

Notice of Award (NOA)

The NOA is generated from our information system, UR-Coeus. It serves to provide pertinent information about an award. You will find, however, that the NOA contains much more information.

The following summary serves as a “road map” to familiarize you with NOA terminology and the information that will be important to you. Remember that all awards differ; the more complex the award, the more information that will be provided on the NOA.

The first page provides the key identifying information about the award, such as Principal Investigator, GR FAO, award number from Coeus, sponsor and sponsor award number and title of the project.

The **Budget Period** section lists the start and end date of the current period and the amount awarded, normally a budget year increment.

The **Project Period** section lists the start and end date for the entire project and provides the total estimated amount of the award (i.e., for a standard NIH grant it would be the five-year anticipated amount). The anticipated award amount is changed if there is a funded supplement or deobligation by the Sponsor.

UofR Account Number: GR5
PI:

Page: 1
Date: 07/01/2015

University of Rochester Notice Of Award

Account Number: GR5 Award Number: Status: Active
Investigator : Address : Unit :
Sponsor : 000205 - DHHS/PHS/NIH
Award Number : Modification Number: New
NSF Code :
Title of Project:

The following ORPA Signature indicates University acceptance of the terms and conditions accompanying the referenced Award.
Please retain this internal Notice of Award and any attachments for your records.

ORPA Signature :

Crystal Holm

Digitally signed by Crystal Holm
DN: c=US, ou=University of Rochester, ou=ORPA,
email=chholm@ora.rochester.edu, o=US
Date: 2015.07.01 11:05:54 -0400

Date: 7/1/15

BUDGET PERIOD:

Effective Date of Current Obligation: 07/01/2015
Expiration Date of Current Obligation: 06/29/2016
Total Change to Obligated Amount: \$214,206.00
Change to Direct Amount Obligated: \$139,548.00
Change to Indirect Amount Obligated: \$74,658.00
Total Amount Obligated: \$214,206.00
Direct Amount Obligated: \$139,548.00
Indirect Amount Obligated: \$74,658.00

Type of Activity: Sponsored Research
Type of Award: Grant
Type of Account:

AO: ORPA

PROJECT PERIOD:

Effective Date: 07/01/2015
Final Expiration Date: 06/30/2017
Total Change to Anticipated Award: \$386,058.00
Change to Direct Anticipated Award: \$257,607.00
Change to Indirect Anticipated Award: \$128,451.00
Total Anticipated Award: \$386,058.00
Direct Anticipated Total Award: \$257,607.00
Indirect Anticipated Total Award: \$128,451.00

Root Account Number:

Address:

Terms:

Equipment:

- Technical equipment may be purchased without sponsor approval
- General purpose equipment unallowable unless primarily used in conduct of research.

Invention:

- 37 CFR 401.14 "Patent Rights (Small Business Firms and Nonprofit Organizations)"
- Title to U of R; Nonexclusive, royalty-free license to Government

Other Approvals/Notification:

- Prior approval required for substantive changes in SOW
- Prior approval required for absence and/or change of PI
- Prior approval required for transfer of award to another institution
- Grants Officer must be notified within 10 days of exercise of single no-cost extension
- Recipient may incur pre-award costs 90 days prior to award.
- Should human subjects be utilized in this research, please be sure that ALL personnel working on this project have successfully completed an approved human subject course.
- Regulations regarding export control may apply if the research undertaken is cited in either the Export Administration Regulations (EAR) or the International Traffic in Arms Regulation (ITAR)
- Prior approval required for alteration and/or renovation costs exceeding \$25,000

Property:

- Title to U of R. U of R exempt from accountability
- Government may require transfer of equipment valued \$5,000 or more if the project is transferred to a new recipient

Publication:

- Disclaimer required in publications, indicating the views expressed are not endorsed by the sponsor
- Unrestricted with copy to sponsor
- Disclose sources of support on statements, press releases, requests for proposals, bid solicitations and other documents describing projects, showing agency, grant amount and proportion of total cost.

