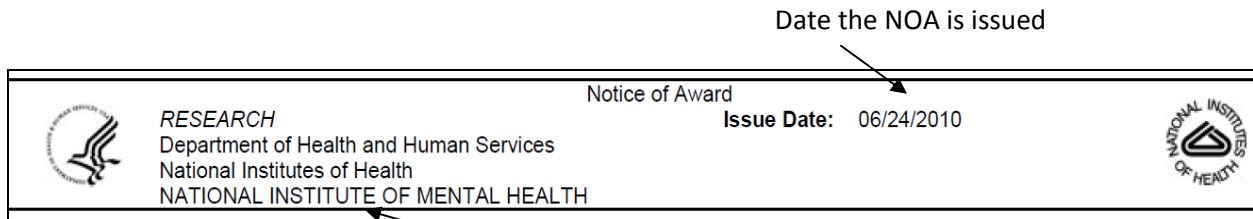


## IMPORTANCE OF READING & UNDERSTANDING YOUR NIH NOTICE OF AWARD (NOA)

### Overview

- Received by Wayne State University
- NIH Notice of Award (NOA) contains standardized sections and is received at SPA via email
- The NOA authorizes funding and provides the Terms & Conditions for the Project
- Comes as a “grant”
- Refer to samples provided

### Header



The NIH awarding Institute is “National Institute of Mental Health (NIMH)”

### Award #

GRANT NUMBER: 1R01MH085793-01A2

How to read NIH Award Numbers:

Type/ Activity code/ Administering Organization/ Serial #/ Grant (budget) year/ Other

GRANT NUMBER: 1/ R01/ MH/ 085793/ -01/ A2

The application number identifies:

- type of application (1)
- activity code (R01)
- organization to which it is assigned (MH)
- serial number assigned by the Center for Scientific Review (CSR) (085793),
- suffix showing the support year for the grant (-01)
- other information identifying amendment (A1), a supplement (S1), or a fellowship's institutional allowance. For contracts, the suffix is replaced by a modification number.

Types: See table below

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)

Listing of Activity Codes: [http://grants.nih.gov/grants/funding/ac\\_search\\_results.htm](http://grants.nih.gov/grants/funding/ac_search_results.htm)

Listing of Administering Organizations: [http://grants.nih.gov/grants/acronym\\_list.htm](http://grants.nih.gov/grants/acronym_list.htm)  
(See section "Awarding Offices - Two Letter Codes")

### Award Periods

Budget Period:	07/01/2010 – 04/30/2011
Project Period:	07/01/2010 – 04/30/2015

Budget Period = Period for which funding is approved

Project Period = Anticipated total competitive segment

(note: the project period encompasses all the competitive periods. Note: Some WSU awards have project periods that go back to the early 1990's).

### Why the NOA is Issued; 1<sup>st</sup> Paragraph

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$584,673 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to WAYNE STATE 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.

In this example the NOA was issued to authorize NEW funding "\$584,673" for a specific grant (budget) year.

### Acceptance; 2<sup>nd</sup> Paragraph

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 should be resolved before spending!!

## Highlight 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 R01MH085793 from the National Institute Of Mental Health. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Mental Health 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

## Authorized the Award

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

Sincerely yours,

Rita Sisco  
Grants Management Officer  
NATIONAL INSTITUTE OF MENTAL HEALTH

Grants Management Officer who processed the award

**Section I - Award Data**

<b>SECTION I – AWARD DATA – 1R01MH085793-01A2</b>	
<b><u>Award Calculation (U.S. Dollars)</u></b>	
Salaries and Wages	\$230,474
Fringe Benefits	\$53,665
Consultant Services	\$5,000
Supplies	\$4,800
Travel Costs	\$7,763
Other Costs	\$16,597
Consortium/Contractual Cost	\$66,354
Federal Direct Costs	\$384,653
Federal F&A Costs	\$200,020
Approved Budget	\$584,673
Federal Share	\$584,673
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$584,673</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$584,673</b>

Facilities & Administrative Amount

Amount Authorized

**Section I - Anticipated Total Funding; Funding Estimates each year**

<b>SUMMARY TOTALS FOR ALL YEARS</b>		
<b>YR</b>	<b>THIS AWARD</b>	<b>CUMULATIVE TOTALS</b>
1	\$584,673	\$584,673
2	\$583,723	\$583,723
3	\$570,617	\$570,617
4	\$581,970	\$581,970
5	\$320,261	\$320,261

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

Note: The amounts for future years typically change throughout the course of a competitive period as the NIH FY policy changes.

