The Care & Feeding
Of
A Sponsored Project

PI’s Guide to Award Management
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The Award Document

The award document will contain all the information necessary to successfully manage your new award. READ IT CAREFULLY. If any of the award information is incorrect or if you have questions regarding any of the award’s Terms & Conditions, please contact your Grant Officer for corrections and clarifications.

The award document will contain the types of information:

The PI or other Key Personnel (keep in mind that personnel listed on the award document are considered “key” i.e., responsible for the design, conduct, or reporting of the project, by the Sponsor and significant changes to their level of effort [reductions greater than 25%] or substitutions of other/new personnel will require Prior-Approval from the Sponsor). Generally only the PI should be listed on the award document. However, sponsors will sometimes list more than the PI; if the Key Personnel listed on the award document does not match the Key Personnel listed on the proposal, please inform your Grant Officer so that this can be corrected with the sponsor.

The amount of the award (both the currently funded increment and anticipated award total – if different), the start and end dates of the project period; if the award is incrementally-funded, the award document will indicate the term of the funded budget period.

The reporting requirements, when these reports are due, how they should be submitted (i.e., paper or electronic), where and to whom these reports need to be submitted. The PI is responsible for all programmatic/technical reports. Research Finance is responsible for all financial reports; however, the PI is responsible for ensuring that project spending reflects the project’s progress, i.e., expenses (including salary charges) are charged to the Banner fund account as they are incurred.

Any special Terms and Conditions appropriate to the project, as well as listing the overriding authority governing the sponsor (and the award) and the applicable guidance documents to be used in administering the award (for NU these documents would be OMB Circular A-110, OMB Circular A-21, and OMB Circular A-133). Often, NU’s federal awards are governed by a set of streamlined terms and conditions stemming from the
University’s participation in the FDP (Federal Demonstration Partnership) – which is a partnership between several colleges and universities and several federal agencies; the FDP is charged with developing, testing/piloting, and implementing less administratively burdensome practices which maximizes efficiency while maintaining compliance with all applicable federal regulations.

The sponsor’s programmatic and administrative contacts for the award, including names, telephone numbers, and e-mail addresses.
Roles & Responsibilities

The Principal Investigator is the primary individual in charge of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project. The Principal Investigator reports to a Chair, Unit Chief or Director (or other designated official) and is responsible for adequately communicating to his/her Department/Unit Head and Department Administrative Staff on all aspects of his/her sponsored programs portfolio.

ACCEPTANCE OF AWARD

Preaward
The Principal Investigator:

- Requests preaward spending accounts, if necessary, and submit to Dean/Department Head for authorization and approval. (Department Administrative Staff should be cognizant of the need/use for contingent accounts to minimize cost transfers and/or reallocations.)

The Principal Investigator:

- Approves the project work scope and communicates to Grant Officer in ORAF any changes necessary to the scope of work; the Grant Officer/ORAF will communicate as appropriate with the sponsor
- Modifies the project budget in line with the award budget provided by the sponsor in collaboration with College/Department Administrative Staff and the Office of Research Administration and Finance (ORAF)
- Notifies ORAF about the changes in project scope and budget
- Notifies the appropriate regulatory office if changes to project scope will affect approved protocols
- Obtains approvals if cost sharing becomes necessary

Acceptance of Award
The Principal Investigator reviews the internal Notice of Award (NOA) that stipulates the approved budget and the terms and conditions of the award, and further delegates to Departmental Administrative Staff the review of the NOA for accuracy.

CONDUCT AND MANAGEMENT OF THE PROJECT

General
Principal Investigators:

- Should reference the ORAF web site (http://www.NEU.edu/ORAF) or contact their Grant Officer to obtain information about rules and requirements governing sponsored funding; or other appropriate university offices regarding applicable University rules and procedures.
- Are responsible for knowing what actions require sponsor approval and for obtaining that approval with involvement from ORAF.

Conduct of the Research
The Principal Investigator is responsible for all actions required to manage and complete the scientific and programmatic aspects of the sponsored project.

- Initiates programmatic changes to the project and seeks approval from the sponsor (through ORAF) when required.
- Initiates the hiring or assignment process and approves the selection or appointment of individuals to the project, and is responsible for communicating staff changes to College/Departmental Administrative Staff.
- Ensures the integrity and safeguarding of notebooks and scientific data.
- Ensures the completion, accuracy and timeliness of interim programmatic (technical) reports.
- Initiates and requests subrecipient agreements prepared by ORAF.
- Ensures the quality, timeliness, and programmatic (technical) performance of subrecipients.
- If using or providing biological materials to or from another source, initiates a materials transfer agreement with John Counts, Associate Director of Contracts in ORAF.

Budget Management
The Principal Investigator retains primary responsibility for financial accountability.

- Initiates purchases and at the time expenditures are requested, determines the allowability and reasonableness of all expenditures, approves them, and provides scientific justification for the transaction, if necessary.
Initiates the process of documenting cost sharing and/or matching and for ensuring that cost sharing obligations are met, allowable and verifiable, including those by third party collaborators.

Initiates requests for rebudgeting as the sponsor requires.

Initiates cost transfer requests; when salary transfer requests are made these are based on reflected effort and not budget (per OMB Circular A-21).

Identifies and proposes a resolution of any account deficit.

