

GRANT ADMINISTRATION: What Is A Notice Of Award?

Introduction

The Notice of Award (“NoA”) is the legal document issued by a grantor to notify the grantee that an award, based on a submitted proposal, has been made and that funds may be requested from the designated Health and Hospital Services (“HHS”) payment system or office. A NoA is issued for the initial budget period and each subsequent budget period in the approved project period and reflects any future-year commitments.

A revised NoA may be issued during a budget period to effect an action resulting in a change in the period or amount of support or other change in the terms and conditions of the award. NIH will not issue a revised NoA to reflect a grantee’s post-award rebudgeting. Until an Institute/Center¹ (“IC”) has issued a NoA for the initial award, any costs incurred by the applicant for the project are incurred at its own risk (see [“Allowability of Costs/Activities—Selected Items of Cost—Pre-Award \(Pre-Agreement\) Costs”](#) for NIH policy on the allowability of pre-award costs).

The NoA describes specific information about the grant including, but not limited to, the following:

- Application/grant identification number (“grant number”);
- Name of grantee organization;
- Name of the Principal Investigator (“PI”);
- Approved project period with budget period start and end dates;
- Amount of funds authorized for obligation by the grantee;
- Amount of anticipated future-year commitments (if applicable);
- Names of the cognizant IC Program Officer (“PO”), Grant Management Officer (“GMO”), and Grant Management Specialist (“GMS”); and
- Applicable terms and conditions of either award.

A grantee indicates acceptance of a NIH award and its associated terms and conditions by drawing or requesting funds from the designated HHS payment system or office.

- If the grantee cannot accept the award, including the legal obligation to perform in accordance with its provisions, it should notify the GMO immediately upon receipt of the NoA.
- If resolution cannot be reached, the GMO will void the grant.

NIH’s determination of applicable terms and conditions of award or a GMO’s denial of a request to change the terms and conditions is final and may not be appealed. After the award is accepted by the grantee, the contents of the NoA are binding on the grantee unless or until modified by a revised NoA signed by the GMO.

¹ The NIH organizational component responsible for a particular grant program or set of activities.

Funding

For most grants, the NIH uses the project period system of funding. Under this system, projects are programmatically approved for support in their entirety, but are funded in annual increments called “budget periods.” The length of an initial project period (i.e., competitive segment) or of any subsequent competitive segment is determined by the NIH awarding office on the basis of:

- any statutory or regulatory requirements;
- the length of time requested by the applicant to complete the project;
- any limitation on the length of the project period recommended by peer reviewers;
- the awarding office’s programmatic determination of the frequency of competitive review desirable for managing the project; and
- NIH’s funding principles.

The total project period consists of the initial competitive segment, any additional competitive segments authorized by approval of a competing continuation application, and any non-competing extensions. NIH policy limits each competitive segment to a maximum of five (5) years (exclusive of non-competing extensions). A single award covering the entire period of support generally is used only if:

- the project is solely for construction or A&R (“Alterations & Renovations”)² of real property,
- if the total planned period of support will be less than 18 months, or
- if the project is awarded under a special support mechanism.

The initial NoA provides funds for the project during the first budget period. Budget periods usually are 12 months long; however, shorter or longer budget periods may be established for compelling programmatic or administrative reasons. A NoA that documents approval of a project period that extends beyond the budget period for which funds are provided (including anticipated levels of future support) expresses NIH’s intention to provide continued financial support for the project. The amounts shown for subsequent years represent projections of future funding levels based upon the information available at the time of the initial award. Such projected levels of future support are contingent on satisfactory progress, the availability of funds, and the continued best interests of the Federal government. They are not guarantees by the NIH that the project will be funded or will be funded at those levels and create no legal obligation to provide funding beyond the ending date of the current budget period, as shown in the NoA.

Grantees are required to submit an Annual Progress Report as a prerequisite to NIH approval and funding of each subsequent budget period (non-competing continuation award) within an approved project period. A decision to fund the next budget period is formalized by the issuance of a NoA, indicating the new budget period and the amount of new funding as well as reflecting any remaining future-year commitments. The NIH may decide to withhold support for one or more of the reasons cited in [“Administrative Requirements—Enforcement Actions—Suspension, Termination, and Withholding of Support.”](#) A grantee may appeal this decision only if the withholding was for the grantee’s failure to comply with the terms and conditions of a previous award (see [“Administrative Requirements—Grant Appeals Procedures”](#)).

² Prior approval from NIH is required if a grantee re-budgets more than 25% of the total approved budget for a budget period into A&R costs. NIH prior approval is also required for lesser re-budgeting into A&R costs if the re-budgeting would result in a change in scope. If re-budgeting results in an A&R project exceeding \$200,000, NIH will consider the re-budgeting to be a change in scope.

Form

 Notice of Award (Figure 1)

Notice of Award (Sample)



	Notice of Award MIDCAREER INVESTIGATOR PATIENT-ORIENTED Department of Health and Human Services National Institutes of Health [REDACTED] INSTITUTE	Issue Date: 07/09/2010 
<p>Grant Number: 1K24CA123456-01A1</p> <p>Principal Investigator(s): [REDACTED]</p> <p>Project Title: [REDACTED]</p> <p>[REDACTED] Associate Director of Grant Accounting 1300 Morris Park Avenue Bronx, NY 104611602</p> <p>Award e-mailed to: business@aeecom.yu.edu</p> <p>Budget Period: 07/12/2010 – 06/30/2011 Project Period: 07/12/2010 – 06/30/2015</p> <p>Dear Business Official:</p> <p>The National Institutes of Health hereby awards a grant in the amount of \$167,705 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ALBERT EINSTEIN COL OF MED YESHIVA UNIV 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.</p> <p>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.</p> <p>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 [REDACTED] Institute. The content is solely the responsibility of the authors and does not necessarily represent the official views of the [REDACTED] Institute or the National Institutes of Health."</p> <p>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/.</p> <p>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.</p> <p>If you have any questions about this award, please contact the individual(s) referenced in Section IV.</p>		
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Figure 1, pg. 1

