| Form Section | Things to Consider | Materials and Information Required | Signatures |
|---|---|---|---|
| **Advance/At-RiskAccounts:**<br><br>Pre-award Spending<br><br>Administratively Initiated Requests (AIR) | **Advance/At-Risk**: Colleges may request at-risk fund accounts while an award is being negotiated but should be aware that expenditures incurred may not be allowed, dependent upon the final terms and conditions. Any unallowable expenditures will need to be transferred to a department/College account.<br><br>**Pre-award Spending** Before submission:<br>• Confirm the funding agency terms permit pre-award costs.<br>• Ensure that either:<br>   o the advance account start date is less than 90 days prior to the start date of the anticipated award (for federal awards); OR<br>   o complies with funding agency guidelines; OR<br>   o has been approved, in writing, by the funding agency.<br>• Ensure required approvals are on file (i.e. – IRB / IACUC).<br><br>**AIR:** are initiated by RA upon receipt of a notice of award, while the compliance checks are being completed. *Colleges should not check this box.* | 1. Funding agency's intent to fund the project.<br>2. Preliminary budget.<br>3. Scope of Work.<br>4. Copies of IRB/IACUC/IBC approvals, as applicable.<br>5. Department account number. *<br><br><br>*Department account number not needed for AIR. | Chair: YES<br>PI: YES |
| **Carryover** | Only submit a Transaction Form when the funding agency requires prior approval to carryover funds from one budget period to the next.<br><br>If you aren't sure if funding agency prior approval is required for carryover, please contact the GO prior to submitting the request. | 1. Explanation for the unobligated balance.<br>2. Justification for use of the carryover.<br>3. Revised budget reflecting the anticipated carryover total. | Chair: NO<br>PI: YES |
| **Rebudgeting** | **Change in scope:** confirm with the PI whether the rebudget constitutes a change in the project's scope. If there is a change to the project's scope, please provide a description of the change with the rebudget request.<br><br>**Funding agency approval:** If you aren't sure if your rebudget needs funding agency prior approval, contact the GO prior to submitting the request. | 1. Detailed statement justifying how the rebudget request is necessary to support the work.<br>2. Explanation of available funds to rebudget.<br>3. If applicable, a description of the change in scope and a detailed justification. | Chair: NO<br>PI: YES |
| **No-Cost Extension (NCE)** | Before submission:<br>• Confirm if unobligated funds remain.<br>• Confirm approval of applicable compliance components during the NCE period (e.g. fCOI, IRB, IACUC).<br>• Confirm the level/changes in effort for all key personnel.<br><br>If the effort of any key personnel (i.e. PI, co-Investigator, etc.) will change in the NCE period, please document the changes in the comments section. | 1. Detailed justification for the NCE.<br>2. Current approvals (i.e. IRB, IACUC), as applicable, covering the NCE period.<br>3. Estimate of the unobligated balance. If funds are insufficient to support personnel, provide the level of effort and corresponding cost-share. | Chair: YES<br>PI: YES |
| | | | |

| | | | |
|---|---|---|---|
| **Change in PI Status, Change in PI or Dept/Org Code** | **Funding agency prior approval** is ordinarily required for a change in PI and may require notification of a PI's change in status. Please consult the GO prior to routing the request.<br><br>Changes in ORG typically do not need funding agency approval. | 1. Changes in a PI's status and/or a changing of the PI requires the approval of both PIs indicating their concurrence with the change.<br>2. Change in ORG requires the approval of both chairs to indicate their approval of the change. | Chair: YES<br>PI: YES<br><br>The second PI/Chair may approve in an email. |
| **Other Action: Other** | Please provide a description of requested action, either in the drop down box or the comment box. | Please note for all "other" transaction type listed here, ORA reserves the right to require chair approval if the circumstances require it. | Chair: NO<br>PI: YES |
| **Other Action: Project Changes Requiring Agency Approval** | Changes that may require prior approval include, but are not limited to: change in scope; change in effort; change in personnel; addition/removal of subrecipient; addition of a foreign component, etc. | 1. Relevant documents documenting the project changes for review and submission by RA. | Chair: NO<br>PI: YES |
| **Other: Export Control Review** | Please complete when:<br><br>1. A Technology Control Plan (TCP) is required for a project; and/or<br>2. If the college would like to confirm that a planned exchanged with a foreign country will not violate export control requirements; and/or<br>3. NU faculty/students will have access to export controlled information or materials on or off campus. | 1. A description of what information/ materials will be exchanged (include ECCN if known) and with whom. | Chair: NO<br>PI: YES |
| **Other: Relinquishing/ Transferring Award** | When awards are being transferred to another institution from NU.<br><br>Note: Awards being transferred to (i.e. to NU from another institution) should be treated as a new proposal. | **Relinquishing an award:**<br>1. Relinquishing statement.<br>2. Final reports.<br>3. Any other related documents that require review and submission by RA.<br>**Transferring an Award to NU:**<br>1. Application via ePAWS. | YES |
