



# **NORTHEASTERN UNIVERSITY**

**OFFICE OF RESEARCH ADMINISTRATION**

**AGREEMENTS REVIEWED & APPROVED BY  
RESEARCH ADMINISTRATION**

**STANDARD OPERATING PROCEDURE  
(SOP)**

**Purpose:** This SOP describes the procedures for institutional review and approval of sponsored research agreements (extramurally funded) and research-related contracts (e.g., Non-Disclosure Agreements, Material Transfer Agreements, Data Use Agreements, etc.) with an extramural organization/entity.

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## To Request Institutional Review and Approval of Research Agreements:

Direct all requests to [ORAF@northeastern.edu](mailto:ORAF@northeastern.edu) and include the following information:

### For all agreements

1. PI and department administrator's contact information
2. Other party's contact information, including name, email address, and phone number
3. **Word.doc** of the proposed agreement (if it is not NU's standard template)
4. A brief narrative of why the other party's "X (data, material)" is needed for the research.\*
5. Any agreements that are "incorporated by reference" with this agreement or related information.

### AND

#### A. Funded Sponsored Research Agreements (SRAs)

1. ePAWS/Coeus record created/in-progress
2. Detailed (Internal) Budget
3. Research Plan
4. Billing Schedule
5. Reporting Schedule

#### B. Data Use Agreements (DUAs)

1. Are we providing or is the other party providing the data?
2. Data PII or PHI? If so, please provide IRB approval or HSDF.

#### C. Confidentiality/Non-Use Non-Disclosure Agreements (CDAs/NDAs)

1. Are we providing our confidential information?
2. Are they providing NU with their confidential information?
3. What is the purpose of the exchange:
  - a. Evaluate a funded research project or research collaboration
  - b. Evaluate the transfer of NU's intellectual property
  - c. Evaluate undertaking a services agreement
4. What is the scope/field of information to be disclosed?

#### D. Material Transfer Agreements (MTAs)

- a. What Material is being exchanged?
- b. By Whom?
- c. If Biological Materials is the other party a UBMTA signatory or willing to rely on the UMBTA Template?
- d. IRB/SCRO, IACUC, IBC approvals, as applicable

**Note:** Service Agreements, Purchase Service Agreements, Visiting Scholar Agreements, and other non-research related agreements are **not** reviewed/approved by RA; however, they can be sent to RA, which will record and forward to the Office of General Counsel. Please be sure to include the respective checklists. To learn more please contact your College’s gatekeeper. [<http://www.northeastern.edu/general-counsel/>].

**RA’s Internal Process:**

1. Research Administration receives requests to review and approve agreements\* by:
  - a. The PI or department administrator sends a request directly to [ORAF@northeastern.edu](mailto:ORAF@northeastern.edu) or the Grants Management Administrator (GMA) via email (**preferred**).
  - b. The PI or department administrator contacts a Grant Officer (GO) or Director with an agreement request. It is then forwarded to [ORAF@northeastern.edu](mailto:ORAF@northeastern.edu).

2. Once a request is received, Research Administration triages agreements by prime sponsor type:

- a. **Non-Profits/Government** – From Grant Officer to Director/CRI/OGC, and additional institutional offices as needed (eg. ITS, IRB, EAR/ITAR/OFAC). The agreement is tracked via the UPAF+ system, and receives a U log entry and tracking number:

Tracking #	UPAF Received	Lead PI	Department	College	Grant Officer	Transaction Type	Sponsor
U--171346	3/1/2017	Zhou, S	Chem	COS	SW	E - MTA	Tufts MC

- b. **For-Profits** – To Director/CRI/OGC, and additional institutional offices as needed (eg. ITS, IRB, EAR/ITAR/OFAC). The agreement is tracked via the Contracts System, and receives a C log entry and tracking number:

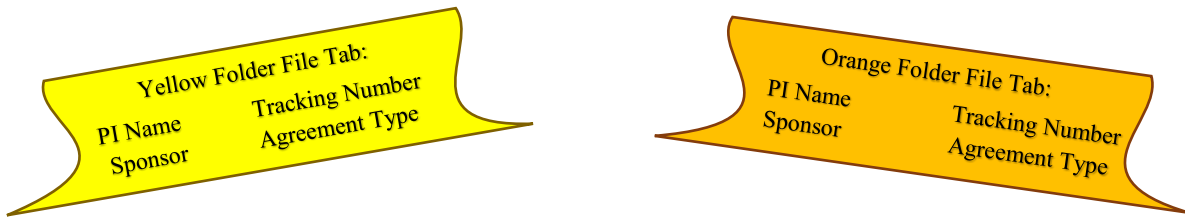
Tracking #	Date In	Lead PI	Department	College	Contract Officer	Action Type	Sponsor
C-170249	1/19/2017	Kriokov, D	Physics	COS	Dana Carroll	NDA	Huawei Tech

3. The GMA will issue a confirmation email to the PI and Department Administrator giving the tracking number for the agreement, and identifying who to contact in RA for additional information (see Appendix A for sample emails). If a draft agreement was included in the original request, the GMA will attach the draft to the email for reference.

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\* **NOTE:** Service agreements do not meet OMB’s functional definition of “organized research.” Service Agreements are contracts between for-profit entities and NU faculty for the procurement of goods or services; a distinguishing feature of a service agreement is that the Purchaser (the company) owns the data and results; NU acts as the Provider or Supplier. Because of potential tax implications, e.g., private business use, Service Agreements are processed via the Office of General Counsel > the Treasurer’s Office.

The GMA creates a **YELLOW** folder for draft agreements with non-profit entities, and an **ORANGE** folder for draft agreements with for-profit entities. The draft agreement (or an NU template copy) is included in the folder along with a printed copy of the initial request for an agreement. The GMA includes a completed intake form with the folder, and delivers the folder to the appropriate reviewer.



4. The GMA creates a Negotiation Record on Coeus, building the record from the existing proposal record for SRAs, and creating a new proposal record for all other types of agreements. The GMA records the NR number in the corresponding C log entry.

#### 5. RA + Institutional Partners' Reviews

RA reviews the draft agreement/contract and identifies terms & conditions that require an institutional partner to “green light” acceptance and coordinates with that office, for example:

- a. Intellectual Property = Center for Research Innovation
- b. Export Control = Research Compliance/OGC
- c. Indemnification/Jurisdiction/Venue/Choice of Law = Office of General Counsel
- d. Insurance = Risk Management Services
- e. Data Security = ITS
- f. Human Subjects, Data Protection PII/PHI = IRB
- g. Animals = IACUC
- h. BioSafety = IBC

**Terms RA typically reviews independently:** Publication, Confidentiality, miscellaneous and general terms.

**Terms RA typically reviews in conjunction with the PI:** Project Period, Payment and Report Schedule.

Reviewer provides regular status updates to GMA who notes those actions on the tracking log and updates the status.

#### 6. Agreement Log Out Process

- a. When the GMA receives the fully-signed agreement, it is scanned and emailed to the other party (if it was not yet sent by the Reviewer) with a copy to the faculty member who initiated the request and college/dept. administrator.



- b. The fully-executed agreement is uploaded to the Shared Drive (See Appendix B).
- c. The transaction is logged out of the respective tracking log.
- d. Additional RA Actions/Transactions:
  1. If the agreement is an SRA or modification with additional funds, the GMA begins an entry on the Award Obligation tracking log.
  2. If the agreement is an amendment or modification that does not involve the obligation or de-obligation of funds but involves an update to the Banner account (e.g., NCEs) the GMA requests a completed UPAF form from the Department Administrator to send to Research Finance.

## ROLES AND RESPONSIBILITIES

Task	PI	Dept/ College	RA	CRI	OGC
Email to <a href="mailto:ORAF@northeastern.edu">ORAF@northeastern.edu</a> re: request with other party's contact info and a brief statement re: research objective with requested documents, etc.	X	X*			
Assign tracking #, communicate POC			X		
Research Purpose/Plan	X				
Develop Budget	X	X*			
Funded agreements/modifications: route for Dept/College Approvals via ePAWS/Coeus	X				
Approve commitments & request for waivers		X			
Negotiation of Terms & Conditions <ul style="list-style-type: none"> <li>• General, including data, results &amp; publication, etc.</li> <li>• IP</li> <li>• Legal</li> </ul>		X	X	X	X
Institutional Approvals			X		
Deviation of NU standard T&C assumption of risk		X			
Read & Understood	X				
Distribution of fully-signed agreement			X		
<i>* if available</i>					