## Section I - Fiscal Information

### **Fiscal Information:**

CFDA Number: 93.242  
EIN: 1386028429A1  
Document Number: RMH085793A  
Fiscal Year: 2010

<i>IC</i>	<i>CAN</i>	<i>2010</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>
MH	8472591	\$584,673	\$583,723	\$570,617	\$581,970	\$320,261

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

NIH Fiscal Year Funds

## Section II - Payment / Hotline Info

### **SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01MH085793-01A2**

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

No action is required by the PI/PD. WSU draws down monthly on a “letter of credit”

## Section III - Terms and Conditions

### **SECTION III – TERMS AND CONDITIONS – 1R01MH085793-01A2**

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 Terms and Conditions are incorporated by reference.

See Notice of Legislative Mandates in effect for FY 2010

(<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-040.html> )

## Legislative Mandates in Effect for FY20XX

The Consolidated Appropriations Act, 2010 (Public Law 111-117), provides funding to NIH for the fiscal year ending 20XX. The intent of this Notice is to provide information on the following statutory provisions that limit the use of funds on NIH grant, cooperative agreement, and contract awards for FY2010. The Notice of Legislative Mandates for FY20XX was published on March 19, 20XX, NIH Guide Notice [NOT-OD-09-070](#).

### FY 20XX Legislative Mandates that remain in effect are as follows:

- (1) Dissemination of False or Misleading Scientific Information [Section (517b)]
- (2) Continued Salary Limitation (Section 203)
- (3) Anti-Lobbying (Section 503)
- (4) Restriction on Distribution of Sterile Needles (Section 505)
- (5) Acknowledgment of Federal Funding (Section 506)
- (6) Restriction on Abortions (Section 507)
- (7) Exceptions to Restriction on Abortions (Section 508)
- (8) Ban on Funding Human Embryo Research (Section 509)
- (9) Limitation on Use of Funds for Promotion of Legalization of Controlled Substances (Section 510)
- (10) Certification of Filing and Payment of Taxes (Section 527)

## NIH Policies

- Legislative Notice is part of NIH appropriation law and must be followed
- NIH Policy Statement ([http://grants.nih.gov/grants/policy/nihgps\\_2003/](http://grants.nih.gov/grants/policy/nihgps_2003/))
- Questions relating to NIH Policy – contact your Grant & Contract Officer in SPA

## Terms and Conditions – FDP Participation

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

## Section III - Terms and Conditions - Carry-forward Authorization

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

OR another example

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

### Section III – Terms and Conditions – SNAP Authorization

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

SPA and NIH recommend using eSNAP for submission of progress reports and subsequent years support.

OR another example

This Award is excluded from the Streamlined Non-Competing Award Process

If the NOA does not mention the “Streamlined...” subject matter at all, then SNAP does not apply

### Section IV - Special Terms and Conditions - Restriction – Human Subjects

#### **SECTION IV – MH Special Terms and Conditions – 1R01MH085793-01A2**

##### RESTRICTION - HUMAN SUBJECTS:

This award is issued subject to the following special condition:

NOTICE: Under governing regulations, Federal funds administered by the Department of Health and Human Services shall not be expended for and individuals shall not be enrolled in research unless the Arab American & Chaldean Council, Arab Community Center for Economic and Social Services, Kurdish Human Rights, Watch, Inc., Luther Social Services of Michigan, Smith College and the Chaldean Federation of America has an approved Assurance of Compliance with 45 CFR 46 on file in the Office for Human Research Protections (OHRP) and the project has been reviewed and approved by the Institutional Review Board (IRB) in accordance with the requirements in 45 CFR 46.

The present award is being made without currently valid certification of IRB approval for this project with the following restriction: Only activities which do not directly involve human subjects (i.e., are clearly severable and independent from those activities that do involve human subjects) may be conducted pending acceptance by the National Institute of Mental Health (NIMH) of certification of IRB approval. The certification of IRB approval must be received no later than October 29, 2010, via email attachment to: (William C. Tetlow: email address ctetlow@mail.nih.gov. If submitted non-electronically, hard copies may be mailed to:

William C. Tetlow  
NIH/National Institute of Mental Health  
6001 Executive Boulevard  
Room 6115, MSC 9605  
Bethesda, MD 20892-9605  
(for overnight courier, use Rockville, MD 20852)

Failure to comply can result in suspension and/or termination of this award or withholding of support of the continuation award. 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 in this project until NIMH has accepted the certification of IRB.