| **Helpful Tips for Completing the Transaction Form** | Please use the checkboxes to identify changes to the following compliance approvals:<br><br>• **FCOI:** Check if action requires a new Financial Conflict of Interest (FCOI) review (i.e. PI change or additional Investigators).<br>• **IRB/HSDF:** Check if action adds or amends an IRB approval or there are changes in the use of human subjects on the project that may require a HSDF review.<br>• **IACUC/IBC/DURC/SCRO/sUAS:** Check if action adds or amends any of the applicable approvals.<br><br>If there is no change in scope and the approval on file is active, it is likely there is no change. **When in doubt, ask!**<br><br>Identify any subawards that may be impacted by the request. | | |
| <td colspan="3" align="center">**Actions Not Requiring Signatures**</td> | | | |
| **JIT/Post Proposal** | Please send JIT requests via email to NU-RES@northeastern.edu | 1. Copy of funding agency's request for additional and/or revised materials.<br>2. Copy of Department/PI response to the request.<br>3. Documentation to be submitted to the funding agency. | Chair: NO<br>PI: NO |
| **Required Report Review & Submission** | Depending on the nature of the interim or final reports, documents may be routed to RA through funding agency's online portal, though a Transaction Form should still be submitted.<br><br>*For progress reports that involve additional obligations of funding, such as an NIH RPPR, please create an ePAWS record.* | 1. Interim and/or final progress report.<br>2. Invention statement.<br>3. Any other related documents that require review and submission by RA. | Chair: NO<br>PI: NO |

| | | |
|---|---|---|
| **All Agreements** | Please provide all required materials to expedite the review process. Missing documentation may delay RA's review.<br><br>Please be sure to answer the applicable questions to be the best of your ability. It will help RA to complete their review.<br><br>The Contracts SOP: https://research.northeastern.edu/nu-res/all-resources/ is another useful reference. | **1.** Name and contact information of other party.<br>**2.** Word.doc of the proposed agreement (if it is not NU's standard template).<br>**3.** Any agreements that are "incorporated by reference" with this agreement, or related information.<br><br>**Signatures:** The Transaction Form does not require a signature for page 2 requests. |
| **Sponsored Research Agreement or Funded Amendment** | Investigators and Administrators are encouraged to initiate discusses with potential research partners using **NU Agreement Templates,** which typically will **facilitate and shorten the review/approval process** than agreements drafted by the other party. NU standard agreement templates are available via the website: https://research.northeastern.edu/nu-res/all-resources/ | **1.** ePAWS record number.*<br><br>*SRAs (and modifications with funding) cannot be fully executed and processed until there is a corresponding ePAWS record. |
| **Incoming Subaward/ Consortium** | Incoming pass-through awards (i.e. subawards) cannot be processed without a corresponding ePAWS record. | **1.** Agreement from the Pass through Entity (PTE).<br>**2.** ePAWS record number. |
| **Confidential/ Non-Disclosure Agreement** | **NU Templates**: NU template agreements require a shorter review process than agreements drafted by the other party. The NU NDA Templates are available here: https://research.northeastern.edu/nu-res/all-resources/<br><br>**Commercialization of IP**<br>NDAs drafted for the purpose of the commercialization of IP will be referred to the Center for Research Innovation (CRI). For more information, see the Contracts SOP. | **1.** Use the Transaction Form to provide relevant details as prompted by the questions in this section. |
| **Data Use Agreement** | Please provide detailed descriptions of the data being exchanged. Data classifications (PHI, PII and LDS) are available on the NU-RES Resources Page: NU-RES Tool for Classifying Human Subjects Data | **1.** Use the Transaction Form to provide relevant details as prompted by the questions in this section.<br>**2.** Provide IRB protocol approval or HSDF if applicable (e.g. PHI or PII data). |
| **Material Transfer Agreement** | **UBMTA**: The standard Uniform Biological Material Transfer Agreement can be found at: https://research.northeastern.edu/nu-res/all-resources/ | **1.** Attach any applicable protocols and approvals (Biosafety, IACUC, IBC etc.).<br>**2.** If the is transfer related to an active, externally- funded award to NU, provide the NU fund number. |
| **Other Agreement** | Please note that RA *does not* review/process the following types of agreements: Service Agreements, Visiting Scholar Agreements, and non-research related agreements.<br><br>Such agreements are referred to the College Gatekeeper for processing. For more information, see the Contracts SOP. | |
| **Comments/ Notes** | Please use the Comments/Notes field:<br>• Answer to long-form questions;<br>• Reference related CRI disclosures;<br>• Inform RA of important deadlines or dates;<br>• Any other relevant background information. | If more space is needed, please attach answers in a separate document. |