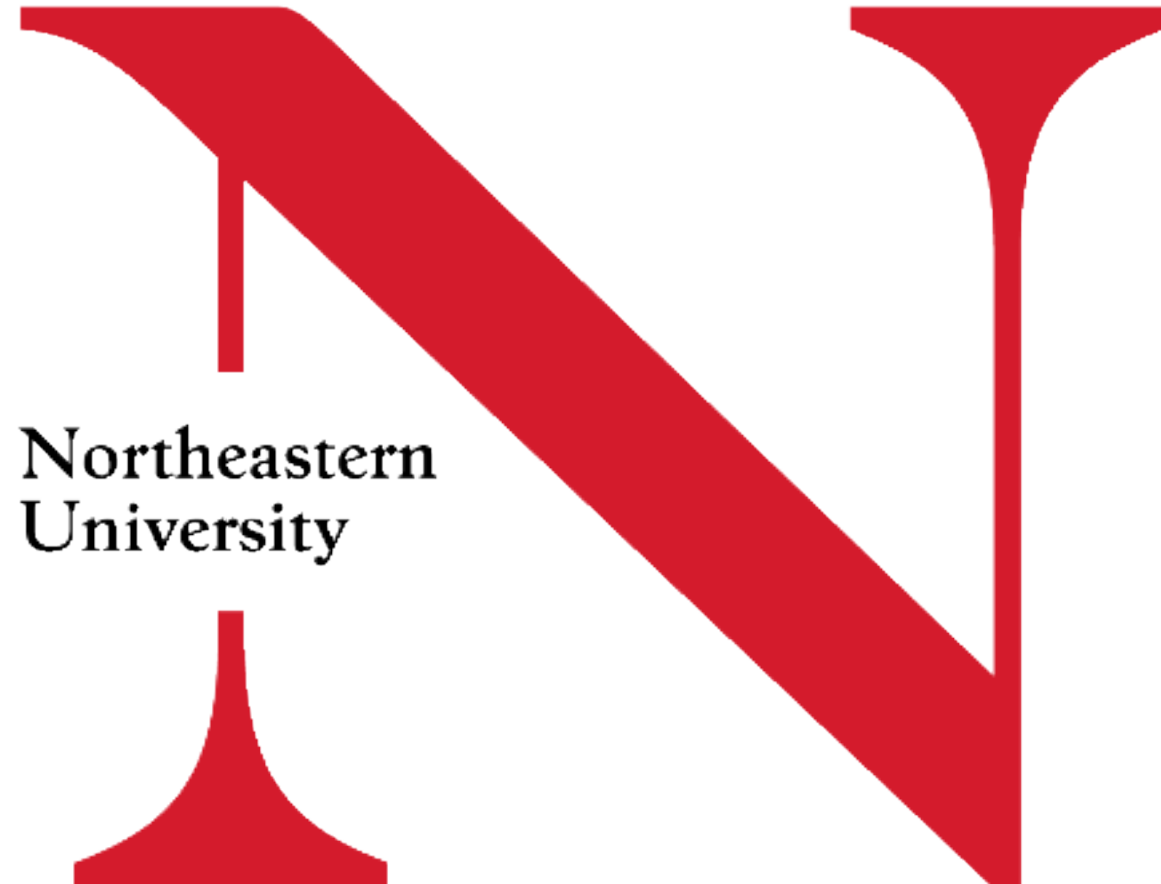


Anatomy of a Notice of Award (NOA)