It is the PI and SPA’s responsibility to make sure that certification of IRB approval is obtained by all (As prime recipient of this NOA, this includes making sure our consortium partners also comply)



#### **Section IV - Special Terms and Conditions – Budget/Project Period Adjustment**

**BUDGET/PROJECT PERIOD ADJUSTMENT:**

This grant has been selected under the NIMH plan to redistribute grant workloads more evenly throughout the year. Consequently, the initial budget period reflects a April 30, 2011 end date. Subsequent budget periods will begin on May 1, and will be for a 12-month duration. Although this grant will have a slightly shorter budget period this year, it is awarded the full 12-month level of funds for the budget period. Additional time may be requested at the end of the project period if needed.

These are notes pertaining to changes in budget periods to distribute grant workloads more evenly for NIH. The initial budget period is a 9 month period with an awarded 12 month level of funding. Subsequent periods will begin on May 1<sup>st</sup> for full 12 month durations.

Or another example

This award reflects a correction in the total cost commitment for the -02, -03, -04 and -05 years per Institutes email of February 4, 2009. 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.

Or another example

This non-competing award reflects an adjustment of the amount recommend on the previous notice of Grant Award, per the Institute 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 Insitute funding strategies are posted at:  
<http://grants.nih.gov/grants/financial/index.htm#strategies>

#### **Section IV - Special Terms and Conditions – Awarded Amount**

**AWARDED AMOUNT:**

This award is based on the IRG recommendations as noted on the Summary Statement and follows NIMH Operating Guidelines which can be found at (<http://www.nimh.nih.gov/research-funding/grants/fy-2010-funding-strategy-for-research-grants.shtml>). In addition, in order to meet Institute program objectives within Fiscal Year 2010 budget constraints, grants may be administratively reduced below the level recommended by peer review.

Could receive less funding than original NOA estimated in order to meet Institute FY2010 budget constraints



#### **Section IV - Special Terms and Conditions – Participant Recruitment –Milestones**

##### **PARTICIPANT RECRUITMENT - MILESTONES:**

Future NIMH support for this study is contingent upon adequate participant recruitment based on projected milestones as approved in the Recruitment Milestone Reporting system (RMR) on 4/26/2010. It is expected that 75 of the 500 total projected participants will be recruited by 4/1/2011. This tri-yearly recruitment report should be submitted electronically to NIMH after each milestone period of April 1, August 1 and December 1 at <http://www.nimh.nih.gov/rmr>. In the event that actual recruitment falls significantly below projected milestones, NIMH may consider withholding future support and/or negotiating an orderly phase-out of this study. Information regarding the NIMH Policy for the Recruitment of Participants in Clinical Research is available at: <http://grants.nih.gov/grants/guide/notice-files/NOT-MH-05-013.html>

Extra project reporting requirements - must meet participant recruitment milestones of which NIMH can/will withhold future support (funding) if recruitment falls significantly.

#### **Section IV - Special Terms and Conditions – Consortium/Contractual Costs**

##### **CONSORTIUM/CONTRACTUAL COSTS:**

This award includes funds for consortium activity with Arab American & Chaldean Council awarded in the amount of \$[12,000 total costs] (\$12,000 direct costs and 0 F&A costs). Each consortium is to be established and administered in accordance with the NIH Grants Policy Statement dated December 2003. No foreign performance site may be added to this project without the written prior approval of the National Institute of Mental Health. Although a specific amount has been awarded for each consortium, the grantee retains standard rebudgeting authorities.

In this particular project, there are actually 6 Consortium/Contractual participants of which each is itemized in the NOA similar to the example above.

Not all subawards are itemized; WSU as the prime recipient of the award retains standard rebudgeting authority.

#### **Section IV - Special Terms and Conditions – Non-Competing Renewal**

##### **NON-COMPETING RENEWAL:**

Beginning August 1, 2010 grantees must use eSNAP for electronic submission of progress reports for all grants awarded under the SNAP authorities. Information on eSNAP can be found at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-093.html>

If not submitting the future year non-competing progress reports through eSNAP, an original should be submitted to:

Division of Extramural Activities Support, OER  
National Institutes of Health  
6705 Rockledge Drive, Room 2207, MSC 7987  
Bethesda, MD 20892-7987 (for regular or US Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

Mandate use of electronic submission of progress reports beginning August 10, 2010.

