e R A Seminar Series The Notice of Award

Contents:

- AAN vs. NOA
- How to Locate
- Award Transaction Details vs. NOA Summary
- Field level definitions
- List of Values for each Term & Condition
- Key NOA Section for the PI

The SeRA Issued AAN & NOA



The AAN

When: Issued once the Institutional Official

has accepted the sponsored award (new, amendment) in the SeRA

system.

Who: Typically, the PI and a Department

Administrator are notified. Central

Offices are also copied (OSR

Accounting, Accounts Receivable,

Property Management)

Why: Informs parties that (a) the award

has been accepted by Stanford, and (b) that the Account/PTA setup is

now in progress.

What: Provides a snapshot of the financial

and non-financial agreement terms

The NOA

When: Issued once the Accounts for the

award have been setup in Oracle, or

when incremental funding or

changes have been applied in Oracle

Who: Typically, the PI and a Department

Administrator are notified. Central

Offices are also copied (Institutional

Official, Accounts Receivable,

Property Management).

Why: Informs parties that the

Account/PTA setup is now complete

and the notification includes the PTAs associated with this award.

Pias associated with this award.

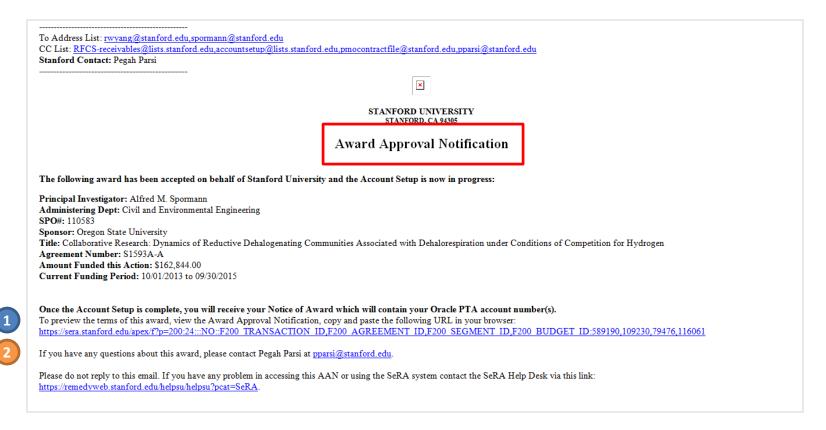
What: Provides a snapshot of the financial

and non-financial agreement terms and lists the PTAs associated with

and lists the FIAs associate

the award

The AAN Email Notification

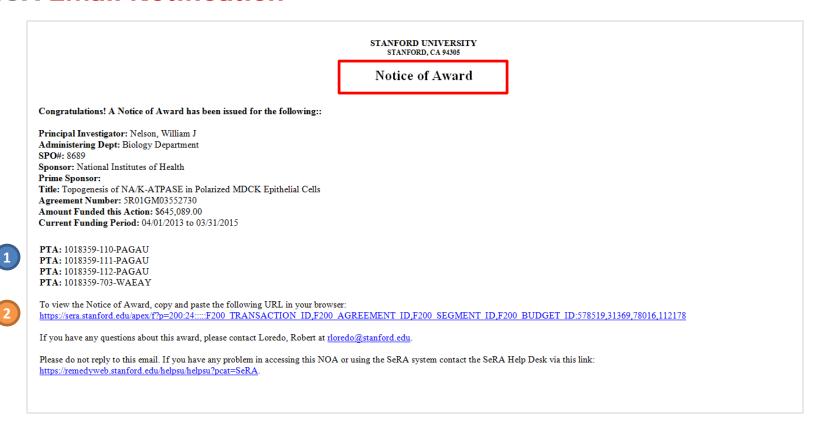


Click to view the Award Approval Notification in the SeRA system



Identifies the person in OSR, RMG or ICO who accepted the sponsored award. This is NOT the person who will be setting up the account in Oracle.

The NOA Email Notification



 Lists all of the PTA combinations set up for the sponsored award. Includes cost sharing awards.

