



NIH Notice of Award

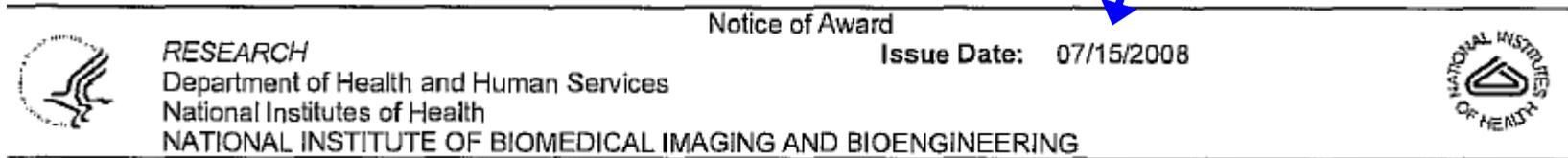
- Received by University of California / LBNL
- NIH Notice of Award (NoA) is standardized and is received at SPO via email
- The NoA authorized funding and stipulates the Terms & Conditions for the project
- Comes as an “Grant” not an Interagency Agreement
- Issued according to NIH / DOE Memorandum of Understanding
- Refer to the samples provided



NIH Notice of Award NoA Sample #1

Header

Date the NoA is Issued



The NIH Awarding Institute



NIH Notice of Award NoA Sample #1

Award

NATIONAL INSTITUTE OF BIOMEDICAL IMAGING AND BIOENGINEERING

Grant Number: 1R01EB007219-01A2

Type / Activity Code / Administering Org / Serial # / grant (budget) yr / other

(See handout *How to read NIH Award Numbers*)



NIH Notice of Award NoA Sample #1

Award Periods

Budget Period: 07/15/2008 – 04/30/2009

Project Period: 07/15/2008 – 04/30/2012

Budget Period = period for which funding is approved

Project Period = anticipated total competitive period

The project period encompasses all the competitive periods. Some LBNL Awards have project periods back to the early 1990, and one began in 1982.



NIH Notice of Award NoA Sample #1

1st paragraph Why NoA is Issued

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$752,537 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIF-LAWRENC BERKELEY LAB 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 NoA was issued to authorize new funding for a specific grant (budget) year.

This first paragraph will summarize the purpose of the NoA.

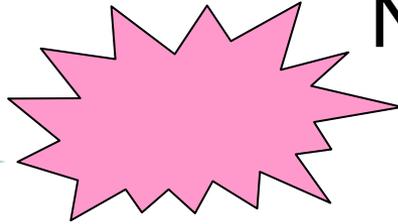


NIH Notice of Award NoA Sample #1

2nd paragraph Acceptance

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.

If there are issues with the Terms and Conditions, they must be resolved before spending.



NIH Notice of Award NoA Sample #1

Highlighted Standard NIH Policies

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number R01EB007219 from the National Institute Of Biomedical Imaging And Bioengineering. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Biomedical Imaging And Bioengineering or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors, or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/coi/index.htm> provides additional information.

NIH

Acknowledgement

NIH Public Access
Policy (PubMed)

Conflict of Interest



NIH Notice of Award NoA Sample #1

Authorized the Award

Sincerely yours,

Nancy Curling
Grants Management Officer
NATIONAL INSTITUTE OF BIOMEDICAL IMAGING AND BIOENGINEERING

Grants Management Officer – processed the award



NIH Notice of Award NoA Sample #1

Section I – Award Data

<u>Award Calculation (U.S. Dollars)</u>	
Salaries and Wages	\$216,602
Fringe Benefits	\$57,210
Consultant Services	\$1,800
Equipment	\$26,757
Supplies	\$44,150
Travel Costs	\$6,179
Other Costs	\$57,297
Consortium/Contractual Cost	\$60,144
Federal Direct Costs	\$470,139
Federal F&A Costs	\$282,398
Approved Budget	\$752,537
Federal Share	\$752,537
TOTAL FEDERAL AWARD AMOUNT	\$752,537
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$752,537

F&A → (points to Federal F&A Costs)

Amount Authorized → (points to Approved Budget)



NIH Notice of Award NoA Sample #1

Section I – Anticipated Total Funding Funding estimates each year

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$752,537	\$752,537
2	\$757,122	\$757,122
3	\$727,101	\$727,101
4	\$756,313	\$756,313

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

The amounts for future periods typically change through the course of a competitive period as the NIH FY policy changes.