Approves payments of subrecipient invoices and reviews invoices for appropriateness within progress of the work scope.

Uses ledger and/or departmentally-prepared reports for financial monitoring, identifies and resolves errors in the account in a timely manner, and certifies or documents a monthly review of ledgers. (contact Research Finance (ORAF) for assistance.)

If appropriate and required at budget period end, the Principal Investigator requests that remaining balances are carried forward.

Implementing a Small Business Plan (if required)
The Principal Investigator directs purchases that are consistent with the project budget and the approved Small Business Plan (if required).

- Interacts with Procurement Services staff regarding progress toward achievement of Small Business Plan goals and reviews periodic reports about goals.
- Provides an explanation when small business plan goals are not achieved.

Program Income
The Principal Investigator understands the definition of program income.

- Identifies all program income and notifies ORAF when program is identified.
- Initiates the processes and proposes the allocation of program income.
- Monitors receipt of program income.
- Reviews program income reported to the sponsor by Research Finance (ORAF).

Effort Reporting
The Principal Investigators sign and certify to all personnel action forms to ensure compliance with the effort reporting policy,

Inventions
The Principal Investigator adheres to the principles and policies outlined in the University’s Intellectual Property Policy and the Faculty Conflict of Interest Policy.

- Initiates the disclosure process and completes the Invention Disclosure Form in order to notify the Center for Research Innovation (CRI).
Assists in preparing patent applications.
Assists in the processing of copyright registration or other intellectual property protection.

AWARD CLOSEOUT

Project Closure
The Principal Investigator prepares the final programmatic (technical) narrative report, which may include contributions by subrecipients or collaborators.

- Reviews final financial statements or reports provided by ORAF or Departmental Administrative Staff in order for ORAF to submit financial status reports on a timely basis – see enclosed Close-Out Memo and Close-Out Procedures
- Provides information on other close out reports to ORAF (e.g. patents and equipment).
- Retains the scientific data in accordance with the University's Document Retention Policy.

Regulatory Compliance
The Principal Investigator is responsible for understanding and compliance with all institutional and sponsor policies, practices, and procedures.

- If a potentially significant conflict of interest situation exists, prepares a conflict of interest management plan and submits it to his/her supervisor and Dean.
- Is responsible for adhering to all educational and training requirements of the IRB and IACUC.
- Adheres to research subjects’ protocols and policies, and notifies the IRB if changes are made to protocols.
- Meets continuing IRB protocol review requirements and assists with inspections.
- Adheres to chemical, biological, physical and radiation safety requirements, and notifies the appropriate office if accidents occur.
- Adheres to the policies and procedures for using investigational new drugs and/or devices for clinical research.
- Is responsible for cooperating in the audit process, whether internal or external audit staff is involved.
- Is responsible for accounting of Patient Health Information (PHI) disclosures, as required by HIPAA.
Matrix of Roles

Pre-Award

- Identify funding opportunity
- Project Spending Plan
- Develop all aspects of the Proposal (including external sub-award materials)
- Identify Special Needs (i.e. space)
- Collect PI and Deans Signatures

Post-Award

- Approve Expenditures (excluding travel)
- Monitor & certify time and effort
- Liaise with Sponsor (Technical)
- Obtain sub-awards; Monitor sub-recipients; Approve sub-recipient invoices
- Initiate salary requests and changes
- Initiate journal vouchers
- Submit technical reports (progress and final) to sponsor

Principal Investigator

- Assist in Proposal Development
- Assist in grant and contract college administrative review
- Assist in collecting PI and Deans Signatures
- Work with PI to develop proposal budget

College Administration

- Review Adherence to Sponsor Guidelines/RFP
- Review Proposals and provide University sign off
- Ensure compliance with regulations
- Negotiate industry contracts (Confidentiality and Material Transfer Agreements)
- Negotiate and accept terms and conditions of awards
- Approve pre-award advance request
- Create Advance Accounts

Research Administration & Finance

- Assist in creating project spending plan
- Banner balance lookup
- Monitor Account balance/spending; Reconcile Accounts
- Maintain Pro-Card activity and receipts
- Assist in initiating journal vouchers
- Assist in processing salaries; Distributions & Hiring
- Assist in initiating/cancelling purchase orders on grants
- Assist with close outs

- Execute sub-awards; Sub-recipient Monitoring
- Liaise with Sponsor; (i.e. Submits no cost extensions, prior approval)
- Approves foreign travel
- Assign, Establish & Maintain University Fund/Index in Banner
- Cash Management/Collection: Invoices & Financial Reports
- Approve Journal Vouchers, Requisitions, Foreign travel and Reimbursements
- Financial Expenditure Compliance & Oversight; Audits
- Financial Close out of awards in Banner & with Sponsor
- Develop/Negotiate F&A & Fringe Benefit Rate
- Approve Salary Changes, Summer Salaries and Redistribution
- Time & Effort Reporting
Regulatory Compliance

The Principal Investigator is responsible for understanding and compliance with all institutional and sponsor policies, practices, and procedures.