Click to view the Notice of Award in the SeRA system



View Latest AAN/NOA



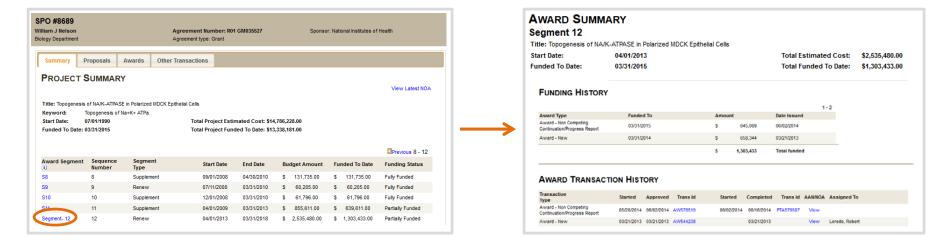
Finding Previously Issued NOAs



Finding Previously Issued NOAs: Locate the Award Transaction

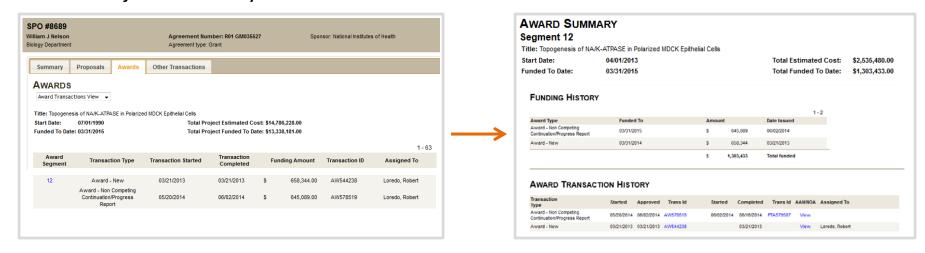
If you know which Award Segment:

From the Project Summary \rightarrow Select the Segment \rightarrow Award Transaction History



Not sure which Award Segment?

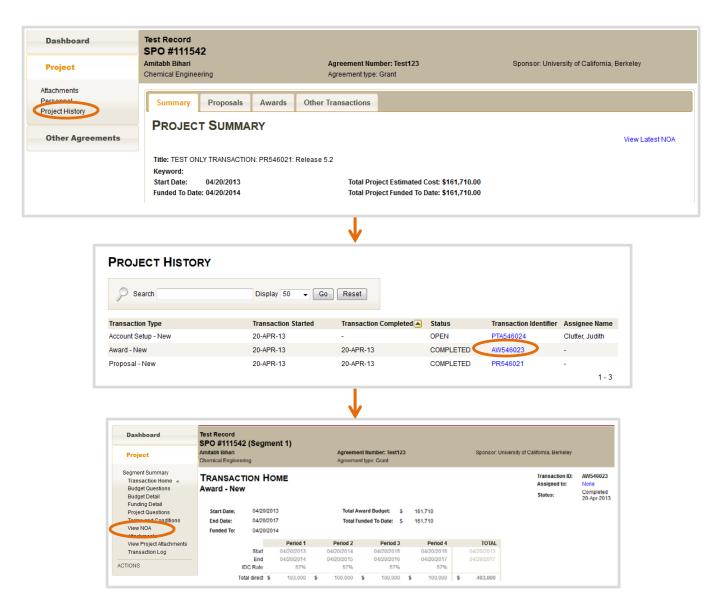
From the Project Summary → Click the Awards Tab → Select Award Transaction View



Finding Previously Issued NOAs: Locate the Award Transaction

OR.... Search the Project History

From the Project History \rightarrow Award Transaction \rightarrow View NOA

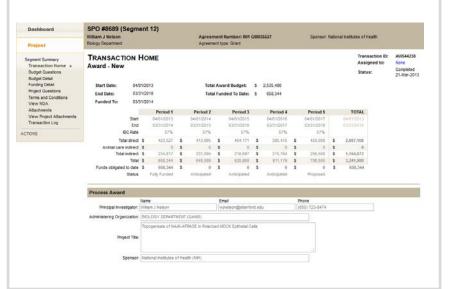


Award Transaction -vs- AAN/NOA

AWARD TRANSACTION HISTORY



View the **Award Transaction** level details as completed by the Institutional Official. Click through the sections in the left hand navigation to view