Referenced Documents:

- FDP General Terms and Conditions dated 04/05

Rights In Data:

- Title to U of R; Nonexclusive, royalty-free license to the Government

Subcontracting:

- Substantive subcontracting of SOW requires prior approval

Travel:

- No travel restrictions
- Use of US air carriers required for foreign travel

Comments:

General Comments:

In accordance with the NCI's Fiscal Year 2015 funding policies, this award has been issued at 87% if the adjusted requested level. Support recommended for future years has been adjusted accordingly. Refer to page 4 of the award document.

This award is issued under the revised NIH financial reporting and payment management system policy. For more information on this policy, please see the following NIH guide notices.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-112.html>
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-120.html>

Terms and Conditions: This page details specific provisions of the award with respect to publication, inventions and equipment. If any prior approvals are required, you will find this information here. This page also includes any general comments.

If there are no terms applicable to a page specific category of your award, the category will simply state "no terms".

Technical Reporting Requirements: This section outlines the technical reporting (i.e., progress report) requirements of the PI.

If there is any **cost sharing** involved with the project, the cost sharing information appears on this page.

This page will also provide the **indirect cost rate** that is applied to the referenced account. If the award is a flow-through from a prime sponsor (i.e., an NIH grant that is being subcontracted to UR from another university) the primary sponsor will be identified under **Flow Thru**.

The budget period of this award is subject to the Fiscal Year 2015 NIH salary cap of \$183,300. The department is responsible to ascertain which faculty being paid off of this award are above the cap and to complete and submit the NIH Salary Cap Reallocation Form to PIRG.

That form can be found in HRMS by those individuals authorized to access personnel forms under UR Reports and Interfaces, then Labor Distribution, and must be completed on-line. No retroactive cap adjustments will be done unless it is necessary to bring the project into compliance with the NIH salary cap guidelines.

Prior to the expenditure of funds on this award, all PHS investigators must: 1) complete the UR's conflict of interest training course in Blackboard and 2) sign a conflict of interest management plan if a financial interest has been deemed by the University to be a financial conflict of interest. Please refer to the University's Conflict of Interest Policy for other obligations of PHS investigators at http://www.rochester.edu/ORPA/_assets/pdf/compl_COIPolicyFaculty_Aug2012.pdf.

This award may be subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and additional award applicability information.

This award is subject to 45 CFR Part 75, NIH's implementation of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards as implemented by the funding agency. The terms and conditions of this award will be published within the next few weeks.

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 grant is subject to Streamlined Noncompeting Application Procedures (SNAP).

This award incorporates Federal Demonstration Project terms and conditions.

Note: Prior approval is required for significant change in scope of work.

For questions regarding the information contained in this NOA, contact Crystal Holm at ext. 6-5151.

For questions concerning the administration of this award contact Jennifer Carlson at ext. 3-3960.

Technical Reporting Requirements:

Type of Report: Final
Frequency: 120 days after expiration
Frequency Basis: Final Expiration Date
OSP Distribution: Report

Type of Report: Progress/Status
Frequency: 60 days prior to expiration date
Frequency Basis: Budget period expiration date
OSP Distribution: Sponsor Form

Proposal Due:

Non Competing Continuation: 45 days prior to expiration
Competing Renewal: 9 months prior to expiration date

Indirect Cost:

Rate	Type	Year	Start Date	End Date	On Campus	UnderRecovery	Source	Destination
53.50	MTDC	2016	07/01/2015	06/30/2016	Yes	\$0.00	XXXXXX	9999999

Reporting:

Fiscal

Type of Report: Final
Frequency: 120 days after expiration
Frequency Basis: Final Expiration Date
OSP Distribution: SF425 Federal Financial Report

Intellectual Property

Type of Report: Final
Frequency: 120 days after expiration
Frequency Basis: Final Expiration Date
OSP Distribution: Sponsor Form

Payment:

Basis of Payment: Cost reimbursement
Method of Payment: L/C
Proposal Number:
DFAFS Number:
CFDA Number: 93.394
Procurement Priority Code:
Sub Plan: Unknown
Award Last Update User: Crys Holm
Award Last Update: 07/01/2015 10:03:30

Reporting: This section outlines the other reporting requirements of the award, such as Financial, Intellectual Property, Equipment and Procurement (Small Business Reporting). These requirements are predominantly handled by other University offices, such as ORACS, Purchasing, etc.

This page will also provide the **payment mechanism** that is applicable to the award for ORACS purposes. If there is small business subcontracting plan required by the award (normal required in contracts exceeding \$500,000 and NYS contracts), this will be indicated by a “yes” after **Sub Plan**.

Address List (Contact Information): All known sponsor contact information will be provided, including technical officers and administrative contacts. If the NOA is for a subaward agreement the contacts (Administrative, Fiscal, Awarding Office, and Technical/PI) from the awarding institution are provided here.

A funding summary is included showing the total project period and the current budget period.

Address list for Account Number GR5

Rolodex Id: 18890 **Contact Type:** Administrative Contact
Name: Maydwell, Robert
Organization: NIH
Address:
Title: Grants Management Specialist **Phone:** 240-276-6478
City: **State:** Maryland
Postal Code: **Country:** United States
Fax: **E Mail:**

Rolodex Id: 11848 **Contact Type:** Technical/Scientific Officer
Name: Jessup, John M.
Organization: DHHS/PHS/NIH
Address:
Title: Program Official **Phone:** 240-276-5952
City: Rockville **State:** Maryland
Postal Code: 20892 **Country:** United States
Fax: 240-276-7889 **E Mail:** jessupj@mail.nih.gov

Funding Summary:

	Start Date	End Date	Total
Total Project Period:	07/01/2015	06/30/2017	\$386,058.00
Seq.1	07/01/2015	06/29/2016	\$214,206.00
Total Obligated:			\$214,206.00
Amount for GR5			\$214,206.00
Child Proj/Grant Total:			\$0.00
Remaining Anticipated:			\$171,852.00

Object Class Set Budget Mapping

PI:
 Company:
 Cost Center:
 UR FAO:

CC

GR5

Sponsor:
 Sponsor No.:

NIH

BUDGET DATA

Start Date: 07/01/15

End Date: 06/29/16

	*	Object Class	Amount (\$)	Comments
S	I	Salaries		
	I	Graduate Students		
	I	Undergraduate Students		
S	I	Fringe Benefits		
	I	Conference		
S	I	Consultants		
	I	Duplicating		
	I	Health Fees		
	I	Human Subjects		
S	I	Non-capitalized Equip		
S	I	Participant Support		
	I	Photo Illustration		
	I	Postage		
	I	Recruitment		
	I	Software		
	I	Stipends		
S	I	Supplies		
	I	Telecommunications		
S	I	Travel		
S	I	Vivarium		
S	I	Other	139,548.00	
S	I/E	Subcontracts		
S	E	Capital Equipment		
S	E	Capital Constr/Bldg		
	E	IRB/WIRB/RSRB Fees		
S	E	Patient Charges		
S	E	Rent		
	E	Tuition		
S	E	Specialized Service Fac		
S	E	Other Exclusions		
		Total Direct Costs	139,548.00	
		F & A Costs.....	74,658.00	
		TOTAL COSTS	214,206.00	

*(I)included/

(E)xcluded from Indirects

F&A Rate: 53.50% Enter as xx.x

7/1/2015

This form is set up for typical MTDC Exclusions.

Budget: The last page of the NOA will contain a budget breakdown of the current budget period. The breakdown will reflect the awarded categories. For NIH awards with rebudgeting authority, the total direct costs are included under “other” as shown here. Detail from departments will be obtained by ORPA for project or center awards, on and off campus awards, or other projects with multiple FAOs.

The budget sheet is issued on its own when carryforward is approved for awards without automatic carryforward.

The pages following the NOA are the sponsor/agency award notice or agreement.