Research Administration Practices (RAP) Sessions

Understanding the Notice of Award (NOA)

October 13, 2021

Jamie Goldberg, Team Manager, Grant & Contract Administration, RAS
Kara DeNutte, Senior Financial Officer, Kavli Institute for Astrophysics & Space Research
Carole Trainor, Sr Research Education and Support Specialist, VPR
RAP Sessions: Targeted skills based educational offerings open to the Research Administration community at MIT. Information gathered and shared with attendees can be taken back to their desks and applied immediately.

• Introductions
• What is a Notice of Award (NOA)?
• Printing the NOA from KC
• Key Elements for DLC Review
• RAS Resources
• Questions/Help
Introductions

Jamie Goldberg, Team Manager, Grant & Contract Administration, RAS

Kara DeNuttte, Senior Financial Officer, Kavli Institute for Astrophysics & Space Research
What is a Notice of Award?

Formal notification from the sponsor that an award is offered in response to an application submitted by MIT/RAS.

How is a Notice of Award received?

• Email directly from the Sponsor to RAS CA/Liaison
• Email to RAS awards for processing (creating a ticket in OST.MIT.EDU for processing)
• Email directly from the Sponsor to the PI
• U.S. Mail, sponsor portal, etc.

RAS Data Services Team (DST) creates a Parent (Level 1) award in KC and an Award ID is assigned. The KC award in a temporary Hold status until review and compliance requirements are met.
When must the PI sign an NOA?

Negative Confirmation
(Signature Is Not Required)

- Awards (grants, cooperative agreements, and contracts) with standard terms and conditions
- “No signature needed” statement included with a reminder that expenditure of funds signifies acceptance of the terms and conditions.

Positive Confirmation
(Signature Is Required)

- Awards (grants, cooperative agreements, and contracts) with terms and conditions of the award sensitive items in awards which might require written acceptance by the PI/AO
- "Signature required" statement will be included which signals the investigator and the administrative officer to carefully review the terms and conditions of the award and to sign and return the notice of award to the RAS contract officer.
Sensitive items which might require written acceptance

- Cost sharing
- Underrecovery of F&A
- Incorporation of SOW other than that in the proposal
- Letter contract definitization
- Inspection
- Nondisclosure agreement/proprietary data
- Fixed price delivery
- Title to equipment to sponsor
- Unusual prior approvals or funding limitations
- Publication reviews
- Unusual reporting and delivery schedules
- Technical direction
- Withholding of payment (other than standard)
- Invoicing responsibilities of DLC
- Funding reductions
- Stop work orders
- Early termination

Whether signature is or is not required, there is still the necessity to understand and comply with terms and conditions of awards.

RAS contract administrators are happy to meet with principal investigators and administrative officers to clarify the terms and conditions of any specific award.

RAS Confirmation on NOA
 KC Award Search & Authorizations

**KC > Search for Award > Award ID**

Search by **Account ID** (7 digit SAP account), **Award ID** (KC assigned), **Lead Unit**, **Sponsor**, etc. **Actions** are based on authentication assigned by your Primary Financial Authorizer in the MIT Roles Database. A person with **View Award KC** authorizations can view awards in any unit. Users need the **View Shared Award Documents KC** role to view shared attachments (EDS).

<table>
<thead>
<tr>
<th>Actions</th>
<th>Award ID</th>
<th>Sponsor Award ID</th>
<th>Lead Unit ID</th>
<th>Lead Unit</th>
<th>Account ID</th>
<th>Award Status</th>
<th>Award Title</th>
<th>Sponsor ID</th>
<th>Sponsor Name</th>
<th>Investigator</th>
<th>OSP Administrator</th>
<th>Obligated Amount</th>
<th>Anticipated Total Amount</th>
</tr>
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<tbody>
<tr>
<td>open copy medusa EDS</td>
<td>8370-001</td>
<td>8370-001</td>
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<td>NSF</td>
<td>Evans, Matthew J</td>
<td>Goldberg, Jamie</td>
</tr>
</tbody>
</table>
The KC Award Number in the Parent and Child awards have the same first six digits or root followed by a suffix (####00001) that increments by one for each level is the hierarchy. Search by **Award ID** and use the 6-digit root followed by the wild card * to retrieve the Parent and all Child/Grandchild awards.