View the **AAN/NOA** snapshot of the financial and non-financial agreement terms Stanford University Notice of Award Date: 03/21/2013 SPO No: 8689 Associated PDRF No: PR525951 Project Action: Award - New Principal Investigator: Nelson, William J Transaction Id: AW544238 Administering Org: Biology Department Other Stanford Faculty: --Title: Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells Sponsor: National Institutes of Health CFDA#: 93.859 Prime Sponsor: ---Sponsor Award No.: 2R01GM03552729 Agreement Type: Grant, Organized Research (On Campus) Current Funding Period: 04/01/2013 to 03/31/2014 Project Period of Performance: 07/01/1990 to 03/31/2017 Amount Funded this Action: \$658,344.00 Additional Amount Anticipated by Sponsor: \$1,877,136,00 Project Funding to Date: \$12,693,092.00 Total Estimated Project Cost: \$14,786,228.00 Indirect Cost Rate: 57% Remarks Please note that award amounts were reduced from what was proposed. Compliance Human Subjects: No Animal Subjects: No Human Stem Cells: No Cancer Research: No Protocol # Protocol # Protocol#: Protocol # Approved: Approved: Approved: Approved: Expires: Expires: Expires: Expires: Cancer Related Research: Human Blood or Body Fluids: No Infectious Biohazardous Agents: No Recombinant DNA Molecules: Yes Radiological Hazards: Enroll participants outside US: No International resources: Countries: Terms and Conditions This Notice of Award provides a summary of basic information. Please read the award document for complete requirements General: SNAP: Yes Major Project: No Requirements: Limitation of funds (52.232.22): No(493758)

Stanford University Notice of Award

1 Date: 03/21/2013

2 Project Action: Award - New

3 SPO No: 8689

Associated PDRF No: PR525951

5 Principal Investigator: Nelson, William J

6 Transaction Id: AW544238

7 Administering Org: Biology Department

8 Other Stanford Faculty: ---

9 Title: Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells

10 Sponsor: National Institutes of Health

14 CFDA#: 93.859

11 Prime Sponsor: ---

12 Sponsor Award No.: 2R01GM03552729

13 Agreement Type: Grant, Organized Research (On Campus)

Current Funding Period: 04/01/2013 to 03/31/2014

Amount Funded this Action: \$658,344.00 Project Funding to Date: \$12,693,092.00

Indirect Cost Rate: 57%

Project Period of Performance: 07/01/1990 to 03/31/2017

Additional Amount Anticipated by Sponsor: \$1,877,136.00

Total Estimated Project Cost: \$14,786,228.00

- **Date**: The date the Institutional Official has approved the award transaction in the system
- **2** Project Action: Award transaction type (new, amendment, supplement, non-competing continuation)
- 3 SPO No: Unique Project identifier (1 to 5 digit SPO #s are converted legacy SPIDERS projects; 6 digit SPO #s are SeRA created projects)
- 4 Associated PDRF No: PDRF ID for the proposal associated with this award
- **5** Principal Investigator: PI-eligible project leader per Stanford policy (Research Policy Handbook 2.1)
- 6 Transaction ID: SeRA transaction identifier tied to the specific Project Action
- 7 Administering Org: Department, Center or Lab identified on the PDRF as being responsible for managing the project
- 8 Other Stanford Faculty: Lists any other Stanford faculty devoting effort to the project
- 9 Title: Project title
- 10 Sponsor: Entity with whom Stanford has entered into an agreement to fund the sponsored project
- 11 Prime Sponsor: Lists the prime sponsor if the Agreement Type is a Subcontract
- 12 Sponsor Award No: Agreement number identified on the sponsored award document
- 13 Agreement Type: Type of award document (grant, contract, subcontract, cooperative agreement, fellowship)
- 14 CFDA#: Identifies the Federal assistance program (Catalog of Federal Domestic Assistance Number) under which the award was granted

Stanford University Notice of Award

 Date: 03/21/2013
 SPO No: 8689

 Project Action: Award - New
 Associated PDRF No: PR525951

Principal Investigator: Nelson, William J Transaction Id: AW544238

Administering Org: Biology Department

Other Stanford Faculty: ---

Title: Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells

Sponsor: National Institutes of Health CFDA#: 93.859

Prime Sponsor: ---

Sponsor Award No.: 2R01GM03552729

Agreement Type: Grant, Organized Research (On Campus)

15 Current Funding Period: 04/01/2013 to 03/31/2014 **16** Project Period of Performance: 07/01/1990 to 03/31/2017

17 Amount Funded this Action: \$658,344.00 18 Additional Amount Anticipated by Sponsor: \$1,877,136.00 19 Project Funding to Date: \$12,693,092.00 20 Total Estimated Project Cost: \$14,786,228.00

