



**THIS NOA HAS BEEN EDITED FOR THE PURPOSE OF A CLASS ACTIVITY**

<b>Recipient Information</b> <b>1. Recipient Name</b> UNIVERSITY OF XYZ Somewhere over the rainbow  <b>2. Congressional District of Recipient</b>  <b>3. Payment System Identifier (ID)</b> 1234567890  <b>4. Employer Identification Number (EIN)</b> 12345678  <b>5. Data Universal Numbering System (DUNS)</b> 12345678  <b>6. Recipient's Unique Entity Identifier</b>  <b>7. Project Director or Principal Investigator</b> Smart Dude, PHD (Contact) Professor of Medicine lmsmart@gmail.com +123456678  <b>8. Authorized Official</b> Ms. NIH Lady	<b>Federal Award Information</b>  <b>11. Award Number</b> ABC123456789  <b>12. Unique Federal Award Identification Number (FAIN)</b> ABC123456789  <b>13. Statutory Authority</b> 42 USC 287b 42 CFR 63a  <b>14. Federal Award Project Title</b> Super Awesome Training Grant  <b>15. Assistance Listing Number</b> 93.989  <b>16. Assistance Listing Program Title</b> International Research and Research Training  <b>17. Award Action Type</b> Competing Continuation  <b>18. Is the Award R&amp;D?</b> Yes																										
<b>Federal Agency Information</b> <b>9. Awarding Agency Contact Information</b> Grants Management Specialist FOGARTY INTERNATIONAL CENTER Email Phone  <b>10. Program Official Contact Information</b> NIH Program Officer FOGARTY INTERNATIONAL CENTER Email Phone	<table border="1"> <thead> <tr> <th colspan="2" style="background-color: #e1f5fe;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr> <td colspan="2" style="background-color: #e1f5fe;"><b>19. Budget Period Start Date 06/25/2021 – End Date 03/31/2022</b></td> </tr> <tr> <td><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right;">\$289,332</td> </tr> <tr> <td>    20 a. Direct Cost Amount</td> <td style="text-align: right;">\$279,999</td> </tr> <tr> <td>    20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$9,333</td> </tr> <tr> <td><b>21. Authorized Carryover</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>22. Offset</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right;">\$289,332</td> </tr> <tr> <td><b>24. Total Approved Cost Sharing or Matching, where applicable</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>25. Total Federal and Non-Federal Approved this Budget Period</b></td> <td style="text-align: right;">\$289,332</td> </tr> <tr> <td colspan="2" style="text-align: center;">-----</td> </tr> <tr> <td colspan="2" style="background-color: #e1f5fe;"><b>26. Project Period Start Date 06/15/2015 – End Date 03/31/2026</b></td> </tr> <tr> <td><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b></td> <td style="text-align: right;">\$289,332</td> </tr> </tbody> </table> <b>28. Authorized Treatment of Program Income</b> Additional Costs  <b>29. Grants Management Officer - Signature</b> NIH GMS	Summary Federal Award Financial Information		<b>19. Budget Period Start Date 06/25/2021 – End Date 03/31/2022</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$289,332	20 a. Direct Cost Amount	\$279,999	20 b. Indirect Cost Amount	\$9,333	<b>21. Authorized Carryover</b>	\$0	<b>22. Offset</b>	\$0	<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$289,332	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$289,332	-----		<b>26. Project Period Start Date 06/15/2015 – End Date 03/31/2026</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$289,332
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International Research Training Award  
Department of Health and Human Services  
National Institutes of Health

Notice of Award



FOGARTY INTERNATIONAL CENTER

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**SECTION I – AWARD DATA – ABC123456789**

**Principal Investigator(s):**

Smart Lady, MD  
Smart Dude (contact), PHD

**Award e-mailed to:** sponsored official

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$289,332 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UNIVERSITY OF XYZ in support of the above referenced project. This award is pursuant to the authority of 42 USC 287b 42 CFR 63a 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 recipient when funds are drawn down or otherwise requested 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 Fogarty International Center of the National Institutes of Health under Award Number ABC123456789. 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 direct questions to the Federal Agency contacts.