<table>
<thead>
<tr>
<th>Actions</th>
<th>Award ID</th>
<th>Sponsor Award ID</th>
<th>Lead Unit ID</th>
<th>Lead Unit</th>
<th>Account ID</th>
<th>Status</th>
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<td>OAC-1934700</td>
<td>159900</td>
<td>Laboratory for Nuclear Science</td>
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<td>Collaborative Research: Advancing Science with Accelerated Machine Lea...</td>
<td>000500</td>
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<td>McGearry, Katie M</td>
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<td>McGearry, Katie M</td>
<td>23,000.00</td>
<td>23,000.00</td>
</tr>
</tbody>
</table>

Child awards may be created for Fabricated Equipment, funded Cost Sharing, accounts with different F&A rates or managed different DLCS.
Printing the NOA from KC

Print the Notice of Award (NOA) from the KC Award Actions tab. The NOA prints information in the KC award to one, easy to read PDF document.

Click
Show

Print
Key NOA Elements for Review

- Status
- Award Number, Account Number, and Sponsor Award Number
- Investigator(s), Lead Unit
- Sponsor / Prime Sponsor Name
- Instrument Type: Contract, Grant, Cooperative Agreement
- Period of Performance
- Award Anticipated/Obligated Total
- Commitments (Rates, Cost Sharing, Pre-Award)
- Payment Methods / Invoice Instructions
- Reporting
- Terms and Conditions of the Award
- Award attachments, including Agreement and Modifications
- Use of Interest Income
- Sponsor Contacts
NOA lists the Status of the award. If the award is on Hold, a prominent alert displays.

**Active:** Award is billable. A fully executed award document or modification has been received for the award period entered. Any KC updates to this award will feed to SAP.

**Pending:** Award setup is not complete. Not yet billable – used for 90-day pre award cost or extension pending. Any KC updates to this award will feed to SAP.

**Hold:** Being reviewed for various compliance/regulatory reasons (i.e., COI disclosure or training is required). No billing allowed. Awards in **Hold** status are not fed to SAP.

**Restricted-No Postings:** The account is active but closed to all revenue and expense activity. Updates in KC and SAP will not apply unless the status is changed to Active.

**Terminated:** The award has expired. Used only for Consortia Members.

**Closed:** File is complete, all reports submitted and received.
The NOA Hold Notice provides details on Compliance requirements causing the award to remain in the **Hold** status. For example, if **Animal Use** or **Human Subjects** protocol approval is still **Pending**, the award will be on Hold. If the PI/Co-I has not completed their financial **Conflict of Interest (COI) Disclosure** or required **CITI COI training**, the award will be on Hold until complete.
If Compliance requirements such as Conflict of Interest (COI) disclosure, COI Training, Animal Use or Human Subject protocols, have not been completed, the PI and/or Lead Unit will be contacted directly.

The MIT Conflict of Interest Officer contacts the PI/Co-I with instructions for completing a full COI disclosure in MIT’s My COI tool and information on the required COI training program in CITI.
Once all pre-award requirements are complete and the award can be made Active, the following information from KC Award is fed to SAP:

<table>
<thead>
<tr>
<th>KC Award</th>
<th>SAP</th>
</tr>
</thead>
<tbody>
<tr>
<td>WBS Element</td>
<td>Account ID</td>
</tr>
<tr>
<td>Lead Unit</td>
<td>Profit Center</td>
</tr>
<tr>
<td>PI/PD</td>
<td>Supervisor</td>
</tr>
<tr>
<td>Unit Administrator: ADMINISTRATIVE OFFICER or OTHER _INDIVIDUAL_TO_NOTIFY</td>
<td>Addresssee* (\text{*limit to one addresssee; receives SAP 001s})</td>
</tr>
<tr>
<td>Unrecovered F&amp;A Rate</td>
<td>Costing Sheet</td>
</tr>
<tr>
<td>On/Off Campus</td>
<td>OH Adjustments</td>
</tr>
<tr>
<td>Award ID</td>
<td>Award Number</td>
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<tr>
<td>Sponsor ID</td>
<td>Sponsor code</td>
</tr>
<tr>
<td>Prime Sponsor code</td>
<td>Primary Sponsor</td>
</tr>
<tr>
<td>Sponsor Award Number</td>
<td>Contract number</td>
</tr>
<tr>
<td>Award Type</td>
<td>Agreement Type</td>
</tr>
<tr>
<td>Effective Date</td>
<td>WBS Begin Date</td>
</tr>
<tr>
<td>Obligated Distributable Amount</td>
<td>Authorized Total</td>
</tr>
<tr>
<td>Obligated End Date</td>
<td>WBS expiration date</td>
</tr>
</tbody>
</table>
Award Number, Account Number, and Sponsor Award Number

Award Number – KC assigned; a KC Award may have a hierarchy with a Level 1 parent (#######-00001) and Level 2+ child awards.

Account Number – 7-digit SAP account number.