21 Indirect Cost Rate: 57%

15 Current Funding Period: Start date of the funded Award Segment through the Funded To date (last date of eligible expenditures)

16 Project Period of Performance: Start of the earliest funded Award Segment through the last date of the period funded or anticipated

17 Amount Funded this Action: Amount funded by the award agreement being processed

18 Additional Amount Anticipated by Sponsor: Amount not yet funded by the sponsor but noted in the agreement as being anticipated

19 Project Funding to Date: Total amount funded under the SPO#

20 Total Estimated Project Cost: Sum of Project Funding to Date + Additional Amount Anticipated by Sponsor

21 Indirect Cost Rate: F&A rate(s) applied to the project

22 Remarks

Please note that award amounts were reduced from what was proposed.

23 Compliance

 Human Subjects:
 No
 Animal Subjects:
 No
 Human Stem Cells:
 No
 Cancer Research:
 No

 Protocol#:
 Protocol#:
 Protocol#:
 Protocol#:
 Protocol#:
 Protocol#:
 Approved:
 Approved:
 Approved:
 Approved:
 Expires:
 Expi

Cancer Related Research: No Human Blood or Body Fluids: No Infectious Biohazardous Agents: No

Recombinant DNA Molecules: Yes Radiological Hazards: Yes International resources: No Enroll participants outside US: No

Countries: N/A

- 22 Remarks: Noteworthy comments for the PI and Department related to award terms added by the Institutional Official
- **23 Compliance**: Project-specific compliance identifiers

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2/	Terms	and C	:ondi	tions

This Notice of Award provides a summary of basic information. Please read the award document for complete requirements.

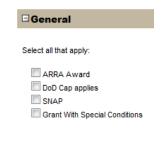
25 General: SNAP: Yes Major Project: No Cost Sharing: No

26 Requirements: Limitation of funds [52.232.22]: No(493758)

24 Terms & Conditions: This section provides a basic summary of award terms. Does NOT supersede actual sponsored award terms. Applicable selections are made by Institutional Officials based on the Terms of the Award

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award

25 General award attributes



26 General contractual requirements

Requirements	
Limitation of funds [52.232.22]	⊚ Yes ⊚ No
Limitation of cost [52.232.20]	O Yes O No
Small Business Subcontracting Plan Required	Yes No

27 Budget Management & Award is issued in foreign currency: No Invoicing Requirements: Payment Type: Cost Reimbursement

Cost Reimbursement Invoicing: Letter of Credit or Electronic Fund Transfer

Invoice Format: Letter of Credit or Electronic Fund Transfer Final Invoice Due Date: 90 days after project period end date

Carry Forward to Next Budget Period: Allowed without prior approval

Final Payment contingent upon submission of technical or final financial report? No

Final Invoice Required?: No Pre-Award Spending: Allowed

90 Days prior to Segment Start Date

Re-Budgeting Allowed: Requires prior sponsor approval

Deposited in interest bearing acct: No

Program Income: No

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award

27 Budget Management & Invoicing Requirements

Payment Type

--Select--

Cost Reimbursement Fixed Price/Fixed Unit Cost

Both: Cost Reimbursements and Fixed Price / Fixed Unit Cost

Invoice Format

--Select--

Not Applicable Standard Invoice Special Requirements

Letter of Credit or Electronic Fund Transfer

Final invoice due date

--Select--

30 days after project period end date
45 days after project period end date
60 days after project period end date
90 days after project period end date
Not Required
Other

Carry forward to next budget period

--Select--

Not Allowed

Allowed without prior approval Allowed only with prior approval

27 Budget Management & Award is issued in foreign currency: No Invoicing Requirements: Payment Type: Cost Reimbursement

Cost Reimbursement Invoicing: Letter of Credit or Electronic Fund Transfer

Invoice Format: Letter of Credit or Electronic Fund Transfer Final Invoice Due Date: 90 days after project period end date

Carry Forward to Next Budget Period: Allowed without prior approval

Final Payment contingent upon submission of technical or final financial report? No