Sincerely yours,

Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

**Cumulative Award Calculations for this Budget Period (U.S. Dollars)**

<b>Salaries and Wages</b>	\$35,450
<b>Fringe Benefits</b>	\$13,293
<b>Personnel Costs (Subtotal)</b>	\$48,743
<b>Materials &amp; Supplies</b>	\$960
<b>Travel</b>	\$4,250
<b>Other</b>	\$42,713
<b>Subawards/Consortium/Contractual Costs</b>	\$183,333
<b>Federal Direct Costs</b>	\$279,999
<b>Federal F&amp;A Costs</b>	\$9,333
<b>Approved Budget</b>	\$289,332
<b>Total Amount of Federal Funds Authorized (Federal Share)</b>	\$289,332
<b>TOTAL FEDERAL AWARD AMOUNT</b>	\$289,332
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	\$289,332

<b>SUMMARY TOTALS FOR ALL YEARS</b> (for this Document Number)		
<b>YR</b>	<b>THIS AWARD</b>	<b>CUMULATIVE TOTALS</b>
1	\$289,332	\$289,332
2	\$288,310	\$288,310
3	\$288,485	\$288,485
4	\$288,111	\$288,111
5	\$287,820	\$287,820

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

**Fiscal Information:**

**Payment System Identifier:** 12345678  
**Document Number:** 12345678  
**PMS Account Type:** (Subaccount)  
**Fiscal Year:** 2021

IC	CAN	2021	2022	2023	2024	2025
TW	8476364	\$289,332	\$288,310	\$288,485	\$288,111	\$287,820

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

**NIH Administrative Data:**

**PCC:** HIVRT / **OC:** 41011 / **Released:** 06/22/2021  
**Award Processed:** 6/29/2021 12:20:14 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION**

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

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**SECTION III – STANDARD TERMS AND CONDITIONS**

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.

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

**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).

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

This grant is excluded from 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) ABC1234567. 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/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such

proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – TW SPECIFIC AWARD CONDITIONS**

**RESTRICTION:** This award is issued with the knowledge that human subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

**RESTRICTION:** The present award is being made without an Office of Human Research Protections (OHRP)-approved Federalwide Assurance for the grantee with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted until OHRP has approved a Federalwide Assurance.

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 FIC's notification to the grantee that the identified issues have been resolved and this restriction removed.

**FIC Funding Strategy**

NIH is currently operating under the *Consolidated Appropriations Act, 2021* ([Public Law 116-260](#)), signed into law on December 27, 2020, provides funding to NIH for the Fiscal Year ending September 30, 2021.

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-056.html>

**RECYCLE**

**The Budget Period Anniversary Date for future year(s) will be April 1.**

**PROGRAM REQUIREMENTS**

This award is subject to the conditions set forth in [PAR-12-345](#): The RFA can be found at [website](#).

**RESTRICTION AGAINST MEETING/CONFERENCE SUPPORT FOR PERSONNEL**

As stated in the FOA, Support for senior/key personnel, faculty and collaborators to attend other scientific meetings and conferences is **not allowed**.

**PAYMENTS TO FOREIGN GRANT RECIPIENTS**

The NIH has made several changes to the policies and procedures for awards to Foreign Institutions. Awards made on or after October 1, 2012 will now be paid through the Payment Management System (PMS). Please refer to NIH Guide Notice NOT-OD-12-139 for guidance (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-139.html>).

1. To receive payment Grantees must complete the SF-1199A Direct Deposit Form, the DPM PMS System Access Form for NIH Foreign Grantees, and provide an International Bank Letter on your bank letterhead with authorized signatures for all new PMS accounts and new PMS users.
2. Detailed instructions and forms have been sent to all grantees. Contact Ms. Thuy Tran if you did not receive this information.
3. Forms must be completed for each NIH Grant Award and Access Forms must be completed for each individual who needs access to an existing or new PMS account. Send the forms to the Division of Payment Management (DPM) as instructed on the forms.

4. Please contact Thuy Tran with any questions about your PMS account by phone at (301) 492-4985 or by email at [thuy.tran@psc.hhs.gov](mailto:thuy.tran@psc.hhs.gov)

#### **INTEREST EARNED ON ADVANCES OF GRANT FUNDS**

NIH grantee subject to the requirements of 2 CFR part 200 that receives advance payments must maintain those advances in an interest-bearing account (2 CFR 200.305.8). The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs. However, any interest on Federal advances of grant funds that exceeds US\$500 per year in the aggregate must be remitted annually to the Department of Health and Human Services, Payment Management System, PO Box 6021, Rockville, MD 20852 (as the government-wide agent for collection). Interest amounts up to US\$500 per year may be retained by the recipient for administrative expenses (2 CFR 200.305.9).

#### **Mandatory Submission of the Federal Financial Report (FFR) in the Payment Management System Beginning January 1, 2021**

Beginning January 1, 2021, NIH recipients must submit required annual and final FFRs in PMS. Recipients who have FFRs that are a work-in-progress in the eRA Commons/FFR module as of January 1, 2021, will need to restart the FFR in PMS.

