

RESEARCH ADMINISTRATION STANDARD OPERATING PROCEDURES (SOPs)

- Award Obligation Setup (AOS)
- University Prior Approval Form (UPAF)
- Agreements Reviewed & Approved by RA



AWARD OBLIGATION SETUP (AOS) SOP

AWARD OBLIGATION SETUP SOP

- All newly obligated award funds require institutional review and approval; acceptance of an award occurs only after the fund setup and backup is completed by Research Administration.
- Award setup is a multi-step process, requiring cooperation from multiple offices and departments within the University.
- The Award SOP outlines the process by which Research Administration (RA) reviews and approves each obligation received by the University.

When a Notice of Award is received directly by the Department or the PI, it should be forwarded to ORAF@northeastern.edu for execution and setup.

AWARD SOP: SETUP CYCLE FOR NEW OBLIGATION

1. Notice of Award (NOA) with newly obligated funds is received
2. Tracking number assigned
3. A congratulatory email is sent to PI with tracking number, requesting new budget and pertinent documentation, as applicable
4. AIR Account is created
5. Award Obligation Setup (AOS) form is created and backup compilation begins
6. Award Package (AP) Three-Step Review takes place: GMA → GO → DIRECTOR
7. GMA receives approved AP and sends to Research Finance (RF)
8. AP uploaded to COEUS and Shared Drive
9. Award is setup and the status in tracking sheet is changed to complete

AWARD SOP: ITEMS TO CONSIDER

Items to consider when setting up new obligations:

- Award Terms and Conditions
- Reporting requirements
- Prior approval requirements
- Is the University committing cost sharing funds?
- Is a revised budget required?
- If award amount is cut, does it affect the scope of work?
- Are subawards/subcontract/consultants included?
- Compliance checks (IRB, IACUC, IBC, Export Controls, FCOI, COI, RCR, etc.)

AWARD OBLIGATION SETUP (AOS) FORM

The Award Obligation Setup Form is used to process an obligation received from a funding agency.

NU Office of Research Administration **AWARD OBLIGATION SETUP**

Award Overview

PI: [] Dept Admin: [] Institute Proposal (IP) #: [] Award Type: []

PI ID: [] Funding Agency: [] Banner Grant #: [] OMB Function Program Type: []

Dept: [] Prime Funding Agency: [] FAIN #: [] Activity: []

College: [] Funding Agency Award #: [] CFDA #: [] **Total Project Award Period:** Start: [] End: []

Org Code: []

Title: []

The AOS form captures a significant amount of information necessary for award maintenance by the University.

The information from the AOS form is:

- Used for data entry by RA and RF in to University systems of record (Coeus and Banner)
- Provided to senior leadership for the purpose of projections (e.g. indirect cost recovery, cost sharing commitments)
- Used to track the NU Contribution to research


UNIVERSITY PRIOR APPROVAL FORM (UPAF) SOP

UNIVERSITY PRIOR APPROVAL FORM (UPAF) SOP

- During the life of a sponsored program, it may be necessary to complete certain transactions which require review and prior approval from the University or, per the terms and conditions of the award notice, prior approval from the funding agency.
- The University Prior Approval Form (UPAF) is used to document requests and approval related to these transactions during the life of a sponsored project.
- Generally, the UPAF is initiated by the College/Department in conjunction with the Principal Investigator of a particular sponsored program.

Northeastern University - Office of Research Administration UPAF - University Prior Approval Form
*For actions requiring prior approval (Advance Account, Rebudgeting, Carryover or No-Cost Extension Authorization)
or for other matters related to your sponsored activity that require review and approval.*

Complete and obtain signatures* then submit scanned form via e-mail to ORAF@northeastern.edu. In your e-mail please be sure to attach/upload **all documentation** required. If approval by the funding agency is required, please include a draft letter, addressed to the agency contact, in a Word .doc file.