Final Invoice Required?: No Pre-Award Spending: Allowed

90 Days prior to Segment Start Date

Re-Budgeting Allowed: Requires prior sponsor approval

Deposited in interest bearing acct: No

Program Income: No

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award

7 □ Budget Management & Invoicing Requi	rements continued
Final Payment contingent upon submission of technical or final financial report?	◯ Yes ◯ No
Is a Final Invoice required for each budget period, or do the terms have carry forward restrictions AND standard invoicing based on actual costs?	◯ Yes ◯ No
Pre-award spending allowed?	Select
ric-award spending anowed.	Not Allowed
	Allowed Prior Sponsor Approval
Rebudgeting allowed?	Select
	Not Allowed
	Allowed
	Requires prior sponsor approval

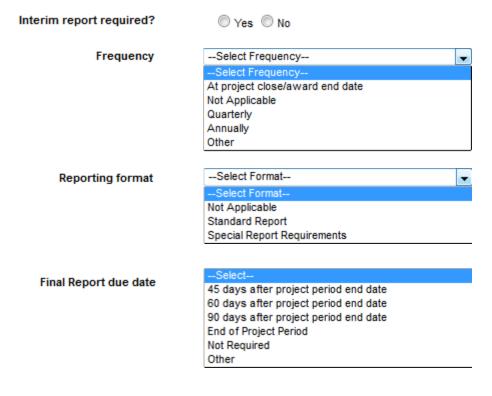
28 Financial Reporting: Interim Financial Reporting: No

Frequency: Not Applicable Report Format: Not Applicable

Final Report Due Date: 90 days after project period end date

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award

28 Financial Reporting



29 Report Requirements: Technical Report:

Technical reports required.: Yes

Interim: Due 45 days before period end date (Last day of every project year)

Description

Final: Due 90 days after period end date (End of Project Period)

Description

Invention Report:

Invention report required.: Yes

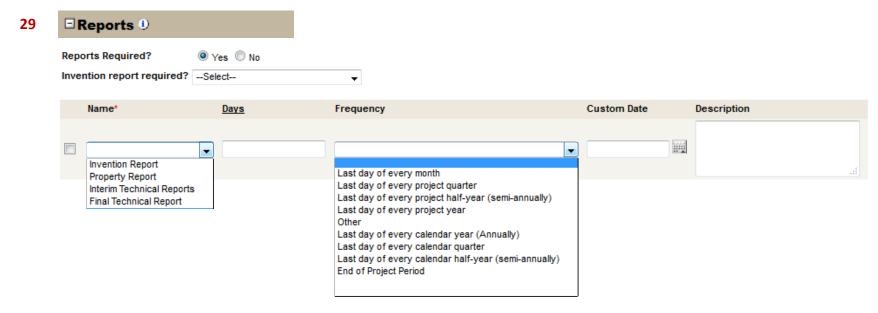
Due 90 days after period end date (End of Project Period)

Description

Property Report:

Property Report Required: No

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award



30 Deliverables: Software deliverables required.: No

Hardware deliverables required.: No Other deliverables required.: No

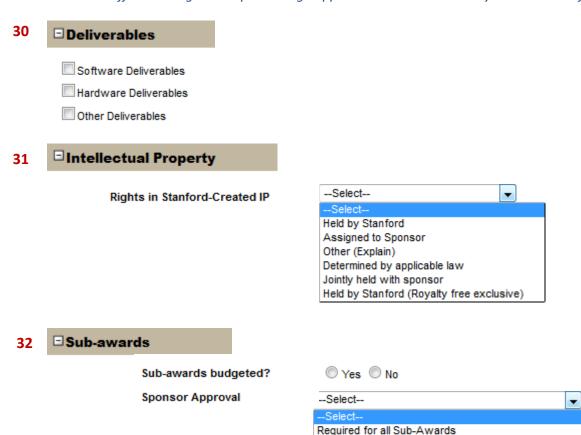
31 Intellectual Property: Ownership: Held by Stanford

32 Sub Awards: Sub-Awards Budgeted: Yes

Sponsor Approval Required for All Subawards: Required for new Sub-Awards not included in proposal