Notice of Award (Sample)

SECTION I – AWARD DATA – 1K24CA123456-01A1

Award Calculation (U.S. Dollars)

Salaries and Wages	\$108,382
Fringe Benefits	\$34,465
Personnel Costs (Subtotal)	\$142,847
Supplies	\$6,435
Other Costs	\$6,000

Federal Direct Costs	\$155,282
Federal F&A Costs	\$12,423
Approved Budget	\$167,705
Federal Share	\$167,705
TOTAL FEDERAL AWARD AMOUNT	\$167,705

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$167,705
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$167,705	\$167,705
2	\$167,705	\$167,705
3	\$167,705	\$167,705
4	\$167,705	\$167,705
5	\$167,705	\$167,705

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

Fiscal Information:
CFDA Number: 93.398
EIN: 1131624225A2
Document Number: KCA139054A
Fiscal Year: 2010

IC	CAN	2010	2011	2012	2013	2014
CA	8481719	\$167,705	\$167,705	\$167,705	\$167,705	\$167,705

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

NIH Administrative Data:
PCC: W9TR / **OC:** 415L / **Processed:** PARKERT 07/06/2010

SECTION II – PAYMENT/HOTLINE INFORMATION – 1K24CA123456-01A1

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 – 1K24CA123456-01A1

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.

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Figure 1, pg. 2

Notice of Award (Sample)

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

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).

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/>.

Treatment of Program Income:

Additional Costs

SECTION IV – CA Special Terms and Conditions – 1K24CA123456-01A1

REQUIREMENT: This award is subject to the conditions set forth in PA -09-037, "Midcareer Investigator Award in Patient-Oriented Research," NIH Guide to Grants and Contracts, 12/12/2008, which are hereby incorporated by reference as special terms and conditions of this award.

Copies of this PA may be accessed at the following internet address:
<http://www.nih.gov/grants/guide/index.html>

Copies may also be obtained from the Grants Management Contact indicated in the terms of award.

REQUIREMENT: This award is contingent upon [REDACTED] maintaining independent research support, either Federal or private, during the period of this award.

INFORMATION: This award, including the budget and the budget period, has been discussed between Ms. Latosha Mathis of the [REDACTED] Institute and [REDACTED] on 06/30/10.

INFORMATION: See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the NIH Grants Policy Statement (NIHGPS)(rev. 12/03), for specific requirements and grantee responsibilities related to the protection of human subjects, which are applicable to and are a term and condition of this award. The NIHGPS can be found on the internet at http://grants2.nih.gov/grants/policy/nihgps_2003/. The referenced section of the NIHGPS is available at http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part5.htm#_Toc54600083.

INFORMATION: This award reflects the [REDACTED] Institute's acceptance of the certification that all key personnel have completed education on the protection of human subjects, in accordance with NIH policy, "Required Education in the Protection of Human Research Participants," as announced in the June 5, 2000 NIH Guide (revised August 25, 2000) (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-039.html>).

Any individual involved in the design and conduct of the study that is not included in the certification must satisfy this requirement prior to participating in the project. Failure to comply can result in the suspension and/or termination of this award, withholding of support of the continuation award, audit disallowances, and/or other appropriate action.

INFORMATION: Although the budget period start date for this award is 07/12/2010, this award includes funds for 12 months of support. Future year budget periods will cycle on 07/01. Allowable preaward costs may be charged to this award, in accordance with the conditions outlined in the NIH Grants Policy Statement, (December 2003), and with institutional requirements for prior approval. The NIH GPS can be found on the internet at http://grants1.nih.gov/grants/policy/nihgps_2003/index.htm.

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

Figure 1, pg. 3

Notice of Award (Sample)

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: Latosha Mathis
Email: mathisl@mail.nih.gov **Phone:** 301-496-3177 **Fax:** 301-496-8601

Program Official: Susan E Lim
Email: lims@mail.nih.gov **Phone:** 301-496-8580 **Fax:** 301-480-1744

SPREADSHEET SUMMARY
GRANT NUMBER: 1K24CA123456-01A1

INSTITUTION: ALBERT EINSTEIN COL OF MED YESHIVA UNIV

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$108,382	\$108,382	\$108,382	\$108,382	\$108,382
Fringe Benefits	\$34,465	\$34,465	\$34,465	\$34,465	\$34,465
Personnel Costs (Subtotal)	\$142,847	\$142,847	\$142,847	\$142,847	\$142,847
Supplies	\$6,435	\$6,435	\$6,435	\$6,435	\$6,435
Other Costs	\$6,000	\$6,000	\$6,000	\$6,000	\$6,000
TOTAL FEDERAL DC	\$155,282	\$155,282	\$155,282	\$155,282	\$155,282
TOTAL FEDERAL F&A	\$12,423	\$12,423	\$12,423	\$12,423	\$12,423
TOTAL COST	\$167,705	\$167,705	\$167,705	\$167,705	\$167,705

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	8%	8%	8%	8%	8%
F&A Cost Base 1	\$155,282	\$155,282	\$155,282	\$155,282	\$155,282
F&A Costs 1	\$12,423	\$12,423	\$12,423	\$12,423	\$12,423

Figure 1, pg. 4