(Sponsor) Award Number – Used to access award information on sponsor portals. Sponsor award number number may indicate a Primary Sponsor as well as the Instrument Type (Grant, Cooperative Agreement, or Contract)
Investigator(s), Lead Unit, and Title

Lead Unit/Profit Center determines Administrative Officer, and Other Individual to Notify (if applicable), as well Roles Database authorizations based on Profit Center.
Sponsor / Prime Sponsor

Sponsor – providing funding directly to MIT.
(Sponsor) Award Number – may indicate that MIT is a Subcontractor; Industrial sponsors may include a PO (purchase order).

Prime Sponsor (if applicable) – search for “Prime Sponsor”; may be listed under Flow Thru emphasizing Terms of the Prime flow down to MIT as a subawardee.

Prime Award Number (if applicable) – Award number for agreement with MIT’s Sponsor.

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Notice Of Award

Massachusetts Institute of Technology

Account Number: 6935503
Award Number: 026464-00001
Status: Active

Investigator:
Bautz, Marshall W (PI)
Grant, Catherine E

Address:
37-241
37-551

Unit:
159000 Kavli Inst for Astrophysics and Space Rerh (LU)
159000 Kavli Inst for Astrophysics and Space Rerh

Sponsor:
007070 - Pennsylvania State University

Award Number:
5586-MIT-NASA-B07G

Modification Number: 9

Execution Date:
03/02/2017

NSF Code:

Title of Project:

Flow Thru:

Prime Sponsor:
000400 - NASA - Washington (USE FOR PROPOSALS ONLY)

Prime Award Number:
NNX17AB07G

Research Administration Practices (RAP) Sessions
**Effective Date**: date shown on the original award document (If there is a Pre-Award, the date in the Pre-Award Effective Date field supersedes the date entered in this Effective Date field).

**Final Expiration Date**: Expiration date of current funded period plus anticipated unfunded periods, including possible option years.

**Total Anticipated Award**: Sponsor funding anticipated for the entire project – current obligation plus anticipated incremental funding and future year funding, including possible option years.

**Effective Date of Current Obligation**: Effective date of current funding period.

**Expiration Date of Current Obligation**: End date of current funding period.

**Total Amount Obligated**: In KC, *Obligated Distributable Amount* feeds to SAP as *Authorized Total*. Sponsor funding provided to date under the award. Does not include cost share.
**Type of Award: Grant, Cooperative Agreement, Contract**

<table>
<thead>
<tr>
<th>Type of Activity:</th>
<th>Organized Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Award:</td>
<td>Grant</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type of Activity:</th>
<th>Organized Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Award:</td>
<td>Contract</td>
</tr>
</tbody>
</table>

**Grant:** The principal purpose is the transfer of money, property, services, or anything of value to the recipient in order to accomplish a public purpose of support. There is no substantial involvement anticipated between the governmental agency and the recipient during performance of the activity.

**Cooperative Agreement:** A financial assistance agreement (grant) used when substantial sponsor involvement is anticipated during performance of the project.
Type of Award: Grant, Cooperative Agreement, Contract

Contract: The principal purpose of the agreement is for the government to acquire by purchase, lease, or barter, property or services for direct benefit and use of the federal government. There is substantial involvement between the governmental agency and the recipient during performance of the activity. Carefully review Terms for FAR (Federal Acquisition Regulation) clauses.

A contract can be:

- **Cost reimbursable**: Sponsor reimburses MIT for actual costs incurred on the project.

- **Fixed price**: A price established to complete the work and is not subject to change. Actual costs are expected to be reasonably close to the amount of the agreement.
  - If the costs exceed the fixed price, MIT is not reimbursed
  - If the costs are less than the fixed price, MIT retains the money
Type of Award

Grant
NIH Training Grant
Contract
Indefinite Delivery Contract
Cooperative Agreement
Facilities Agreement
Fellowship
Consortium Membership
Other Transaction Agreement
Student Financial Aid
Gift (rarely used; gifts generally credited to SAP internal orders)
Consortium Expenditures Membership
The **Terms** section of the NOA contains information on Equipment, Invention, Prior Approvals, Property, and any restrictions. This may include **Standard Agency Terms** with a url to access details on the RAS website. Note, **MIT Standard Terms** apply if sponsored agreement is silent. Terms may reference the agreement or other shared document uploaded to the **KC Award > Comments, Notes & Attachments** tab.