Financial Conflict of Interest:

Federal regulations require a PI to disclose the existence of certain financial interests and require the institution to review and manage those disclosures, to determine whether any potential conflict of interest may exist, and establish a management plan to manage, reduce, or eliminate such conflicts. If you have a potential conflict of interest, it is incumbent on you to amend your institutional COI and to work with your Dean on a resolution. Your obligations are outlined in the faculty handbook located at this link:

http://www.northeastern.edu/facultyhandbook/pdfs/conflict-commitment-interest.pdf

In addition to the above requirements, PHS-funded faculty and staff must adhere to the new Public Health Service (PHS) Financial Conflict of Interest (FCOI) regulations which now include:

- Mandatory FCOI training for all investigators (NU’s training can be found at http://www.northeastern.edu/research/raf/fcoi/phs/investigator-training/)
- Real-time disclosure of FCOI and sponsored travel
- Transparency of any travel reimbursement or sponsored travel (excluding Federal/State)
- Significant Financial Interest (SFI) threshold reduced to $5,000 and now includes any equity in non-publically traded entities
- Public Accessibility of FCOI disclosures (website or email) for senior or key personnel
Export Control:

The University engages in research that may involve the development or use of products, goods, hardware, software, or materials that may be subject to US export control laws. The University’s policy on Openness in Research is an important element of the compliance with such regulations. However, there are certain items, information, technologies that are subject to export controls regardless of whether or not the research is freely publishable and unrestricted. The following resources are available to you to help you understand export control.

http://www.northeastern.edu/research/ExportControl/

Responsible Conduct of Research:

RCR has been defined as “the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research.” NEU adheres to professional practices that encompass scholarly and research integrity and promotes and endorses instruction in the responsible conduct of research. For more information on RCR please see:

http://www.northeastern.edu/research/rcr/

Human Subjects Research:

It is the policy of the University that no activity involving human subjects be undertaken until those activities have been reviewed and approved by the University’s IRB. All PI’s must take the required training before any such research commences.

http://www.northeastern.edu/research/research_integrity/human_subjects/

Animal Research:

All persons working with research animals are required to be enrolled with Laboratory Animal Medicine. This program is designed to inform participants on the possible risks and hazards of working with research animals as well as incorporating medical oversight of personal.

Researchers using live vertebrate animals as part of federally-funded research grants are required to include a Vertebrate Animal Section [VAS] in the grant application –
more information on preparing the VAS is included in this Manual. All procedures described in the VAS and performed at NU must be covered and described under an Animal Care and Use Protocol here at NU. Proof of IACUC approval [an approval letter provided by the IACUC] is typically required when a “Just In Time” request is sent to the PI. The IACUC is required by NIH Policy to confirm the animal procedures in the VAS are described in the NU animal protocol. This is done by the IACUC by comparing the VAS to the NU animal protocol. The IACUC also provides assistance in completing the VAS by providing standard information for parts of the VAS.

Please go to this website for more information:

http://www.northeastern.edu/research/animal_care/

**Environmental Health and Safety:**

The University is committed to providing a safe and healthful learning, teaching, and research environment. The role of the Office of Environmental Health and Safety is to protect faculty, staff, and students from exposure to hazardous materials, provide guidance to faculty and staff, to minimize or eliminate the potential for occupational injuries and illnesses, and to comply with state, federal, and local regulations. For more information, please visit:

http://www.ehs.neu.edu/
**Significant Financial Interest (SFI)** means a financial interest or income received or held by an Investigator, his or her spouse, or dependent children that reasonably appears to be related to the Investigator's institutional responsibilities.

**Financial Conflict of Interest (FCOI)** means a Significant Financial Interest that the Institution reasonably determines could directly and significantly affect the design, conduct, or reporting of research.

**An Investigator** is the principal investigator and any co-principal investigators for a research project. This includes, but is not limited to, the project director, principal investigator, or any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS, or proposed for such funding, which may include, for example, collaborators or consultants.

**Remuneration**: non-salary payments, i.e. consulting fees, honoraria, paid authorship

**Equity Interest**: stock, stock option, or other ownership interest

Examples of SFI that must be disclosed are:

1. Interest or income in or from a **publicly traded** entity where
   - the aggregate value of Remuneration and any equity interest exceeds $5000 (any remuneration received during the 12 month period preceding the disclosure; the value of any equity interests in the entity as of the date of disclosure)
   - the entity is sponsoring any of the Investigator's research;
2. Interest or income in or from a **non-publicly traded** entity where the aggregate value of remuneration exceeds $5000 (any remuneration received during the 12 month period preceding the disclosure) **or** when any equity Interests are held
3. Interest in the form of income related to intellectual property rights and interests paid by an entity other than Northeastern University
4. Travel related to Institutional responsibilities not reimbursed or sponsored by Northeastern University, including but not limited to travel sponsored by international universities, corporate sponsors, foundations e.g. American Cancer Society, American Heart Association, etc.
   - Travel disclosure must include at a minimum, the purpose of the trip, the identity of the organization or entity funding the travel, the destination, and the duration of the trip (usually days).
5. Phase II SBIR/STTR applications

**Significant Financial Interest** does NOT include:

1. Remuneration or Royalties paid by Northeastern University to the Investigator;
2. Remuneration from authorship of academic or scholarly works;
3. Remuneration and sponsored/reimbursed travel related to seminars, lectures, or teaching engagements sponsored by, or from advisory committees or review panels for, U.S. Federal, state, or local governmental agencies; U.S. institutes of higher education; U.S. research institutes affiliated with institutes of higher education, academic teaching hospitals, and medical centers;
4. Equity Interests in or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions for these vehicles.
5. Phase I SBIR/STTR applications
Investigators must disclose Significant Financial Interest (SFI)...