Northeastern
University

April 15, 2020

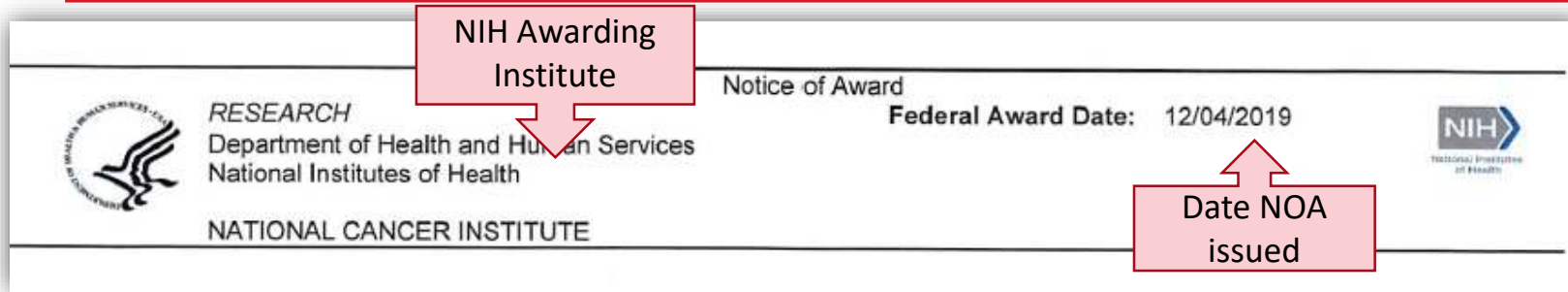
Learning Objectives

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

What is a Notice of Award (NOA)?

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

NIH Notice of Award (NOA)



Grant Number: 5R01CA200844-04
 FAIN: R01CA200844

FAIN #: unique identifying **number** assigned to all federal finance awards

5	R01	CA	200844	-04
Type (of application)	<u>Activity Code</u>	<u>Administering Organization</u>	Serial #	Grant Year

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 Institute or Division (competing continuation)



NIH Notice of Award (NOA)

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

Title should match ePAWS record

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 approved

Project Period = Anticipated total competitive segment

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 of award for budget period
- Reference to applicable Terms & Conditions
- Acceptance of award= draw down of funds
- Publication Acknowledgement/ Coordination
- Compliance with PHS Financial Conflict of Interest (FCOI) regulations
- Grant contact information



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

- Award Calculation
- May reflect specific line items such as supplies/ travel/ consortium:

SECTION I – AWARD DATA – 5R01EB025888-02	
Award Calculation (U.S. Dollars)	
Salaries and Wages	\$134,158
Fringe Benefits	\$24,811
Personnel Costs (Subtotal)	\$158,969
Consultant Services	\$21,000
Materials & Supplies	\$29,902
Travel	\$7,000
Other	\$0,000
Subawards/Consortium/Contractual Costs	\$101,409
Publication Costs	\$1,000

- Current year funding and estimates for future years
- The amounts for future years typically change during a competitive period as the NIH FY policy changes
- Reference to RPPR
- Federal programs are assigned a number in the Catalog of Federal Domestic Assistance (CFDA) which is referred to as the "CFDA number."
- Fiscal Year= NIH Fiscal Year funds



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>

→ No Action Required by PI/College; NU RES Research Finance draws funds down monthly

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.

→ Standard Terms and Conditions are incorporated by reference

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 or may not** be carried over into next budget period **with or without NIH approval**
- **Streamlined Non-Competing Award Process (SNAP)**
 - Awards routinely included in SNAP are "K" awards and "R" awards, except R35

- Compliance with [NIH Public Access Policy](#)



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.

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.

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/ifa-files/IFA-EB-17-003.html>

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

- Clinical Trial Indicator: Y/N?

- Award issued subject to **Restrictions**

- Award subject to requirements set forth in the Solicitation

- 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

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

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

- NIH Grants Management Specialist (GMS) Contact Information
- Please work with NU RES to liaise with NIH GMS. We are here to help!

- Current and Future Year (anticipated) summary



NSF Notice of Award (NOA)

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

- [NSF Organization/Directorate List](#)

The National Science Foundation hereby awards a grant of \$499,071 to Northeastern University for support of the project described in the proposal referenced above. This award is expected to total \$499,071.

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>.

- [NSF Research Terms and Conditions \(RTC\)](#)

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.