It is important to read the agreement for details that are not captured in the NOA or KC Terms.
If you have VIEW SHARED AWARD DOCUMENTS KC or VIEW ALL SHARED DOCUMENTS KC, you may access and view shared attachments such as the agreement, modifications, MIT-Sponsor communication and Internal approvals on the **Comments, Notes and Attachments** tab. These documents are electronically stored in the KC Award. Learn more about **Award Attachment Types**.
Comments in the NOA may include important details on Invoice Instructions, Fiscal Report, Indirect Cost, etc.
The **Reports** section of the NOA contains ALL reporting requirements including Frequency and Frequency Basis (i.e., Project End Date). Recipient contact information is also provided. Copy RAS on submission of report **(ospaward@mit.edu)**
Indirect Cost (Rates)

<table>
<thead>
<tr>
<th>Rate</th>
<th>Type</th>
<th>Year</th>
<th>Start Date</th>
<th>End Date</th>
<th>On Campus</th>
<th>UnderRecovery</th>
<th>Source</th>
<th>Destination</th>
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<tbody>
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<td>09/15/2008</td>
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<tr>
<td>68.00</td>
<td>RESMN</td>
<td>2010</td>
<td>07/01/2009</td>
<td></td>
<td>Yes</td>
<td>$0.00</td>
<td>000000</td>
<td>99999999</td>
</tr>
</tbody>
</table>

**Total:** $0.00

Indirect Cost Comments:

Fixed

Carefully review to ensure the correct overhead rates are applied through the lifecycle of the award. If the award includes Underrecovery, confirm Source and Destination accounts.
KC Payment Basis and Method

Most MIT awards are “Cost Reimbursement” basis – *Method of Payment* may vary.

<table>
<thead>
<tr>
<th>Payment:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basis of Payment:</td>
</tr>
<tr>
<td>Method of Payment:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Proposal Number: 19092494
DFAFS Number:    
CFDA Number:     43.001
Procurement Priority Code:

Research Administration Practices (RAP) Sessions
RAS creates WBS and establishes the **Payment Type/Billing Method** in the KC Award

**Methods of invoicing**
- **Cost Reimbursable**: Billing expenses that have occurred in the prior month(s)
- **Letter of Credit**: Draw down (used by many government sponsors)
- **Scheduled Billing** (i.e., Monthly, Quarterly, Annually) based on contract requirements rather than actual project costs. Per the agreement, some scheduled amounts may not be invoiced until your DLC meets certain milestone goals for the research you are conducting.

**Automatic payment method**
- No billing occurs, sponsor automatically sends funds to MIT based on a schedule agreed upon by RAS and credited directly to WBS

✧ VPF does not generate a cost reimbursable invoice or draw down our letter of credit until expenses post to the WBS

Learn more about Sponsored Billing: [https://vpf.mit.edu/sponsored-billing-procedures](https://vpf.mit.edu/sponsored-billing-procedures)
Some foundation award terms require that interest income on award payments be applied to the project.

**Use of Interest Income:** 1

The number “1” indicates that the Sponsor requires interest be applied to the project. Awards that require interest income are set up in 2-series or 6-series WBS parent accounts, based on the type of activity (prior to July 2018 they were set up as 3-series).

**Crediting interest income:** Interest income is credited to accounts that require Use of Interest Income. The DLC will see the interest when performing monthly/quarterly financial review and must inform the RAS Contract Administrator. RAS must increase the WBS Obligated and Anticipated Totals to reflect the addition of the interest income revenue.
Contact information may change during the life of an award. Review the Sponsor Contacts to ensure that the information is current. If you receive sponsor notification of a contact change, reach out to your CA and/or create an OST ticket to update the information in the KC award (Sponsor Contact information my be updated for all sponsor awards).
Notice of Award

Not just for Award Set Up!
Tool for effective management through lifecycle
Confirm that the KC NOA matches the sponsor agreement

Review and Monitor!

- Sponsor / Prime Sponsor
- Key Personnel, Units
- Award Type
- Period of Performance
- Anticipated/Obligated Total
- Rates, Cost Sharing, Underrecovery, Pre-Award
- Payment Methods / Invoice Instructions
- Reporting
- Terms and Conditions of the Award
- Agreement and Modifications
RAS Resources

KC Quick Reference Cards

• Introduction to Awards - Training Guide for All About Awards
• Medusa - Award Module Function
• Exporting Award Searching Results
• Viewing Award Hierarchy
• COI Requirements at Award Stage
• RAS Service Tracker (OST) Guidelines for DLC Users
• Account Setup for Awards
• Award Attachment Types
• Notice of Award
• Applicability of MIT F&A Rate Agreements Under "Fixed Rate" Requirements
• Standard Contract Terms and Conditions
• Federal Terms and Conditions
• Changes to Programs During the Life of an Award
• Key Personnel
• Limitations on Funds - Federal Contracts
• Monthly Reconciliation and Review
• Reporting Requirements
• OST III - Summary of Updates
Questions – Help

- **RAS Contract Administrator**
- **RA-Help@mit.edu**
- **Virtual Drop-In RA Support Zoom** (every Monday 1:00 – 2:00 pm except MIT holidays)
  Zoom - [https://mit.zoom.us/j/91518116791](https://mit.zoom.us/j/91518116791)