NU Grant Code G0000 Fund #:  Coeus IP #: ORAF Log #

Date Prepared by Dept: **Required Information: Please Complete this Section for All Requests**

(A) Advance Account (B) Rebudget (C) Carryover (D) No-Cost Extension (E) Agreements & Miscellaneous Matters

Principal Investigator: PI ID #: Dept Admin: Org Code:

Title of Project:

Funding Agency: Project Period: Start: End:

Agency Award #: Budget Period: Start: End:

Prime Funding Agency:

Does this action involve: IRB/Human Subjects HIPAA/Privacy SCRO/Stem Cells IACUC/Animals IBC/BioSafety/BioHazards FCOI

UPAF SOP: UPAF REQUIRED FIELDS

- All applicable fields in the “Required Information” section must be filled out for each transactions. If information is applicable but not provided, form will be returned for corrections.
- The **Grant Code, Fund #, Request Type, Principal Investigator, PI ID #, Dept. Admin, Org Code, Title of Project, Funding Agency, Agency Award #, and Project/Budget Dates** are required/applicable to **all** transactions.

Northeastern University - Office of Research Administration UPAF - University Prior Approval Form
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or for other matters related to your sponsored activity that require review and approval.*

Complete and obtain signatures* then submit scanned form via e-mail to ORAF@northeastern.edu. In your e-mail please be sure to attach/upload **all documentation** required. If approval by the funding agency is required, please include a draft letter, addressed to the agency contact, in a Word .doc file.

NU Grant Code G0000 Fund #: ORAF Use Coeus IP #: ORAF Log #

Date Prepared by Dept: **Required Information: Please Complete this Section for All Requests**

(A) Advance Account (B) Rebudget (C) Carryover (D) No-Cost Extension (E) Agreements & Miscellaneous Matters

Principal Investigator: PI ID #: Dept Admin: Org Code:

Title of Project:

Funding Agency: Project Period: Start: End:

Agency Award #: Budget Period: Start: End:

Prime Funding Agency:

Does this action involve: IRB/Human Subjects HIPAA/Privacy SCRO/Stem Cells IACUC/Animals IBC/BioSafety/BioHazards FCOI

UPAF SOP: TRANSACTIONS REQUIRING UPAF

Transaction	Required Information from PI/Dept. <i>(Note: Requirements may vary by sponsor)</i>
Department Initiated Advance Account	<ul style="list-style-type: none"> • Agency correspondence indicating the sponsor's intent to fund the project • Preliminary budget for the amount of the advance account request • A scientific justification/detailed statement explaining the need for pre-award expenditures • If applicable, copies of current IRB, IACUC, IBC approval • Department Account # backing the request
Rebudgeting	<ul style="list-style-type: none"> • Scientific justification/detailed statement of how the requested rebudgeting action is necessary to support the activity of this grant • Explanation of why there are funds available to rebudget among categories • Revised budget
Carryover Unobligated Funds	<ul style="list-style-type: none"> • Explanation for the unobligated balance • Scientific justification for the carryover request • Revised budget for the requested carryforward amount

UPAF SOP: TRANSACTIONS REQUIRING UPAF

Transaction	Required Information from PI/Dept. <i>(Note: Requirements may vary by sponsor)</i>
No-Cost Extension	<ul style="list-style-type: none">• Requested End Date• Estimated unobligated balance• Scientific Justification for the NCE• If applicable, copies of IRB, IACUC, IBC approval covering the NCE period• Explanation of any reduction in levels of commitment during NCE for PI and any Key Personnel identified in NoA
Agreements & Miscellaneous Matters	<ul style="list-style-type: none">• Identify the type of agreement/action needed• Describe why the agreement/action is needed• Attach all corresponding/supporting documents• For agreements requiring execution, attach copies in Word .doc files• Provide contact information for cooperating parties

If request requires funding agency approval, best practice is to draft the request on University letterhead, addressed to the agency contact. This letter should be submitted as a Word .doc file with the UPAF.

All UPAF requests should be submitted directly to ORAF@northeastern.edu with a cc: to your Grant Officer.