#### **Section IV - Special Terms and Conditions – Prior Approval Requests**

##### **PRIOR APPROVAL REQUESTS:**

Any prior approval request should be directed to the current Grants Management Specialist named in the eRA Commons and may be sent by email (preferred) or, if necessary, by mail to the following address: Grants Management Branch, NIMH, 6001 Executive Blvd, Room 6115, MSC 9605, Bethesda, MD 20892-9605 (Express Mail: Rockville, MD 20852). Please refer to the NIH Grants Policy Statement for the activities and/or expenditures that require NIH prior approval at [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part7.htm#\\_Toc54600129](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part7.htm#_Toc54600129).

#### **Section IV - Special Terms and Conditions – Other typical terms**

- Key personnel might be specified (listed)

Written prior approval is required if any of the individuals named in this section 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.

#### **Section IV - Special Terms and Conditions – Other typical terms**

- Salary cap language

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 in the following URL:

[http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm)

Note: Salary cap policy applies even if not specified in the NOA. Note: Policy is updated every year.

#### **Section IV - Special Terms and Conditions – Other typical terms**

- Data Sharing Plan or Resource Sharing plan

The grantee is required to follow the model organism sharing plan included in the application and may not implement any changes in the plan without the written prior approval of the Institute.

OR another example

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), as well as the grantee's data release plan included on pages 53-54 of the application. 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>) and, if applicable, with the NHGRI Rapid Data Release Policy for large-scale sequencing projects (See: <http://www.genome.gov/10506376>). For further information see: NIH Data Sharing Policy: [http://grants.nih.gov/grants/policy/data\\_sharing/index.htm](http://grants.nih.gov/grants/policy/data_sharing/index.htm).

## **Section IV - Special Terms and Conditions – Other typical terms**

There could be many other special terms and conditions referenced in Section IV. It is important to read and understand them all. It is equally important that everyone knows what their responsibilities are regarding those terms.

### **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:** William Christopher Tetlow  
**Email:** ctetlow@mail.nih.gov **Phone:** 301-443-4415 **Fax:** 301-480-1956

**Program Official:** Farris K. Tuma  
**Email:** FTUMA@NIH.GOV **Phone:** 301-443-3648 **Fax:** 301-443-4611

Remember that all correspondence to the Grant Management Specialist and Program Official must be authorized and processed via your Grant & Contract Officer in SPA for both written and email correspondence to the agency.

**Spreadsheet Summary**

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 1R01MH085793-01A2

**INSTITUTION:** WAYNE STATE UNIVERSITY

<b>Budget</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
Salaries and Wages	\$230,474	\$237,387	\$244,509	\$251,844	\$160,356
Fringe Benefits	\$53,665	\$55,275	\$56,935	\$58,643	\$36,730
Consultant Services	\$5,000	\$5,000	\$5,000	\$5,000	
Supplies	\$4,800	\$1,600	\$1,600	\$1,600	\$1,600
Travel Costs	\$7,763	\$1,533	\$2,662	\$2,924	\$2,935
Other Costs	\$16,597	\$16,712	\$16,821	\$17,011	\$4,435
Consortium/Contractual Cost	\$66,354	\$66,521	\$66,695	\$66,873	\$7,056
<b>TOTAL FEDERAL DC</b>	<b>\$384,653</b>	<b>\$384,028</b>	<b>\$394,222</b>	<b>\$403,895</b>	<b>\$213,112</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$200,020</b>	<b>\$199,695</b>	<b>\$176,395</b>	<b>\$178,075</b>	<b>\$107,149</b>
<b>TOTAL COST</b>	<b>\$584,673</b>	<b>\$583,723</b>	<b>\$570,617</b>	<b>\$581,970</b>	<b>\$320,261</b>

<b>Facilities and Administrative Costs</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
F&A Cost Rate 1	52%	52%	52%	52%	52%
F&A Cost Base 1	\$384,653	\$384,028	\$339,222	\$342,452	\$206,056
F&A Costs 1	\$200,020	\$199,695	\$176,395	\$178,075	\$107,149