- Award is also subject to NSF Solicitation



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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[Reporting via Research.gov](https://reporting.research.gov)



NSF Notice of Award (NOA)

SUMMARY PROPOSAL BUDGET Award No. 1910850

Person MOS				Funds
	cal	acad	sumr	granted By NSF
A. (3.00) Total Senior personnel	0.00	0.00	1.50	\$46,567
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (6.00) Graduate students				\$192,345
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$238,912
C. Fringe benefits (if charged as direct cost)				\$26,077
Total salaries wages and fringes (A+B+C)				\$264,989
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$12,364
2. International				\$20,091
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$0
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subawards				\$0
6. Other				\$32,686
Total other direct costs				\$32,686
H. Total direct costs (A through G)				\$330,130
I. Total indirect costs				\$169,541
(For information on the rate used, please refer to the award notice)				
J. Total direct and indirect costs (H+I)				\$499,671
K. Fee				\$0
L. Amount of this request (J) or (J+K)				\$499,671
M. Cost sharing				\$0

Foundation Notice of Award (NOA)

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 for Daniel Wicks in Computer Science
Duration:	24 months 9/15/2018 - 9/14/2020
Amount:	\$65,000.00
Payment Schedule:	\$65,000.00 Date: 6/15/2018
Check Payable to:	Northeastern University Mail to: Alex Tran Office of Research Administration & Finance Northeastern University 360 Huntington Ave Boston, MA 02115
Grant Agreement and Report Due Dates:	Grant Agreement Date: 6/15/2018 Financial Interim Date: 11/15/2019 Substantive Interim Date: 11/15/2019 Financial Final Date: 11/15/2020 Substantive Final Date: 11/15/2020

Please upload reports at sloan.fluxx.io

Foundation Notice of Award (NOA)

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 (NOA)

3. Accounting and Audit: The grantee will record the receipt of this grant, together with any expenditures which 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 this grant, including invoices, purchase orders, or worksheets supporting any allocations, along with copies of reports submitted to the Foundation, must be retained in the grantee's files for four years after the termination of the grant. The Foundation reserves the right to audit these records during and after the term of the grant or to have an audit made by independent auditors.

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

4. Unused Funds: Upon written request, the Foundation may permit one two-year extension of the grant. Upon final termination of the grant, unexpended funds greater than \$100 shall be returned to the Foundation. Unused funds of \$100 or less may be retained and made available for use in support of the Fellow's research or used for 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 Alfred P. Sloan 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 are not to be 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 conducted by the Fellow 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 as defined in the Internal Revenue Code.

7. Reporting: The grantee will provide the Foundation with annual financial reports of actual expenses incurred, including a final report at the termination of the grant (all in U.S. dollars). The Fellow will provide the Foundation with short annual scientific progress reports and a final report (in English), which briefly describe the results accomplished with the aid of the grant. Reprints or preprints of scientific papers will be accepted in lieu of such 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 Equal Employment Opportunity and that it has a policy against discriminatory harassment in place. The grantee institution will ensure that any individual engaged in work pursuant to this grant will act in accordance with those policies and professional norms and ethics.

Award Obligation Budget



- ✓ If the **awarded amount** does not match the **proposed amount**, NU-RES will ask the PI/College Administrator to prepare an Award Obligation Budget
 - ✓ This will be requested if a revised budget was not provided during NIH's Just-in-Time (JIT) or during NSF's revised budget phase, or at any point prior to award
- ✓ Necessary for Research Finance to create a baseline budget in the accounting system
 - ✓ This way, NU RES will be able to determine if budget changes during the lifecycle require prior approval (e.g. over the agency threshold)
 - ✓ Documents Proposed Levels of Commitment = Person Months (%) by Academic and Summer Periods, IBS and Corresponding SSOG.

Questions? Contact Us!

General Mailbox: NU-RES@northeastern.edu

Staff by Portfolio Assignment:

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

Satellite Hours:

Each Thursday, NU-RES staff hosting [Virtual Satellite Hours](#) via Teams 1:30-2:30pm