NIH Notice of Award NoA Sample #1

Section I – Fiscal Information

<u>Fiscal Information:</u>	
CFDA Number:	93.286
EIN:	1942951741A1
Document Number:	REB007219A
Fiscal Year:	2008

Sequence
of Competitive
Periods

NIH Fiscal Year Funds

LBNL uses the Document # as the sponsor's reference
award # in RAPID.



NIH Notice of Award NoA Sample #1

Section II

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01EB007219-01A2

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

Payment / Hotline Information

No action is required by the PI or Resource Analyst.
LBNL draws down monthly on our letter of credit.



NIH Notice of Award NoA Sample #1

Section III – 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. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Standard T&C are incorporated by reference.

(See Notice of Legislative Mandates in Effect for FY 2008)



NIH Notice of Award Legislative Mandates

Legislative Mandates in Effect for FY 2008

1. NIH Public Access Requirements
2. Dissemination of False or Deliberately Misleading Scientific Information
3. Restriction on Employment of Unauthorized Alien Workers

FY 2007 Legislative Mandates that Remain in Effect

1. Continued Salary Limitation
2. Anti-Lobbying
3. Restriction on Distribution of Sterile Needles
4. Acknowledgment of Federal Funding
5. Restriction on Abortions
6. Ban on Funding Human Embryo Research
7. Limitation on Use of Funds for Promotion of Legalization of Controlled Substances



NIH Notice of Award Policies

- Legislative Notice is part of NIH appropriation law and must be followed

- NIH Policy Statement

http://grants.nih.gov/grants/policy/nihgps_2003/index.htm

- SPO Lead on NIH Policy - ready to help with any questions

Cynthia Ernest

clernest@lbl.gov

ext 5938



NIH Notice of Award NoA Sample #1

Section III – Terms and Conditions Carryforward Authorization

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

or

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

(from NoA Sample #2)



NIH Notice of Award NoA Sample #1

Section III – Terms and Conditions SNAP authorization

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

SPO and NIH recommend using eSNAP.

or

10. This award is excluded from the Streamlined Non-Competing Award Process.

(from Sample #2)

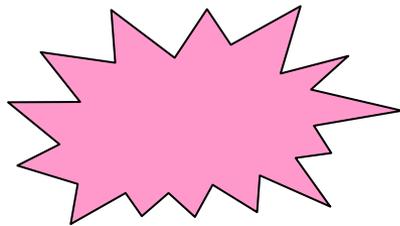
if the NoA is silent on the subject, then SNAP does not apply



NIH Notice of Award NoA Sample #1

Section IV – Special Terms and Conditions

This award is issued in accordance with the Memorandum of Understanding between DOE and NIH, effective June 18, 1998 and as such is governed by the cost principles in DOE Acquisition Regulations (section 970.31). No funds have been provided for Laboratory Directed Research and Development (LDRD) costs or Federal Administrative Charges; however, LDRD costs may be recovered within the total cost award.



**NIH / DOE MoU
(Must Have)**

(See Handout Memorandum of Understanding between the National Institutes of Health and the Department of Energy)



NIH Notice of Award NoA Sample #1

Section IV – Special Terms and Conditions

This non-competing award reflects an adjustment of the amount recommended on the previous Notice of Award Letter (NoA), per the NIH fiscal Operations Plan for FY2008 (See NIH guide Notice NOT-OD-08-036). Future year recommended levels also have been adjusted consistent with the referenced Notice

Less funding than original NoA estimated
(Standard on Non-Competing Renewals)



NIH Notice of Award NoA Sample #1

Section IV – Special Terms and Conditions “Recycled” start date

PLEASE NOTE: In order to redistribute awards more evenly throughout the year, budget periods are being adjusted. This award is issued with a 10 month budget period and with 12 months of support. Continuation awards will cycle each year on 5/1. The Progress Report is due two months prior to this date.

These are the details about a “recycled”
start date for the non-competing
continuation.



NIH Notice of Award NoA Sample #1

Section IV – Special Terms and Conditions Specify Consortium

This award includes funds awarded for consortium activity with University of Utah in the amount of \$ 60,144 (\$ 39,963 direct costs + \$20,181 facilities and administrative costs). Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part12.htm - _Toc54600251

Not all subawards are itemized

(We have distributed authority to add subcontracts if 1) they are not foreign and 2) if they do not change the scope of work.)



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions Other typical terms

Roger Hoskins
Thomas Gingeras
Steven Brenner
Brenton Gravely
Norbert Perimon
Peter Cherbas
Justen Andrews
Thom Kaufman
Justin Kumar
Roger Brent

Key Personnel might be specified

Written prior approval is required if any of the individuals 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.



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

1. This revised award removes Dr. Randal H. Brown from the list of key personnel. The key personnel term below has been amended to reflect the change.