UPAF SOP: SETUP CYCLE FOR TRANSACTION

1. A UPAF, notification, and/or unsigned agreement is received by RA
2. A tracking number is assigned and sent to the GO
3. If applicable, the GMA sends an acknowledgement email to the PI with the tracking number
4. Yellow folder is created for the UPAF transaction
5. A Two-Step Review takes place: GO → Director
6. If necessary, request is submitted to Sponsor for approval
7. The GMA receives the signed/completed UPAF and/or agreement. If necessary, the GMA sends the UPAF and backup to Research Finance
8. The GMA updates COEUS and uploads documents to Coeus and the Shared Drive
9. The UPAF log entry is updated and closed out

**AGREEMENTS REVIEWED &
APPROVED BY RA SOP**

AGREEMENTS SOP

RA is responsible for institutional review and approval of Sponsored Research Agreements (extramurally funded) and research-related contracts such as:

- Confidentiality/Non-Disclosure Agreements (CDAs/NDAs)
- Material Transfer Agreements (MTAs)
- Data Use Agreements (DUAs)

To request institutional review and approval of research agreements direct all requests to ORAF@northeastern.edu.

AGREEMENTS SOP: INFORMATION REQUIRED FOR REQUEST

Agreement Type	Required Information from PI/Dept.
All Agreements	<ul style="list-style-type: none">• PI and Department Administrator's contact information.• Other party's contact information, including name, email address, and phone number.• Word.doc of the proposed agreement (if it is not NU's standard template).• A brief narrative of why the other party's "X (data material)" is needed for the research.• Any agreements that are "incorporated by reference" with this agreement or related information.
AND	
Funded Sponsored Research Agreements (SRAs)	<ul style="list-style-type: none">• ePAWS/Coeus record created/in-progress• Detailed (Internal) Budget• Research Plan• Billing Schedule• Reporting Schedule
Data Use Agreements (DUAs)	<ul style="list-style-type: none">• Are we providing or is the other party providing the data?• Data PII or PHI? If so, please provide IRB approval or HSDF.

AGREEMENTS SOP: INFORMATION REQUIRED FOR REQUEST

Agreement Type	Required Information from PI/Dept.
Confidentiality/ Non-Use Non-Disclosure Agreements (CDAs/NDAs)	<ul style="list-style-type: none">• Are we providing our confidential information?• Are they providing NU with their confidential information?• What is the purpose of the exchange?<ul style="list-style-type: none">• Evaluate a funded research project or research collaboration• Evaluate the transfer of NU's intellectual property• Evaluate undertaking an academic services project• What is the scope/field of information to be disclosed?
Material Transfer Agreements (MTAs)	<ul style="list-style-type: none">• What material is being exchanged?• By whom?• If biological materials, is the other party a UBMTA signatory or willing to rely on the UMBTA template?• IRB, IACUC, IBC approvals, as applicable

AGREEMENTS SOP: REVIEW PARTNERS

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

Topic	Institutional Partner
Intellectual Property	Center for Research Innovation
Export Control	Research Compliance/ Office of General Counsel
Indemnification, Jurisdiction, Venue, Choice of Law	Office of General Counsel
Insurance	Risk Management Services
Data Security	ITS
Data Protection PII/PHI	IRB
Animals	IACUC
BioSafety	IBC

AGREEMENTS SOP: ROLES AND RESPONSIBILITIES

Task	PI	Dept./ College	RA	CRI	OGC
Email to ORAF@northeastern.edu 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					
a. General, including data, results & publications, etc.		X	X		
b. IP				X	
c. Legal					X
Institutional Approvals			X		
Deviation of NU standard T&C assumption of risk		X			
Read & Understood	X				
Distribution of fully-signed agreement			X		

* If available

AGREEMENTS SOP: SET UP CYCLE FOR AGREEMENTS

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.

AGREEMENTS SOP: SERVICE AGREEMENTS

- Service Agreements do not meet OMB's function 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.
- 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 process through to Office of General Counsel.
- Because of potential tax implications (e.g. private business use) Service Agreements are processed via the Office of General Counsel > Treasurer's Office.

To learn more about Service Agreements at NU please contact your College's gatekeeper.