1. **Annually.** Investigators must disclose their Significant Financial Interests to Northeastern University on an annual basis via COEUS, and must disclose certain information with respect to conflicts of commitment and interest as prescribed in the Faculty Handbook.

2. **Proposal-related Disclosures.** Prior to submitting a proposal for funding, the Principal Investigators identified in the proposal and, if requested by the Institutional Official or the Designated Official, other Investigators associated with the proposal must disclose whether the Investigator's Significant Financial Interests may be related by the proposal. If there is a potential relationship, the Investigator must file a full disclosure with additional information regarding the relationship of the project to the Related Company prior to submission of the proposal to the sponsor.

3. **Ad hoc Disclosures.**
   1. An Investigator must disclose via COEUS on an ad hoc basis any new Significant Financial Interest within 30 days following the date on which the Significant Financial Interest is acquired or arises. This 30 day requirement is specific to the PHS regulations.
   2. An Investigator must disclose COEUS on an ad hoc basis his or her Significant Financial Interests prior to the Investigator commencing participation in an existing research project.

Investigator Training is required...

- Prior to engaging in research related to any PHS-funded grant and at least every four years
- Immediately when any of the following circumstances apply:
  - The Institution revises its financial conflict of interest policies or procedures in any manner that affects the requirements of PHS funded Investigators;
  - A PHS funded Investigator is new to an Institution; or
  - An Institution finds that a PHS funded Investigator is not in compliance with the Institutions financial conflict of interest policy or management plan.

Institutions must develop and implement a management plan if FCOI is identified in PHS funded research

- Management plan must include specific actions that will be taken to eliminate or manage the Financial Conflict of Interest so as to mitigate the effect of the bias.
- If the Financial Conflict of Interest arises during the term of the award, Institutions must notify PHS of the FCOI and management plan within 60 days following the Investigator's disclosure of the Significant Financial Interest.
- If an Institution failed to manage an FCOI or a researcher failed to comply with a management plan, a retrospective review must be conducted to determine if bias existed during the period of non-compliance. If bias is identified, Institutions must notify PHS promptly and submit a mitigation report. The mitigation report must include, at a minimum:
  - The elements documented in the retrospective review
  - A description of the impact of the bias on the research; and
  - The Institutions plan of action or the actions taken to eliminate or mitigate the effect of the bias (e.g., extent of harm done, including any qualitative and quantitative data to support any actual or future harm; etc.).
Human Subject Q & A

Are you conducting research with human subjects, such as clinical testing, surveys, human tissue studies, etc.?

If you are, be aware that Title 45 Code of Federal Regulations Part 46.102(f) defines a "human subject" as a living individual about whom an investigator obtains:

1. data through intervention or interaction with the individual, (such as, interviews, surveys, clinical testing, or any other physical intervention or personal interaction), or,
2. identifiable private information.

Legal requirements to protect human subjects apply to a broader range of research than many investigators realize. Protections are required for research that uses:

- Bodily materials, such as cells, blood or urine, tissues, organs, hair or nail clippings, even if you did not collect these materials.
- Residual diagnostic specimens, including specimens obtained for routine patient care that would have been discarded if not used for research.
- Private information, such as medical information that can be readily identified with individuals, even if the information was not specifically collected for the study in question. Research on cell lines or DNA samples that can be associated with individuals fall into this category.

What research requires review by the Northeastern University Institutional Review Board (NU IRB)?

All research involving human subjects, as described above, that is conducted by faculty, staff or students of Northeastern University, whether conducted on-campus or off-campus, requires review. Research that uses any NU property or non-public information to identify or contact prospective subjects must be reviewed and approved prior to recruiting participants or collecting data. Approval by NU is required in addition to approval from any other institution.

My research is not federally funded. Do the federal regulations governing research still apply to it?

Yes. Northeastern University has elected to apply the protections of the federal regulations (45 CFR 46) to all of our human subject research regardless of its source of support, or lack thereof.
What are the training requirements for conducting human subject research with funding from the National Institutes of Health (NIH)?

All Northeastern University investigators seeking funding from NIH must satisfy the NIH training requirement before an approved study may be initiated. The NIH Office of Extramural Research web-based tutorial "Protecting Human Research Participants" <http://phrp.nihtraining.com> satisfies the human subjects training requirement for obtaining Federal Funds.

**Investigators must include a copy of the certificate of completion for this web-based tutorial with their protocol submissions.**

How do I get approval for my research?

Read the Policies and Procedures Concerning the Protection of Human Subjects and the application forms to understand your responsibilities as an investigator. These may be found on the web site: http://www.research.neu.edu/facts_rates_forms_policies/policies/documents/humansubjectspolicymanual.pdf. Once you have submitted your application, a review will be conducted to ensure that your study has documented procedures in place, in accordance with federal guidelines, that provide adequate protection for each study subject.

How long does it take to get approval?

Investigators are responsible for allowing a minimum of four weeks for the review process. (This means that you should apply **at least** one month before your anticipated start date.) The NU IRB meets monthly to review protocols. Depending upon the nature of the research, some studies may be reviewed and approved independently by the Chair of the NU IRB. Other studies may require review by the full committee.