- Recipient staff responsible for completing and submitting FFRs must register with [PMS](#) to obtain log in credentials prior to submitting an FFR.
- Recipients can directly access PMS [via the new Manage FFR](#) button in eRA Commons.. This button will take the recipient directly to PMS, where the recipient will log in and be taken to the [Federal Financial Report — Details screen](#) for the given award in PMS. Once the FFR is completed, the recipient will submit it to NIH in PMS.
- Recipients will still be able to see the current status of their submission in the eRA Commons/FFR module.
- Recipients may also search for and access FFRs directly in PMS in most cases.
- Recipients who need to revise FFR submissions should do so in PMS in most cases.
- Recipients unable to locate FFRs in PMS should contact the [eRA Service Desk](#) for assistance.

Note: Due to data migration considerations and data elements contained in older FFRs, some previously accepted FFRs may not be migrated to PMS. Examples of FFRs that may not be migrated include: FFRs for direct awards to foreign institutions issued prior to October 1, 2012; awards made to PMS pooled accounts; and FFRs reporting more than ten F&A rates.

Guide Notice - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-046.html>

Questions regarding the FFR may also be addressed here:

Contact: Alan Whatley  
Government Accounting Branch  
Office of Financial Management  
Email: [Alan.Whatley@nih.gov](mailto:Alan.Whatley@nih.gov)  
Fax: 301-402-4934

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

Consortia are to be established and administered as described in Chapter 15 of the NIH Grants Policy Statement: <http://grants.nih.gov/grants/policy/nihgps/index.htm>.

#### **APPROVED SUBAWARDS**

The following subaward(s) have been identified and approved for this grant award:

Vanderbilt University Medical Center, (VUMC)

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that

constitute a significant change from the aims, objectives, purpose, or scope of the approved subaward. **Prior approval is required for any change(s) in a foreign subaward/consortium site, regardless of whether there is a change in scope.**

### **CHANGES TO F&A FOR FOREIGN INSTITUTIONS**

In accordance with the [NIH Grants Policy Statement](#), F&A costs under grants to foreign and international organizations will be funded at a fixed rate of 8 percent of modified total direct costs, exclusive of tuition and related fees, direct expenditures for equipment, and sub-awards in excess of \$25,000. Awards to domestic organizations with a foreign or international consortium participant must also apply this rate for the foreign institution. These funds are paid to support the costs of compliance with federal requirements. This applies to direct foreign awards and foreign subawards.

### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

- **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, tuition and related fees, and subawards in excess of \$25,000. These funds are paid to support the costs of compliance with federal requirements. This applies to direct foreign awards and foreign subawards.

### **CHANGES IN SCOPE:**

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

### **FOREIGN TRAVEL**

U.S. Flag carriers must be used for departure from or entry into the U.S. and for other portions of the trip where available.

### **SALARY CAP**

None of the funds in this award shall be used to pay the salary of an individual at a rate per year in excess of the amounts reflected in the following NIH Guide Notice NOT-OD-21-057

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-057.html>

### **HUMAN SUBJECTS FWA/IRB APPROVAL**

The applicant organization is responsible for ensuring that any activities involving human subjects at the parent or any consortium/subcontract organization has an appropriate IRB and FWA approval. Any changes in the use of human subjects requires prior approval from the NIH awarding component.

Refer to Chapter 4.1.15 of the NIH Grants Policy Statement (NIH GPS) for additional information: <http://grants.nih.gov/grants/policy/nihgps/index.htm>.

### **ACKNOWLEDGEMENT OF FUNDING**

Each publication, press release, or other document about research supported by an NIH award must include acknowledgment of FIC and NIH award support with the following or comparable footnote and disclaimer:

Research reported in this publication was supported by the Fogarty International Center, of the National Institutes of Health under Award Number ABC 1234567. 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. This publication requirement applies not only to the primary grantee, but also to any subcontractors and /or trainees involved with the project. For additional information, please visit <http://www.nih.gov/about/publicaccess/>.

#### **REQUIRED TRAINEE eRA COMMONS ID MUST BE REPORTED ON THE RPPR**

In accordance with [NOT-OD-13-097](#), any trainee or individual with an Undergraduate, Graduate Student, and/or Postdoctoral Role who participates in an NIH-funded project for at least one person month (160 hours or more) of training in the reporting period must be registered in the eRA Commons. This is required regardless of whether salary is actually charged to the project.

**Grant recipients must list each trainee/scholar supported by the grant award during the reporting period in Section D.1 of the RPPR and include their Commons ID. Additional guidance and information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage:**  
<http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>.