Written authorization required to change
“key” personnel named in NoA.



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

3. This award reflects a correction in the total cost commitment for the -02, -03, and -04 years, per NHGRI's email of February 4, 2008. The increased amount must be fully justified in the budget submitted with the annual non-competing application for each subsequent renewal. These new levels are subject to the NIH fiscal policy noted in item 2.

4. This non-competing award reflects an adjustment of the amount recommended on the previous Notice of Grant Award, per the NHGRI implementation of the NIH fiscal policy for FY2008 (See NIH Guide Notice NOT-OD-08-036). Future year recommended levels also have been adjusted consistent with the referenced Notice. Specific Institute funding strategies are posted at: <http://grants.nih.gov/grants/financial/index.htm#strategies>

Changes estimated cost commitments.



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

5. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. Current salary cap levels can be found at the following URL:

http://grants.nih.gov/grants/policy/salcap_summary.htm

http://grants.nih.gov/grants/policy/salcap_summary.htm

Salary Cap policy applies even if not specified in the NoA.

Policy is updated every year.

(See Handout *Salary Limitation on Grants, Cooperative Agreements, and Contracts* for example from FY 2008)



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

6. This award funds a community resource project by the definition of the NHGRI data release policy (<http://www.genome.gov/10506376>). The grantee will submit data to the appropriate public database as outlined in the data release policy described on page 155 of the application, dated 07/09/2006, and in accordance with guidelines to be developed by the modENCODE Coordinating Committee and External Consultants Panel.

Special data release requirements.
(Resource sharing plan)



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

7. Applicant organization must comply with Public Health Service (PHS) policy relating to distribution of unique research resources produced with PHS funding (NIH Grants Policy Statement (12/03) - Sharing of Research Data, Sharing of Unique Research Resources). Grantee should also comply with the NIH-DOE guidelines for access to mapping and sequencing data and materials resources, adopted by the NIH-DOE joint subcommittee on December 7, 1992 (See: <http://www.genome.gov/10000925>).

Specific Data Sharing Plan



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

8. The PI will submit revised milestones for each year of the grant at the time that Grant Progress Report is submitted. Yearly milestones will be subject to approval by NHGRI staff. Once approved, the new milestones will become a condition of this award.

Special (extra) reporting requirements



NIH Notice of Award NoA Sample #2

Section IV – Special Terms and Conditions

There could be many special terms and conditions. It is important to read and understand them all and what everyone's responsibility is regarding those terms.



NIH Notice of Award NoA Sample #2

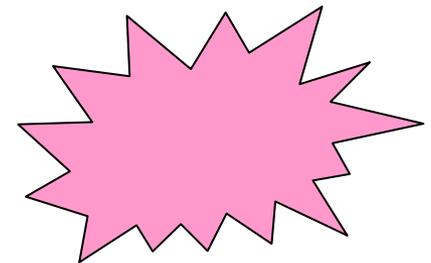
Section IV – Staff Contacts

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: Debbie P. Chen
Email: chendeb@mail.nih.gov Phone: 301-594-5250 Fax: 301-402-1951

Program Official: Elise A Feingold
Email: feingole@mail.nih.gov Phone: 301-496-7531 Fax: 301-480-2770



SPO Contacts both for written authorizations of any kind.
SPO Contacts the Grants Management Specialist for verbal communication.



NIH Notice of Award NoA Sample #2

Section IV – Grant Summary Sheet

<i>Budget</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>
Salaries and Wages	\$347,835	\$347,835	\$347,835
Fringe Benefits	\$97,910	\$97,910	\$97,910
Personnel Costs (Subtotal)	\$445,745	\$445,745	\$445,745
Supplies	\$320,194	\$320,194	\$320,194
Travel Costs	\$15,509	\$15,509	\$15,509
Other Costs	\$40,938	\$40,938	\$40,938
Consortium/Contractual Cost	\$2,227,242	\$2,227,242	\$2,227,242
TOTAL FEDERAL DC	\$3,049,628	\$3,049,628	\$3,049,628
TOTAL FEDERAL F&A	\$515,174	\$515,174	\$515,174
TOTAL COST	\$3,564,802	\$3,564,802	\$3,564,802

<i>Facilities and Administrative Costs</i>	<i>Year 2</i>	<i>Year 3</i>	<i>Year 4</i>
F&A Cost Rate 1	16.89%	16.89%	16.89%
F&A Cost Base 1	\$3,049,628	\$3,049,628	\$3,049,628
F&A Costs 1	\$515,174	\$515,174	\$515,174

(New – not always included)