May I make changes to the protocol after it has been approved?

Modifications to the approved protocol or informed consent may be submitted in writing to the NU IRB. **Written approval must be received prior to instituting any change(s).**

How long is the approval valid?

Federal regulations stipulate that approved research requires **continuing NU IRB review** at least once a year. It is the responsibility of the investigator to request renewed approval, allowing sufficient time for review. If the renewal process is not completed by the expiration date, the project loses approval and the study cannot continue.
For more information, please contact:

Nan Clark Regina, Director, Human Subject Research Protection
Tel. 617-373-4588, Fax. 617-373-4595, n.regina@neu.edu

Web Site References:

NU IRB information
http://www.research.neu.edu/research_integrity/human_subjects/review_board/

NIH human subject research training
http://phrp.nihtraining.com

Office for Human Research Protection
http://www.hhs.gov/ohrp/

Office of Research Integrity (Federal Government)
http://ori.dhhs.gov/
Preparing the Vertebrate Animal Section (VAS)

What is the VAS?
The VAS is the section of grant applications, contract proposals, and cooperative agreements where you describe the use of animals in your work. There are 5 points you must address.

Which studies require a VAS?
You must provide a VAS if your work involves the use of live vertebrate animals, including generating custom antibodies and obtaining tissue from live vertebrate animals.

What if there is more than one performance site?
You need to complete all 5 points of the VAS for each performance site.

What information should be provided in the VAS?

- **POINT 1**
  Description of animals and how they will be used
  In detail, describe the proposed use of animals for the study. Identify the species, strains, ages, sex, and number of animals.
  **Have you included?**
  - Concise description of the proposed work using animals
  - Procedures (e.g., injections, blood collection)
  - Surgical procedures, including anesthetic regimes, monitoring, and recovery
  - Species, strains, ages, sex
  - Number of animals

- **POINT 2**
  Justifications for use of animals
  Justify the use of animals, the choice of species, and the numbers of animals. Provide rationale for use of animals in short supply, that are costly, or in large numbers.
  **Have you justified?**
  - Use of animals and why alternatives cannot be used
  - Choice of species
  - Number of animals and how determined

- **POINT 3**
  Veterinary care
  Provide information on the veterinary care of the animals.
  **Have you provided?**
  - Brief account of veterinary staff and their availability for routine and emergency care
  - How often animals are observed or monitored
  - Any additional monitoring or support that may be required (e.g., post-procedural, post-surgical care)
  - Indicators for veterinary intervention to alleviate discomfort, distress, or pain (e.g., body scoring, weighing)

- **POINT 4**
  Provisions to minimize discomfort, distress, pain, and injury
  Describe the procedures to minimize discomfort, distress, pain, and injury to that which is unavoidable in the conduct of scientifically sound research. Describe use of analgesics, anesthetics, tranquilizing drugs, and comfortable restraining devices/methods, where appropriate, to minimize discomfort, distress, pain, and injury.
  **Have you described?**
  - Circumstances when animals may experience discomfort, distress, pain or injury
  - Procedures to alleviate discomfort, distress, pain or injury
  - Use of tranquilizers, analgesics and anesthetics (identify drugs by name/class)
  - Provisions for special care or housing
  - Plans for post-surgical care, if applicable
  - Humane experimental endpoints, if relevant
  - Use of restraint devices/methods, if relevant

- **POINT 5**
  Euthanasia
  Describe any method of euthanasia and the reason(s) for selecting it. State if the method(s) is consistent with the recommendations of the [AVMA Guidelines on Euthanasia](http://grants.nih.gov/grants/olaw/VASchecklist.pdf). If not, include a scientific justification for not following the recommendations.
  **Have you indicated?**
  - Method(s) of euthanasia and reason(s) for selection
  - If the method(s) of euthanasia is consistent with the recommendations of the [AVMA Guidelines on Euthanasia](http://grants.nih.gov/grants/olaw/VASchecklist.pdf)
  - Scientific justification for the method(s) of euthanasia that is not consistent with the recommendations of the [AVMA Guidelines on Euthanasia](http://grants.nih.gov/grants/olaw/VASchecklist.pdf)
CRI: “Innovation as a Catalyst, Entrepreneurship as a Mindset”

The newly-created Center for Research Innovation is growing a University-wide ecosystem to support and foster innovation and entrepreneurship among students, faculty and alumni at Northeastern University. "Innovation as a Catalyst, Entrepreneurship as a Mindset," is the vision that inspires CRI, and drives our mission for ongoing collaboration resulting in venture start-ups and commercialization of research opportunities.

The CRI helps accelerate Northeastern faculty's entrepreneurial successes by:

- Informing research with corporate context and market needs
- Increasing entrepreneurial acumen, innovation and visibility
- Providing a highly service-oriented technology transfer operation with commercialization-friendly policies and procedures
- Leading funding programs to accelerate translation of innovations to market
- Offering business development services for product launch and business growth

It all begins with your ideas.

Contact CRI:

Center for Research Innovation
Northeastern University
900 Renaissance Park
360 Huntington Avenue
Boston, MA 02115

Telephone: 617-373-8810
Fax: 617.373.8866
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Director of Commercialization (Life Sciences)
617-373-4009

Resources:

CRI Website – http://www.northeastern.edu/cri/


Invention Disclosure Form – http://www.northeastern.edu/cri/submit-invention-disclosure-form
**Project Management Tips**

The project budget must match the award amount; if awarded amount is different from proposed amount – a revised budget and Scope/Statement of Work is needed (even if only used internally). Keep in mind that the science proposed cannot be done for a reduced award amount.

