direct costs				\$
H. Total direct costs (A through G)				\$
I. Total indirect costs				\$
(For information on the rate used, please refer to the award no				
J. Total direct and indirect costs (H+I)				\$
K. Fee				\$
L. Amount of this request (J) or (J+K)				\$
\$499,671				
M. Cost sharing				\$

Foundation Notice of Award

ALFRED P. SLOAN FOUNDATION GRANT SUMMARY

Grant Number: FG-2018-10331

Approved on:	February 15, 2018										
Program Director:	Daniel Goroff										
Grantee:	Northeastern University										
Tax Status:	501c3										
Principal Investigator / Primary Contact:											
Purpose:	Alfred P. Sloan Research Fellowship Computer Science										
Duration:	24 months 9/15/2018 - 9/14/2020										
Amount:	\$65,000.00										
Payment Schedule:	\$65,000.00 Date:										
Check Payable to:	Northeastern University Mail to: Alex Tran Office of Research Administration Northeastern University 360 Huntington Ave Boston, MA 02115										
Grant Agreement and Report Due Dates:	<table><tr><td>Grant Agreement</td><td>Date:</td></tr><tr><td>Financial Interim</td><td>Date:</td></tr><tr><td>Substantive Interim</td><td>Date:</td></tr><tr><td>Financial Final</td><td>Date:</td></tr><tr><td>Substantive Final</td><td>Date:</td></tr></table>	Grant Agreement	Date:	Financial Interim	Date:	Substantive Interim	Date:	Financial Final	Date:	Substantive Final	Date:
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Please upload reports at sloan.fluxx.io



Foundation Notice of Award

GENERAL CONDITIONS

1. **Purpose:** This grant provides funds for the general support of research carried on by or under the supervision of the Fellow, who is associated with the grantee; the grantee agrees to use grant funds only for this purpose.
2. **Use of Funds:** Funds may be used for support of undergraduate research assistants, pre- or post-doctoral research assistants, supplies, equipment, professional travel and other expenditures directly related to the Fellow's research. Expenditures must be approved by the Fellow's department chair and must be in accordance with the established policies of the grantee.

Fellows partly or totally removed from the payroll of the grantee in order to devote additional time to research may use funds from this grant for salary support. Funds may not be used to increase salary beyond the Fellow's regular academic rate, or for indirect or overhead charges by the Fellow's institution. Funds used for salary during summer months may not exceed two-ninths of established academic salary.

All supplies and equipment purchased under this grant are to be regarded as the property of the grantee. If a Fellow moves from one institution to another during the course of this grant, supplies, and equipment purchased under this grant may, with the consent of the grantee, be transferred to the new institution.

Foundation Notice of Award



3. Accounting and Audit: The grantee will record the receipt of this grant, together with any expenses (including travel) that relate to it, in such a manner (e.g., in a separate ledger account) as to enable the Foundation to verify that the funds received have been expended for the purpose for which the grant was made. Records pertaining to the grant, including invoices, purchase orders, or worksheets supporting any allocations, along with copies of all receipts submitted to the Foundation, must be retained in the grantee's files for four years after the term of the grant. The Foundation reserves the right to audit these records during and after the term of the grant, and the audit made by independent auditors.

With respect to any remuneration paid under this grant, the Grantee acknowledges that it is the responsibility to withhold all payroll taxes, which are required to be withheld under Federal, State, and local regulations.

4. Unused Funds: Upon written request, the Foundation may permit one two-year extension of the grant. At the final termination of the grant, unexpended funds greater than \$100 shall be returned to the Foundation. Funds of \$100 or less may be retained and made available for use in support of the Fellow's research and the grantee's general purposes.

5. Publicity: Grantees may make their own public announcement of grant support; a copy of the announcement should be sent to the Foundation.

Individuals whose research is supported under this program are designated by the Foundation as Research Fellows. (This title may be used to acknowledge support on papers describing research conducted during the tenure of the Fellowship.) Titles of other persons who may assist in the Fellow's research and are associated with the name of Alfred P. Sloan, Jr. or the Alfred P. Sloan Foundation.

Neither the Fellow nor the grantee should suggest that the Foundation has any control over the research or any responsibility for its results.

6. Tax Exemption: The grantee will notify the Foundation immediately of any change or expected change in its status as a not-for-profit tax-exempt organization or as an organization not classified as a private foundation under the Internal Revenue Code.

7. Reporting: The grantee will provide the Foundation with annual financial reports of actual expenses, including a final report at the termination of the grant (all in U.S. dollars). The Fellow will provide the grantee with short annual scientific progress reports and a final report (in English), which briefly describes the research accomplished with the aid of the grant. Reprints or preprints of scientific papers will be accepted for the grantee's reports. Reports are due each year by November 15 for as long as the grant remains active.

8. Equal Employment Opportunity: The grantee institution certifies that it complies with the principles of the Equal Employment Opportunity and that it has a policy against discriminatory harassment in place. The grantee will ensure that any individual engaged in work pursuant to this grant will act in accordance with the grant's professional norms and ethics.

Award Obligation Budget



Don't
Forget!!

- ✓ If the **awarded amount** does not match the original budget, the PI/College Administrator will ask the PI/College Administrator to submit a **Budget**
 - ✓ This will be requested if a revision is required by NIH's Just-in-Time (JIT) or during any point prior to award
- ✓ Necessary for Research Finance to connect to the accounting system
 - ✓ This way, NU RES will be able to track the lifecycle require prior approval
 - ✓ Documents Proposed Levels of Funding for Academic and Summer Periods

Questions? Contact Us!

General Mailbox: NU-RES@northeastern.edu

Staff by Portfolio Assignment:

<https://research.northeastern.edu/nu-res/search-by-department-colle>

Satellite Hours:

Each Thursday, NU-RES staff hosting [Virtual Satellite Hours](#) via Teams 1