Required for new Sub-Awards not included in proposal

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award



Other

33 Property: Equipment Budgeted: No

Purchase Requires Approval: Yes

Purchased Equipment Title Owner: Stanford University

Sponsor-Provided Equipment: No

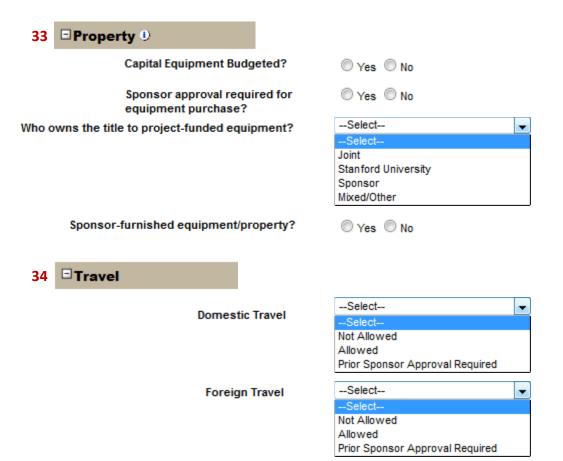
Does FAR 52.245-1 Government Property apply: No

34 Travel: Domestic Travel: Allowed

Foreign Travel: Prior Sponsor Approval Required

Travel Comments:

Options available to Institutional Official during award processing. Applicable selections made by Institutional Officials based on Terms of the Award



Accounting or A/R:

Special Instructions for Special payment terms are shown in Art. III and Exhibit C. Invoice address for project coordinator is shown in Exhibit B (pg. 55). Invoice Form can be found at website shown in Exhibit D (pg. 58). For this sponsor, the project period technically ends on June 1, 2017, but all final reports and final invoice are due the same day. The award should be set up to end 90 days prior to this, which is why the end date is set at 3/31/2017, to allow for finalizing.

36 Additional Terms: Quality Assurance Project Plan is due by November 1, 2014, before any collection of data.

APPROVER SECTION

Approver: Parsi, Pegah Department: OSR Pre Award

Date: 19-SEP-14

The files attached while issuing AAN

Agmnt-A00-Fx Wrf Luthy-115956.Pdf Epa Prime Agreement-115956.Pdf

Distribution List:

RFCS-receivables@lists.stanford.edu accountsetup@lists.stanford.edu pmocontractfile@stanford.edu pparsi@stanford.edu

- 35 Special Instructions for Accounting or A/R: Details added by the Institutional Official for Account Setup or Billing purposes
- 36 Additional Terms: Non-standard or special terms highlighted by the Institutional Official for the PI and Department
- Approver Section: Name and organization of the Institutional Official and the date award transaction was approved **37**
- Files Attached While Issuing the AAN: Agreement and other attachments provided by the Institutional Official 38
- 39 Distribution List: Individuals and distribution lists receiving a copy of the AAN/NOA

Key NOA Sections for the Principal Investigator

Stanford University Notice of Award Date: 03/21/2013 SPO No: 8689 Project Action: Award - New Associated PDRF No: PR525951 Principal Investigator: Nelson, William J Transaction Id: AW544238 Administering Org: Biology Department Other Stanford Faculty: ---Title: Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells Sponsor: National Institutes of Health CFDA#: 93.859 Prime Sponsor: ---Sponsor Award No.: 2R01GM03552729 Agreement Type: Grant, Organized Research (On Campus) **Dates & Dollars** Current Funding Period: 04/01/2013 to 03/31/2014 Project Period of Performance: 07/01/1990 to 03/31/2017 Amount Funded this Action: \$658,344.00 Additional Amount Anticipated by Sponsor: \$1,877,136.00 Project Funding to Date: \$12,693,092.00 Total Estimated Project Cost: \$14,786,228.00 Indirect Cost Rate: 57% Remarks Remarks Please note that award amounts were reduced from what was proposed. Financial Reporting: Interim Financial Reporting: Yes Frequency: Quarterly Report Format: Special Report Requirements Description 58 Final Report Due Date: 90 days after project period end date Report Requirements: Reports Required?: Yes Reports & Technical Report: Technical reports required.: Yes **Deliverables** Interim: Due on period end date (Last day of every project quarter) Final: Due 180 days after period end date (End of Project Period) Invention Report: Invention report required.: Yes - Positive Disclosure Only Due 30 days after period end date (End of Project Period) Description Property Report: Property Report Required: No Deliverables: Software deliverables required.: No Hardware deliverables required.: No Other deliverables required.: No Intellectual Property: Ownership: Held by Stanford **Additional Terms** Additional Terms: Quality Assurance Project Plan is due by November 1, 2014, before any collection of data.