The more detailed the budget, the more information it can provide to help keep track of spending (see included Budget Allocation Sheet); however, changes to this detailed budget will need to be tracked by the department; changes to individual account codes are not done in Banner.

In contrast, Significant Rebudgeting (categorical changes of 25% or greater) will need sponsor approval.

At the start of the project, determine who will be working on the project and at what level of effort. With this information, be sure to process all appropriate paperwork with HR, Payroll, and ORAF as necessary. If this new project affects the personnel of other projects, remember to process any change requests.

This information feeds the Effort Certification process so being accurate is essential. Also – keep in mind that our Effort Certification Reports are generated by Payroll; if any grant personnel are expending effort on a grant project and this effort (or all of the effort) is not being charged to the grant, the effort will need to be tracked manually.

It’s good practice to “mentally subtract” salaries, corresponding fringe benefits and F&A costs for the entire project year and remove these amounts from the award amount – or use a spreadsheet for each grant award which is maintained by the department and/or lab. Presently, the University’s financial system cannot encumber salaries; however, you need to separate these recurring costs from the rest of the budget using whatever tools work best for you and your unit.

The resulting balance is the funds available to finance the other costs of the project.
Charge expenses to grant as they occur; if recurring costs need to be allocated to the project budget, do this on a regular basis (at least monthly).

Subaward invoices (if applicable) need to be reviewed and approved for payment. Is the subawardee working towards completing the Scope of Work, are you receiving the required deliverables, etc.

Keep in mind that invoicing or drawdowns are tied to spending.

Use the expenditures to gauge progress: is the project spending too quickly (will you be out of funds before the next increment) or too slowly (will the sponsor think that little/no progress is being made)

Actual expenses should be compared to budgeted expenses at least monthly to ensure:

- Expenditures are reflective of actual work performed and the rate at which funds are being expended ("burn rate") is appropriate;
- You have not spent more in total funds on the project than was awarded;
- Total expenditures for any cost category have not been exceeded if restricted on the notice of grant award.

No Cost Extensions (NCEs): while having funds available cannot be the justification for a no-cost extension, the rate of expenditures can provide valuable information regarding the status of the project and be the basis of thinking about the need to request a no-cost extension or the development of an accelerated spending plan.

Points to Consider:

- The Recipient of the award is the University, not the individual;
- NU does not directly receive the money at the time of award; we must either invoice or drawdown the funds after we spend;
- Only Grant/Contract Officers can approve and/or make changes to an award;
- Only Authorized Institutional Officials can request any changes to an award;
- The Project Budget should accurately reflect the true costs associated with the research project;
• The Project Budget needs to be in line with the goals, objectives, and description of the research project;

• The Project Budget should be the basis for managing the project expenditures
Requesting Banner Access:

Banner Access is not automatically granted, it must be requested. Please work with your Departmental Administrator to complete the Banner Finance Access Request Forms. They can be found on the Budget Office website.

http://www.northeastern.edu/budget/links.html
**BUDGET ALLOCATION**

**GRANT CODE:** G00003XXX
**INDEX:** SXXXXX
**ORG:** XXXXXX

**HEADING:** LAST, FIRST

<table>
<thead>
<tr>
<th>ACCT CODE</th>
<th>DESCRIPTION</th>
<th>Previous Banner Totals</th>
<th>Current Award</th>
<th>Total Banner Amount</th>
</tr>
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<tbody>
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<tr>
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<td>SALARY - FACULTY OFF CONTRACT</td>
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<td>SALARY - PART TIME FACULTY</td>
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<td>TRAVEL-AIRFARE</td>
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<td>73030</td>
<td>TRAVEL - MISCELLANEOUS</td>
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<td>74517</td>
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<td>78001</td>
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<th>Total Banner Amount</th>
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<tr>
<td>TOTAL COSTS</td>
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<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

*Please note the account codes listed above are not an inclusive list of all account codes in Banner, these are the most commonly used for research. A comprehensive list is available on the Banner Finance Help Page.*
FYI – for data security reasons, the examples used in the queries do not match the grant chosen in the previous search on the page

Index/Fund Code Naming/Numbering Conventions
- Index Description (Title)
  - Funding agency/Award # or Corp/PI name
- Numbering convention examples
  - 500xxx = HHS
  - 501xxx = NSF
  - 506xxx = Corporate
  - 59xxxx – pass-through, subcontract
- For full list of fund ranges, see hierarchy report
  - FGRFNDH in e~Print

How do I know the project end date?
- FZR090 e~Print report contains project end date
  - (grant version of the FZR0090)
That tells you when the 90 day clock starts ticking

Fund terminated? Why?
- Your 90 day closeout period is over, the termination date is current
  - Banner will not allow you to create a Req
  - Banner will not allow A/P to process an invoice
- Feeds will still go through
- OK, now what?
  - If charge is legitimate for the grant & there are funds, contact Research Finance

Overspent Grants?
Did you obtain additional funding?
If yes, did you submit a request to ORAF?
- No – submit it (requires written approval by funding agency)
- Yes, check to see if it was processed
  - FZR0091 for detailed transactions,
  - FZR090 for summary
If no additional funding, go to next step:
Deficits in research budgets must be covered by:
- PI overhead funds (3xxxx)
- PI departmental or college OH return funds
- Operating Funds (200000)
Consult the Professional Standards & Business Conduct Policy Manual
http://www.northeastern.edu/neuhome/adminlinks/prostand.pdf

How to avoid problems?
- Monitor your grants regularly
- Submit modifications in a timely manner
- Stop spending when grant ends
For additional information please visit the Banner Finance Help Page – for training, processing IV’s etc.