#### **TRAINING GRANT RESTRICTION**

FIC funded research must have the appropriate required NIH and HHS assurances before any research or research training involving human subjects begins. These assurances apply to all research grants, any research supported by training grants (including re-entry support for foreign scientists), and research supported under a cooperative agreement. All human subjects research projects must have had a scientific review either by a peer review panel or by another independent review mechanism. Activity in which human subjects are involved may be undertaken if the institution has an active FWA assurance and if the project has been reviewed and approved by the appropriate Institutional Review Board (IRB).

**Grant recipients must provide human subjects and IRB approval information in Section G.1 “Special NOA terms and FOA reporting requirements” of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage:**  
<http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>.

#### **REQUIRED EDUCATION IN THE PROTECTION OF HUMAN RESEARCH PARTICIPANTS**

Investigators must ensure that the description of the education completed in the protection of human subjects for each individual, identified as "key personnel", in the proposed research has been documented and provided to the FIC awarding office. Key personnel include all individuals responsible for the design and conduct of the study. The Notice for this policy can be found at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-039.html>.

#### **RESPONSIBLE CONDUCT OF RESEARCH**

NIH policy requires instruction in responsible conduct of research by individuals supported by any NIH research training or career awards. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction.

Each annual progress report must include the following information about activities that took place during the past budget period:



- \* a description of the instruction in responsible conduct of research (RCR)
- \* a description of who received RCR instruction
- \* a description of any enhancements and/or modifications to the five instructional components described in the competing application or the previous year's progress report
- \* a list of names of faculty who contributed to formal instruction in RCR and the specific training they provided

More information is available in the NIH Guide Notice NOT-OD-10-019  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

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- **RESEARCH MISCONDUCT**

The regulations governing research misconduct require the grantee to submit an annual report (Form 6349) to the Office of Research Integrity (ORI) detailing aggregate information on allegations, inquiries, and investigations handled by the grantee in the previous year. ORI automatically sends this form to NIH grantees at the end of the calendar year. Any questions regarding misconduct issues may be addressed to the office below:

Robin Parker  
 Assurance Program Manager  
 Office of Research Integrity  
 Rockville, MD 20852  
 Phone # 240-453-8402  
 Fax # 301-594-0042  
[Robin.parker@hhs.gov](mailto:Robin.parker@hhs.gov)  
<http://ori.dhhs.gov/assurance/fis.shtml>

**AUDIT REQUIREMENT**

A foreign organization is required to have a non-Federal audit if:

\*It has expended a total of \$750,000 or more under one or more HHS award (as a direct grantee and/or under a consortium participant and at least one of those awards is an HHS grant).

If an audit is required, there are two options regarding the type of audit that will satisfy the audit requirements. The grantee may have EITHER:

(1) a financial-related audit (as defined in, and in accordance with, the Government Auditing Standards (commonly known as the <Yellow Book>), GPO stock 020-000- 00-265-4, of all the HHS awards

(2) an audit that meets the requirements of OMB Circular A-133.

The requirements for non-Federal audits of foreign organizations are specified in 2 CFR 200 which incorporates the thresholds and deadlines of OMB Circular A-133.

The Government Auditing Standards are available electronically at <http://www.gao.gov/govaud/ybk01.htm>. Audits must be completed and submitted to the following office within 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period, i.e., the end of the organizations fiscal year, whichever is earlier. The address is:

National External Audit Review Center  
 HHS Office of Audit Services  
 1100 Walnut Street, Suite 850  
 Kansas City, MO 64106-2197  
 800-732-0679/816-426-7725

**FUTURE NONCOMPETING PROGRESS REPORTS- MANDATORY USE OF THE RPPR**

The National Institutes of Health (NIH) requires grantees to submit all type 5 progress

reports using the Research Performance Progress Report (RPPR) module in eRA Commons. Annual progress reports submitted in any format other than the RPPR will not be processed by the NIH and will require resubmission through the RPPR. Additional information and resources on the RPPR, including the current RPPR Instruction Guide and training archives, can be found at: <http://grants.nih.gov/grants/rppr/>. Additional information can be found at NOT-OD-15-014: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-014.html>.

### **FIC RPPR Supplemental Instructions**

All Fogarty grant recipients must refer to the Progress Report Guidance on the FIC website for additional guidance and instructions on information that is required to be reported on the RPPR for Fogarty grant awards. Please refer to the Guidance for the appropriate grant activity type. All FIC supplemental RPPR guidance can be found at: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>.

