Notice of Award Acceptance

- Funds are always paid in U.S. dollars.

- A grantee organization indicates acceptance of an NIH award and its associated terms and conditions, including restrictions, by drawing down $1 USD of the awarded funds.

- As a grantee, you are required to read and abide by the terms of your Notice of Award.
Notice of Award Terminology

**Organization** – The entity that applies for or receives an NIH grant or cooperative agreement.

**Authorized Organizational Official (Business Official)** – The person, named by the grantee organization, who is authorized to act for the grantee organization and to assume all obligations that apply to grant applications and awards.

**Principal Investigator (PI)** – The person designated by the grantee organization to direct the project or activity supported by the grant. This person is responsible and accountable for the proper conduct of the research activity.

**Key personnel** – The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way.
Notice of Award Terminology cont.

**Grants Management Officer (GMO)** – The NIH official responsible for the business management aspects of grants and cooperative agreements. Only GMO’s are authorized to obligate funds and permit changes to approved projects on NIH’s behalf.

**Grants Management Specialist (GMS)** – The NIH staff member who oversees the business and non-programmatic aspects of grants and cooperative agreements.

**Program Official (PO)** – The NIH official responsible for the programmatic, scientific and technical aspects of a grant.
Principal Investigator’s eRA Commons View

Here is the link to the latest NoA
Sample Grant Number

Federal Award Identification Number (FAIN): R01AI123456 identifies new grants and cooperative agreements and must be used in consortiums agreements, subsequent FFATA reporting, property records and when referencing to a grant in a publication.

Document Number: RAI123456A is the unique generally sequential, number used in the government accounting system to track grant obligations and expenditures.
Notice of Award

RESEARCH PROJECT COOPERATIVE AGREEMENT

Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Issue Date: 11/30/2011

Grant Number: 5U01AI123456-02

Principal Investigator(s):
PHILLIP A. SCIENTIST, PH.D.

Project Title: Myeloid-lineage cells and immunopathology in Leishmania braziliensis

Leona ADMINISTRATOR
DIRECTOR, RESEARCH SERVICES
UNIVERSITY OF PENNSYLVANIA
OFFICE OF RESEARCH SERVICES
3451 WALNUT ST, RM P-221
PHILADELPHIA, PA 191046205

Award e-mailed to: rs-award@lists.upenn.edu

Budget Period: 12/01/2011 – 11/30/2012
Project Period: 12/01/2010 – 11/30/2015

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of $552,507 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF PENNSYLVANIA in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 & 6306 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, 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 Grant Number 5U01AI123456 from the National Institute Of Allergy And Infectious Diseases. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Allergy And Infectious Diseases or 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 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

Page-1
Sincerely yours,

Deanna L. Ingersoll  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows
Example NoA – Section 1

SECTION I – AWARD DATA – 5U01AI123456-02

Always check this page to make sure you have received what you thought you should receive

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<th>Award Calculation (U.S. Dollars)</th>
<th>Amount you can use</th>
<th>Amount of money awarded</th>
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<tr>
<td>Consortium/Contractual Cost</td>
<td>$371,941</td>
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Federal Direct Costs: $484,795
Federal F&A Costs: $67,712
Approved Budget: $552,507
Federal Share: $552,507

TOTAL FEDERAL AWARD AMOUNT: $552,507

AMOUNT OF THIS ACTION (FEDERAL SHARE): $552,507

SUMMARY TOTALS FOR ALL YEARS

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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

Fiscal Information:
- CFDA Number: 93.855
- EIN: 1231352685A1
- Document Number: UA1123456A
- Fiscal Year: 2012

Future Years

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

NIH Administrative Data:
Example NoA – Section II

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U01AI123456-02**

Terms of Award
Notice of Award Sections III & IV

- Terms of Award are legally binding.
- Terms of Award accompany every NoA issued by the U.S. government.
- They can either be informational or restrictive.
- They are often included to clarify any funding, human subjects, or animal welfare issues.
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 references cited above.)
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.

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

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) UM1AI068635. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

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/.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

- National Institute Of Allergy And Infectious Diseases (NIAID)

**Treatment of Program Income:**

**Additional Costs**

[NIH National Institute of Allergy and Infectious Diseases]

[Program Income]
Notice of Award – Section IV
Administrative Terms & Conditions of Award

May include:

- Issues related to funding, including funding restrictions
- Human subject or animal welfare issues
- NIAID required clinical terms
- Special Requirement of the Institute (identified Key Personnel; accrual requirements for future funding). Often these requirements are in the solicitation (RFA).
- Sub award activity
Notice of Award - Restrictive Terms

- There are two types of restrictive terms:
  - One which restricts the use of funds for a purpose (Example: for purchasing a specific piece of equipment),
    OR
  - A Temporary Restriction of all or a specified amount of funds until issues or assurances have been resolved.

- Restrictions are only lifted by a Revised Notice of Award.
Example NoA – Section IV – Special Terms and Conditions

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF GRANT AWARD.

REVISED AWARD: This award includes a carryover of $253,789 ($235,730 Direct Costs; $18,059 F&A Costs) from the -04 year to the -05 year. These funds are restricted for the purpose requested in the letter of 06/23/10 and 8/27/10 from Dr. Daniel Odermatt, Director of Administration, University of Bern and may not be rebudgeted or used for other purposes.