Robin Murphy – Associate Director Research Finance
Please note that the Grant information used in this example contains descriptive and expenditure data from multiple awards.

---

**Account Code** | **Account Code Title** | **Adopted Budget** | **Adjusted Budget** | **Current Period** | **Inception %** | **Commitments** | **Available Balance**
--- | --- | --- | --- | --- | --- | --- | ---
55429 | Research Gift/Grants Contracts | 0.00 | 0.00 | 3,626.77 | 156,034.35 | 0.00 | -156,034.35
61010 | Salary-Faculty | 16,000.00 | 16,000.00 | 37,273.00 | 18,000.00 | -20,649.00
61011 | Salary-Faculty Off Contract | 16,624.00 | 16,624.00 | 37,273.00 | -20,649.00
61040 | Salary-Part-Time Faculty | 27,347.00 | 27,347.00 | -18,495.00
61050 | Salary-Teaching Assistant | 26,550.00 | 26,550.00 | 2,278.74 | 45,045.00 | -18,495.00
61130 | Fringe Benefits | 13,179.00 | 13,179.00 | 174.32 | 13,119.40 | 59.60
61430 | Benefits | 13,179.00 | 13,179.00 | 174.32 | 13,119.40 | 59.60
73021 | Travel-Airfare | 2,200.00 | 2,200.00 | 396.40 | 1,503.60
73027 | Travel-Lodging | 665.28 | -565.28
73026 | Travel-Meals | 157.48 | -97.48
73030 | Travel-Miscellaneous | 23.95 | 23.95
73040 | Laboratory Supplies | 4,263.00 | 4,263.00 | 181.56 | 4,081.44
73420 | Printing | 300.00 | 300.00 | 300.00
73820 | Maintenance-Lab Equipment | 3,114.00 | 3,100.00 | -6,114.00
79925 | Indirect Costs | 60,739.00 | 60,739.00 | 1,373.71 | 56,012.28 | 4,726.72
79926 | Indirect Costs | 60,739.00 | 60,739.00 | 1,373.71 | 56,012.28 | 4,726.72
TOTALS FOR ORGN CODE: 123456 Effective + Industrial Engineering
--- | --- | --- | --- | --- | --- | --- | ---
TOTAL Revenues | 0.00 | 0.00 | 0.00 | 0.00 | -156,034.35
Total Salaries and Benefits | 101,700.00 | 101,700.00 | 2,453.06 | 59,437.40 | 0.00 | 6,262.60
Total Direct Expenses | 6,763.00 | 6,763.00 | 0.00 | 4,584.67 | 3,159.72 | -881.39
TOTAL Expense, Transfers, Fund Add/Cd | 165,202.00 | 165,202.00 | 3,826.77 | 156,034.35 | 3,159.72 | 10,107.91

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Northeastern University Proprietary and Confidential
This notice will be sent out to the PI approximately 60 days prior to the award end date.

Date: April 30, 2011

To:

From: The Office of Research Administration and Finance

Our records indicate that the following research grant or contract for which you are the Principal Investigator will end on June 30, 2011.

Sponsor:
Title:

Banner Index Number: 5_____
Banner Fund Number: 5_____
Grant Code Number: G_______

Please notify Financial Analyst at x ____ --------@neu.edu, of any anticipated extension or renewal of the award.

Otherwise, please review the attached procedures carefully. All items listed must be addressed to ensure the successful closeout of your project. The completed checklist must be returned to our office no later than 10 days prior to your award end date.

Research Finance
GRANT CLOSEOUT PROCEDURES
(Please print and include in your award folder)

ORAF Financial Analyst: Mark Chisholm

Banner Info:

<table>
<thead>
<tr>
<th>Index</th>
<th>Index Description (Title)</th>
<th>Fund Code</th>
<th>Organization Code</th>
<th>Program Code</th>
<th>Grant Code</th>
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<td>501810</td>
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<td>501810</td>
<td>132350</td>
<td>2010</td>
<td>G00003205</td>
</tr>
</tbody>
</table>

Award End Date: July 31, 2011
Award Amount: $141,515.00

According to our records the above listed award is ending in 60 days, and we are not aware of any pending time extension request. Please review the applicable items listed below and respond via email to your Financial Analyst, so our office may begin the closeout process.

Please notify the ORAF Financial Analyst above via email if the following apply:

Formal Time Extension and/or Additional Funding Pending YES ☐ NO ☐

If YES, please email your Financial Analyst any documentation that supports an extension, additional funding, or a request for such so that we do not terminate this account. If NO, please complete the rest of this form, and return to Research Finance 10 days prior to the award end date. This award will be closed out.