### **UNIFORM GRANT GUIDANCE AND REVISED NIH GRANTS POLICY STATEMENT**

Per Notice Number [NOT-OD-15-046](#), the Department of Health and Human Services published an interim rule adapting OMB's final Uniform Grant Guidance in 2 CFR part 200 with certain amendments, based on existing HHS regulations, to supplement the guidance as needed for the Department effective December 26, 2014. Per [NOT-OD-19-021](#) a revised NIH Grants Policy Statement was published; the revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2018. Links to the revised Grants Policy Statement and a document summarizing the significant changes that were implemented are provided in the Notice. Highlighted below are some select items of costs of particular note to FIC grant recipients:

- **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, tuition and related fees, and subawards in excess of \$25,000. These funds are paid to support the costs of compliance with federal requirements. This applies to direct foreign awards and foreign subawards.
- **F&A for Career/Fellowship/Training Awards:** NIH and FIC continue to provide F&A costs under research training, some education grants, and Career (K) awards will be funded at a rate of 8 percent of modified total direct costs, exclusive of tuition and fees, health insurance (when awarded as part of tuition and fees), equipment, and consortiums in excess of \$25,000, consistent with existing policy.
- **Value Added Tax:** Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. However, for many countries an exemption of this tax for research exists. Consequently, requesting this cost should be unallowable for research grants involving such countries as a performance site.
- **Visa Costs:** Visa costs may be allowable when identified in specific FOAs or when within the scope of an approved research project. Generally, allowable **direct cost** as part of recruiting costs on an NIH grant, as long as the institution has an employee/employer relationship with the individual.

### **DISCONTINUATION OF ESCALATION**

In accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-12-036, inflationary increases for future year commitments will be discontinued for all competing and non-competing grant awards issued in FY2012 and beyond: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-036.html>. Adjustments for special needs (such as equipment and added personnel) will continue to be accommodated. Built-in escalation must be re-budgeted.

### **RESTRICTION AGAINST MEETING/CONFERENCE SUPPORT FOR PERSONNEL**

As stated in the FOA, Support for senior/key personnel, faculty and collaborators to attend other scientific meetings and conferences is **not allowed**.

**RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

**RESTRICTION AGAINST HONORARIA**

In accordance with the NIH Grants Policy Statement, honoraria are not allowed when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker’s fee is allowable.

**NEW GRANT CLOSEOUT REQUIREMENTS**

Effective October 1, 2014, NIH closeout policy has changed (see [NOT-OD-14-084](#) and [NOT-OD-15-065](#)). If the grants closeout process is not completed **WITHIN 180 days of the project period end date** (the expiration date of a grant, which will be **AFTER** any approved no-cost extension periods), new HHS policy stipulates that the NIH must initiate unilateral closeout (i.e. Closeout without the receipt of acceptable final reports). Unilateral closeout may include unilateral financial closeout using the last recorded cash drawdown level in the Payment Management System. If the grantee submits a final expenditure FFR but has not reconciled any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH is required to close the award at the lower amount. (This could be considered a debt or result in disallowed costs.) **\*\*\*This means your institution may lose and have to repay to the Federal Government, any funds associated with the un-reconciled costs.\*\*\***

In order to avoid unilateral closeout, final reports must be submitted in a timely manner. In addition to unilateral closeout, failure to submit accurate final reports could result in enforcement actions such as corrective actions, removal of authorities on active grants, and/or delay or withholding of future awards.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** ABC1234567

**INSTITUTION:** UNIVERSITY OF XYZ

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$35,450	\$35,450	\$35,450	\$35,450	\$35,450
Fringe Benefits	\$13,293	\$13,293	\$13,293	\$13,293	\$13,293
Personnel Costs (Subtotal)	\$48,743	\$48,743	\$48,743	\$48,743	\$48,743
Materials & Supplies	\$960	\$960	\$960	\$960	\$960
Travel	\$4,250	\$4,250	\$4,250	\$4,250	\$4,250
Other	\$42,713	\$59,935	\$64,619	\$59,965	\$51,314
Subawards/Consortium/Contractual Costs	\$183,333	\$166,111	\$161,427	\$166,080	\$174,732
TOTAL FEDERAL DC	\$279,999	\$279,999	\$279,999	\$279,998	\$279,999
TOTAL FEDERAL F&A	\$9,333	\$8,311	\$8,486	\$8,113	\$7,821
TOTAL COST	\$289,332	\$288,310	\$288,485	\$288,111	\$287,820

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	\$116,666	\$103,888	\$106,072	\$101,418	\$97,767
F&A Costs 1	\$9,333	\$8,311	\$8,486	\$8,113	\$7,821