This award includes funds awarded for consortium activity with:
Aurum Institute, South Africa
Hlabisa HIV Treatment and Care Programme, South Africa

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

Supersedes Notice of Award issued 09/23/10

*****

RESTRICTION: This award is issued without a Federalwide Assurance of Protection (FWA) for Human Subjects for the grantee institution. The grantee institution must file a Federalwide Assurance with the Office for Human Research Protection (OHRP) within 60 days of the issue date of this award. Information on and instructions for submitting and negotiating a Federalwide Assurance are available at the OHRP website (http://ww.hhs.gov/ohrp/). The grantee institution must provide the awarding component with the submission date of required Assurance documents to OHRP. The grantee is then responsible for notifying the NIH awarding component when OHRP has approved the Assurance and for providing the NIH awarding component with a certification of institutional Review Board (RB) approval.

The grantees institution may conduct only activities that are clearly severable and independent from activities that involve human subjects until OHRP has approved an Assurance and the NIH awarding component has received and accepted the grantee institution’s certification or IRB approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects for any period not covered by both an OHRP-approved Federalwide Assurance and an IRB approval consistent with 45 CFR Part 46.

*****
Example NoA – Section IV – Special Terms and Conditions

This award is subject to the Clinical Terms of Award included in Monitoring of Clinical Trials and Studies - NIAID (see NIH Guide for Grants and Contracts, July 8, 2002, NOT AI-02-032). These terms and conditions are hereby incorporated by reference, and can be accessed via the following World Wide Web address: http://www.niaid.nih.gov/ncn/pdf/clinterm.pdf. All submissions required by the NIAID Clinical Terms of Award must be forwarded electronically or by mail to the responsible NIAID Program Official identified on this Notice of Grant Award.

*****

Foreign grantees are subject to the same audit requirements as for-profit organizations (specified in 45 CFR 74.26(d)). A for-profit organization is required to have a non-Federal audit if, during its fiscal year, it expended a total of $500,000 or more under one or more HHS awards (as a direct grantee and/or under a consortium participant) and at least one of those awards is an HHS grant. 45 CFR 74.26(d) incorporates the thresholds and deadlines of OMB Circular A-133 but provides for-profit organizations two options regarding the type of audit that will satisfy the audit requirements. The grantee either may have (1) a financial-related audit (as defined in, and in accordance with, the Government Auditing Standards (commonly known as the Yellow Book?)), GPO stock 020-000-00-265-4, of all the HHS awards, or (2) an audit that meets the requirements of OMB Circular A-133. OMB Circular A-133 is available electronically at http://www.whitehouse.gov/omb/circulars/a133/a133.html. The Government Auditing Standards are available electronically at http://www.gao.gov/govaud/ybk01.htm. Audits must be completed and submitted to the following office within 30 days after receipt of the auditor’s report(s), or 9 months after the end of the audit period, i.e., the end of the organization’s fiscal year, whichever is earlier. The address is:

National External Audit Review Center
HHS Office of Audit Services
323 West 8th Street
Lucas Place
Room 514
Kansas City, MO 64105

For-profit organizations expending less than $500,000 a year are not required to have an annual audit for that year but must make their grant-related records available to NIH or other designated officials for review or audit.

*****
Programmatic Terms of Award

- Programmatic Terms of Award are a part of all Cooperative Agreements awards
  - They are specific to the grant solicitation (RFA/FOA) and/or award.

- They are organized in the following sections:
  - Applicability
  - Awardee Rights and Responsibilities
  - NIAID Staff Responsibilities
  - Collaborative Responsibilities
  - Arbitration
Programmatic term referencing the Cooperative Agreement terms

The Cooperative Agreement Terms of Award – Incorporated by reference

These are additional terms of award that must also be followed
The Notice of Award will indicate the appropriate person to contact regarding scientific or administrative questions.

- The **Program Official** is the contact person regarding all scientific, technical and programmatic aspects.

- The **Grants Management Specialist** is the person responsible for the negotiation, award and administration of the project and for interpreting Grants Administration policies and procedures.

Grants Management and Program staff work together in overall project administration.
Example NoA – Section IV – Special Terms and Conditions

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: Anneliese B. Galczynski
Email: aculley@niaid.nih.gov Phone: 301-496-8328 Fax: 301-493-0557

Program Official: Malla R. Rao
Email: mrao@niaid.nih.gov Phone: 301-451-3749 Fax: 301-402-0659

SPREADSHEET SUMMARY
GRANT NUMBER: 5U01AI

INSTITUTION: UNIVERSITY OF PENNSYLVANIA

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Notice of Award

- Applicable terms and conditions of award are determined at NIH’s discretion and not subject to appeal.

- Once the award is accepted by the grantee, the contents of the NoA are binding on the grantee unless modified by a Revised Notice of Award signed by the GMO.
Revised Notice of Award

- Once an award is issued, it is sometimes revised to change the dollar amounts, or to lift a restriction on funds.

The Revised NoA will always include:
- The issue date and include “REVISED”
- The AMOUNT of the increase or decrease, or if there has been no dollar change.
- Section IV: Terms and Conditions
  - A TERM indicating what action has been taken (e.g. Carryover approved, supplement funds given, restriction lifted and funds released, change in budget period, etc.).
  - Supersedes Notice of Award issued on “date” (previous NoA issue date)