CLOSEOUT CHECKLIST: All reoccurring items must be stopped or redirected from the award by the end date to ensure timely closure. Review the typical categories below and check off when the task, if applicable, is complete.

☐ Salary & Labor Distribution:
  Stop Charging - All Salary/Effort charged to this cost center must be moved off by the award end date. Review and correct any changes as necessary. PDC forms can be found on the HR/Payroll website for use in moving/correcting salary distributions. Please attach the PDC(s) (can be future dated):
  http://www.northeastern.edu/hrm/pdfs/HRPayroll/PDC%20Form%20Combined%20FINAL.pdf

☐ Student employees – contact Student Employment to terminate/re-assign employment if necessary
  https://studentemployment.neu.edu/JobX_Home.aspx

☐ Procurement Card: YES ☐ NO ☐
  YES, Research Finance will contact Accounts Payable to cancel the Procurement Card.

☐ Copy Cards/Codes: YES ☐ NO ☐
  YES, YOU must contact Reprographics to terminate all copy cards and copy codes associated with this cost center.

☐ Animal Charges: Please stop all reoccurring animal charges against this award.

☐ Final Purchases/Encumbrances:
  Submit and approve any remaining invoices and follow-up on any that have not arrived in a timely manner.
  Review outstanding encumbrances on the award. Liquidate/cancel any?? encumbrances, refer to the Purchasing website for instruction:
  http://www.northeastern.edu/purchasing/pdfs/liquidation.pdf

☐ Correct Expenditure Type for equipment purchases: Review expenditure type for all equipment purchases, account codes 73001-73012. Items costing less than $1,500 must be coded as non-capital purchases. https://myfiles.neu.edu/webapps/bannerfinance/forms-Accounting.html

☐ Final Review of Expenses: Review the award terms & conditions and ensure that all expenses should be charged to this award and if not, transfer the expenses to a non-sponsored program cost center. https://myfiles.neu.edu/webapps/bannerfinance/forms-Accounting.html

☐ Cost sharing: Any committed cost sharing must be expended by the time the project ends.

☐ Sub-awards: Please remind each of your subrecipients to submit a final invoice (inserting FINAL at the top), final reports, and final invention statement within 45 days after subaward end date. Please notify Dan Gilbert via email d.gilbert@neu.edu that these requirements have been met.

Northeastern University is required by most federal sponsors and many private sponsors to submit final financial closeout reports within 90 days after the award end date (some agencies may require early submission.) Please assist the Office of Research Administration and Finance to fulfill Northeastern University’s obligation to our sponsor.

Additional Information can be found on the Office of Research Administration and Finance website.
http://www.northeastern.edu/research/sponsored_project_administration/
COMMONLY USED ACRONYMS RESEARCH ADMINISTRATION

AALAC: American Association for Accreditation of Laboratory Animal Care
ACO: Administrative Contracting Officer
AFOSR: Air Force Office of Scientific Research
ARO: Army Research Office
BAA: Broad Agency Announcement
CBD: Commerce Business Daily
CDC: Center for Disease Control and Prevention
CFDA: Catalog of Federal Domestic Assistance
CFR: Code of Federal Regulations
CO: Contracting Officer
COGR: Council on Governmental Relations
CPSR: Contractor Procurement/Property System Review
CRADA: Cooperative Research and Development Agreement
DARPA: Defense Advanced Research Projects Agency
DC: Direct Costs
DCAA: Defense Contract Audit Agency
DEAR: Department of Energy Acquisition Regulations
DED: Department of Education
DFAR: Defense Federal Acquisition Regulations
DHHS: Department of Health and Human Services
DOD: Department of Defense
DOE: Department of Energy
EDGAR: Education Department General Administration Regulations
EPA: Environmental Protection Agency
F&A: Facilities and Administrative Costs (formerly indirect costs or overhead)
FAR: Federal Acquisition Regulations
FDP: Federal Demonstration Partnership
FEDIX: On-line federal database serving most federal agencies for on-line searches
FIPSE: Fund for the Improvement of Postsecondary Education
FOIA: Freedom of Information Act
GPG: Grant Proposal Guide (NSF)
GSA: General Services Administration
IACUC: Institutional Animal Care and Use Committee
IBC: Institutional Biosafety Committee
IDC: Indirect Costs (Now Facilities and Administrative Costs)
IR&D: Independent Research and Development
IRB: Institutional Review Board (for human subject’s research)
MTDC: Modified Total Direct Costs
NASA: National Aeronautics and Space Administration
NCE: No Cost Extension
NCURA: National Council of University Research Administrators
NGA: Notice of Grant Award
NIH: National Institute of Health
NIST: National Institute of Standards and Technology
NSF: National Science Foundation
NSF/STIS: An on-line search system of the National Science Foundation
OMB: Office of Management and Budget
ONR: Office of Naval Research
ORI: Office of Research Integrity
ORPA: Office of Research and Project Administration
OSHA: Occupational Safety and Health Administration
OSI: Office of Scientific Integrity
OSTP: Office of Science and Technology Policy
OTT: Office of Technology Transfer
PA: Program Announcement
PHS: Public Health Service
RDNA: Recombinant DNA Research
RFA: Request for Applications
RFP: Request for Proposal
RFQ: Request for Quotation
SBA: Small Business Administration
TDC: Total Direct Costs
UBIT: Unrelated Business Income Tax
USDA: United States Department of Agriculture