## Research Agreements SOP Quick Guide

1. Request to review a research agreement received by RA;
2. Tracking number is assigned (C for agreements with for-profits, U for agreements with non-profits):
3. An acknowledgement email is sent to PI and Department Administrator with tracking number and RA contact information:
4. Intake form and folder are created by GMA and delivered to Primary Reviewer;
5. Reviewer coordinates with institutional partners as necessary and conducts negotiation of terms & conditions with other party;
6. Upon execution, a fully-signed agreement is sent to other party, log out and uploaded to Shared Drive
7. If SRA or amendment/modification with additional funds, entered on Award Obligation Log. If NCE or other action requiring Banner Account changes, a UPAF form is initiated/ sent to Research Finance.



## APPENDIX A: EMAIL TEMPLATES

### CONFIRMATION EMAIL - FOR-PROFIT

Email Recipients:

To: PI

Cc: Department Admin(s), Director

Email Subject Line:

NO ACTION REQUIRED - C-170000 – Last, First name of PI – Sponsor – Agreement Type

Dear Professor [Name],

The Office of Research Administration (RA) has received a request to review a [Agreement Type] with [Sponsor]. The following reference number has been assigned to this agreement: [C Number]. This number should be used when communicating with RA in regards to this agreement.

There are approximately [#] agreements in the queue. We anticipate having RA's initial review completed within twenty (20) **business** days.

Should you have any questions or concerns, please contact Dana Carroll at [d.carroll@northeastern.edu](mailto:d.carroll@northeastern.edu) with a copy to [oraf@northeastern.edu](mailto:oraf@northeastern.edu).

Sincerely,

Office of Research Administration  
Tel 617-373-5600 Fax 617-373-4595  
[ORAF@northeastern.edu](mailto:ORAF@northeastern.edu)

### CONFIRMATION EMAIL - NON-PROFIT

Email Recipients:

To: PI

Cc: Department Admin(s), Director

Email Subject Line:

NO ACTION REQUIRED - U-170000 – Last, First name of PI – Sponsor – Agreement Type

Dear Professor [Name],

The Office of Research Administration (RA) has received a request to draft a [Agreement Type] with [Sponsor]. The following reference number has been assigned to this agreement: [U Number]. This number should be used when communicating with RA in regards to this agreement.

Please feel free to contact Eva Pasadas (cc'd here or at ext. 7269) or [ORAF@northeastern.edu](mailto:ORAF@northeastern.edu) if you have any questions or need additional information.

Sincerely,

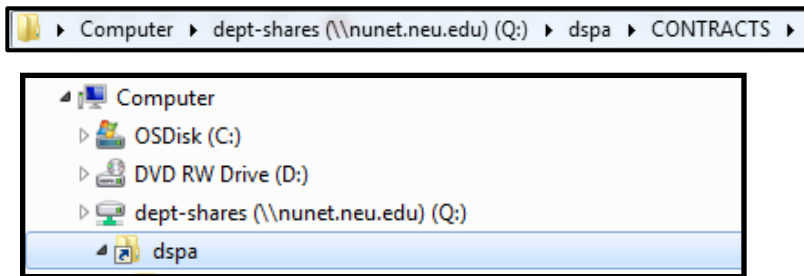


## APPENDIX B: FINAL AGREEMENT UPLOAD INSTRUCTIONS

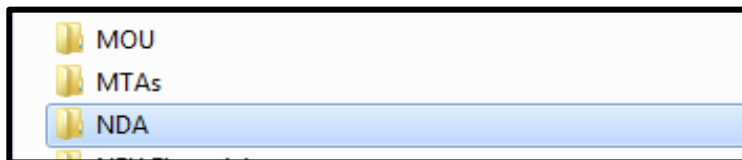
The fully-executed agreement should be saved with the following naming convention:

**Log # – PI – Sponsor – Agmt Type – FINAL - Date**

To save the agreement in the correct folder, first locate the folder “CONTRACTS” in the dspa:



Within the folder “Contracts”, locate the folder



corresponding to the agreement type: