

# Standard Operating Procedure (SOP): Research Administration (RA) – Award Obligation Setup (AOS) Process

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## Purpose

NU-RES Research Administration (NU-RES RA) is required to conduct a comprehensive and consistent institutional review of all externally funded sponsored project award obligations awarded to Northeastern University (NU). This review supports adherence to university policies, verification of applicable regulatory compliance, and confirmation of NU's ability to accept the award terms and conditions. Acceptance of an award is contingent upon the PI having all institutional and/or funding agency regulatory compliance approvals in place and providing said documentation to NU-RES RA for review. The process for compliance review varies based on whether the award requires signature and requirements of the funding agency.

This Standard Operating Procedure (SOP) outlines the steps undertaken by NU-RES RA; however, it does not detail the procedures for award setups within the Banner system. The NU-RES Research Finance (NU-RES RF) team is responsible for managing Banner account setups, and their processes are not covered in this document.

## NU-RES RA Roles and Responsibilities

### Award Execution (awards requiring signature):

- Grant Officers (GOs) are responsible for negotiation and execution of sponsored project awards that originate from non-profit organizations and federal government grants and cooperative agreements.

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

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- Contract Officers (COs) are responsible for negotiation and execution of sponsored project awards that originate from for-profit organizations and federal or state government procurement contracts.

### **Award Obligation Setup and Compliance review:**

- GOs are responsible for the award obligation setup and regulatory compliance review of all sponsored project awards, regardless of funding agency type/award mechanism.
- RA Associate Directors (ADs) are responsible for oversight of the process and conduct secondary reviews as necessary.
- Regulatory Coordinators (RCs) assist GOs and ADs with award setup and compliance reviews. Their functions include verification of financial conflicts of interest (fCOI), communication regarding Responsible Conduct of Research (RCR), management of tracking log, and the creation and management of awards in Coeus.

### **Award Obligation Setup - Documentation Procedure**

The Award Obligation Setup (AOS) form and the Award Review Checklist are integral components of the award obligation acceptance process at NU-RES RA. This unified document streamlines the documentation process and outlines award details and compliance requirements.

### **AOS Form Overview:**

The AOS form serves as a comprehensive outline of relevant award information, providing a summary of applicable compliance checks. It offers a high-level overview of the award, guiding reviewers through key aspects of compliance.

### **Award Review Checklist:**

Contained within the AOS form, the Award Review Checklist provides detailed information on the compliance checks performed by NU-RES RA. It specifies the documentation required for each compliance check, ensuring thoroughness in the review process.

### **Utilization of Electronic Systems:**

NU-RES RA utilizes various systems to store proposal and award documents, including ePAWs, eCLAWs and Coeus. When documentation required for a compliance check related to the award under review is already uploaded to one of these systems, the individual completing the Award Review Checklist is instructed to specify the system and record number in the notes/explanation sections of the Award Review Checklist.

### **Getting Help**

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- **ePAWS:** The Electronic Proposal Approval and Workflow System (ePAWS) is used to prepare and route proposals to NU-RES RA for institutional review, approval, and submission.
- **eCLAWS:** The Electronic Contract and Legal Agreement Workflow System (eCLAWS) is utilized to route and review agreements requiring NU-RES RA review and signature. This includes both funded and unfunded agreements that require signature.
- **Coeus:** Coeus is a research administration and grant management system used by NU-RES RA as the system of record for proposals and awards.
  - **Institutional Proposal Module:** Once an ePAWS record is finalized, the completed proposal is inserted into the Coeus Institutional Proposal module, becoming the official institutional proposal (IP) record. The IP record stores updated documents related to the submission once an ePAWS record is finalized until the award is issued. For instance, if a funding agency indicates a proposal is selected for funding but requests additional information (commonly referred to as a Just-In-Time request), that information will be stored in the IP record.
  - **Award Module:** This module is used by NU-RES RA to manage incoming awards and related documents.

### Backup File and Documentation Upload:

If documentation required for compliance checks is not uploaded to one of the systems noted above, it should be attached to the Award Obligation Package as part of the Backup file. Upon completion of the compliance review, the documentation will be uploaded to the Coeus award module by an RC.

### Components of Award Obligation Package

Each award obligation package should include:

1. Award Obligation Setup (AOS) form and Award Review Checklist
  - File name convention: A-XXXXXX – PI Last Name, First Name – Funding Agency – Grant Code/Institute Proposal Number – AOS
2. NU-RES RA Budget Form
  - File name convention: A-XXXXXX – PI Last Name, First Name – Funding Agency – Grant Code/Institute Proposal Number – Budget
3. Backup file, consisting of fully executed award notice and any compliance documents not found in other NU-RES RA systems.
  - File name convention: A-XXXXXX- PI Last Name, First Name – Funding Agency – Grant Code/Institute Proposal Number – Backup

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### Investigator Financial Conflict of Interest (fCOI) Certification Form:

The Investigator Financial Conflict of Interest (fCOI) Certification form is necessary for all obligations, but generally not applicable for de-obligations. The RC is responsible for conducting fCOI and COI verifications. The GO will collaborate with the RC to ensure checks are completed.

The fCOI Investigator Form must be completed to confirm the disclosure of potential conflicts. For obligations requiring fCOI verification, the RC will work with the PI to verify the list of Investigators, check disclosures, and coordinate with relevant colleges if needed. For obligations without fCOI requirements, the RC will only verify whether disclosures are current, with no additional checks.

If there are special terms or conditions that necessitate conflict disclosures, it is important to inform the coordinator and/or Research Compliance to ensure that appropriate checks are conducted.

### Advance Account Types

**Administratively Initiated Request (AIR) Advance Account:** The AIR advance account is requested by NU-RES RA upon receiving an award that does not require a signature, or once the award is fully executed if a signature is necessary. This AIR account, created by NU-RES Research Finance, allows the PI to incur costs while compliance checks are underway, as an award is not fully accepted until all compliance checks are completed. AIR accounts are requested for awards classified as New.

**At-Risk Advance Account:** This account is requested by the department to allow for the establishment of a fund, financed by the department, enabling the incurrence of allowable costs prior to the receipt or execution of the award. Refer to the [At-Risk Advance Accounts FAQs](#) for more information.

### Restricted Awards Procedure

In cases where a compliance check cannot be verified at award setup, such as when human subject work is not anticipated until later in the project, and approval is not yet available, NU-RES RA may process the award as restricted. The decision is made on a case-by-case basis and requires discussion with the AD if the GO believes there is a legitimate reason for the compliance check delay.

- If determined to process as restricted, the restriction will be added to the tracking log as a U# and assigned to the GO.

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- The GO assumes responsibility for following up until all applicable approvals are obtained.
- The GO contacts the Principal Investigator (PI) with a cc to the department administrator, requesting the PI to certify that no work involving activities lacking full approval will be conducted under the award.
- The PI's certification is documented and included in the award backup file.
- A sample "Restricted Award – Principal Investigator Statement" can be found in Appendix B for reference.

### Award Setup Based on Award Execution Type

The setup of an award and the individuals involved in the process depend on how the award is executed, whether by the Grant Officer or the Contract Officer, and whether it requires a signature. Table 1: Award Setup Based on Award Execution Type describes the different execution types and the award setup process for each.

Upon award receipt, the Grant Officer is required to send an acknowledgement/ compliance status email as per the table. Various email templates have been created for flexibility and to ensure an email can be sent even if the award compliance review has not yet begun. This is to ensure that an administratively initiated request (AIR) for an advance account can be created in a timely manner. The templates and descriptions of when to use each can be found in Appendix A: Acknowledgement and Compliance Status Email Templates.

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**Table 1: Award Setup Based on Award Execution Type**

Awards Requiring Signature (eCLAWs) – Executed and Award Setup by Grant Officer (GO)	Awards Requiring Signature (eCLAWs) – Executed by Contract Officer (CO) with Award Setup by GO	Awards Not Requiring Signature
<ol style="list-style-type: none"> <li>eCLAWs record for a funded agreement, whether obligating or deobligating funds, is created. The Regulatory Coordinator (RC) receives a report of funded eCLAWs records routed to NU-RES the day before and adds them to the tracking log as obligations (A#s).</li> <li>Activation of the A# is contingent upon full execution of the agreement. Nonetheless, during award negotiation, the GO commences the award setup process by completing the AOS form/Checklist and compiling compliance documents (e.g., fCOI from RC, IRB, IACUC, IBC, budget, etc.).</li> <li><b><u>Upon full execution, if all compliance checks are completed and the Associate Director (AD) has approved the package during negotiation:</u></b> <ol style="list-style-type: none"> <li>GO sends the acknowledgement/compliance review status email to all relevant stakeholders (Dept/PI/RF/Sub team), confirming the completion of compliance review and requesting RF to update Banner accordingly. A copy of the award obligation package is attached. <ol style="list-style-type: none"> <li>If applicable, the subaward team is included so they can initiate subaward issuance.</li> </ol> </li> <li>The email prompts the RC to create/update Coeus award module, incorporating the uploading of final documents and updating all relevant sections, including the Special Review tab. The RC also updates the tracking log accordingly (makes sure the received date is filled in; the A# is marked complete).</li> </ol> </li> <li><b><u>If upon full execution, compliance checks are incomplete, and the AD has not endorsed the package:</u></b> <ol style="list-style-type: none"> <li>GO requests the RC to activate the A#. For awards classified as new, the GO informs the RC that compliance is still pending and asks that a U# be generated for the AIR request.</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>eCLAWs record for a funded agreement, whether obligating or deobligating funds, is created. The Regulatory Coordinator (RC) receives a report of funded eCLAWs records routed to NU-RES the day before and adds them to the tracking log as obligations (A#s). <ol style="list-style-type: none"> <li>Activation of the A# is contingent upon full execution of the contract. Nonetheless, during award negotiation, the CO commences the award setup process by completing as much of the AOS form/Checklist as possible and compiling compliance documents (e.g., fCOI from RC, IRB, IACUC, IBC, budget, etc.).</li> </ol> </li> <li>Upon full execution, the CO notifies the NU-RES inbox and appropriate GO that the award is fully executed and ready for award setup. The GO will be responsible for completing the compliance review, including the AOS form/Checklist started by the CO during the negotiation.</li> <li>RC will activate the A #, if award is new generate a U# for the AIR request and share the information with the GO.</li> <li>RC will create/update the Coeus award module as appropriate.</li> <li>For new awards, GO reviews the at-risk advance account report in SharePoint to determine if account exists. Grant Code should be referenced in status email.</li> </ol>	<ol style="list-style-type: none"> <li>Notice of Award (NOA) obligating or deobligating funds is received and added to the tracking log by the Regulator Coordinator (RC) as an A# and activated. For new awards, the RC will also generate a U# for the AIR request.</li> <li>The tracking numbers and NOA are forwarded to the Grant Officer (GO) by the RC.</li> <li>RC creates/updates the Coeus award module as appropriate.</li> <li>For new awards, GO reviews the at-risk advance account report in SharePoint to determine if account exists. Grant Code should be referenced in status email.</li> <li>GO reviews the award and creates the AOS form/Checklist and compiles backup file.</li> <li>GO sends an acknowledgement/compliance review status email to all relevant stakeholders (Dept/PI/RF/Sub): <ol style="list-style-type: none"> <li>The email includes a copy of the NOA and budget (if available)</li> <li>If applicable, outstanding items are outlined.</li> <li>Research Finance is requested to update Banner accordingly.</li> </ol> </li> <li>GO works with relevant stakeholders to complete compliance reviews.</li> <li>Following completion, the GO forwards the package to the AD for secondary review. If applicable, the subaward team is cc'd so they can initiate subaward issuance.</li> <li>Upon secondary review, the AD circulates the package to all relevant stakeholders.</li> </ol>

## Getting Help

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<ul style="list-style-type: none"> <li>b. RC will activate the A#, create U# (if applicable), and share them with the GO.</li> <li>c. RC will create/update the Coeus award module as appropriate.</li> <li>d. For new awards, GO reviews the at-risk advance account report in SharePoint to determine if account exists. Grant Code should be referenced in status email.</li> <li>e. GO sends the acknowledgement/compliance review status email to all relevant stakeholders (Dept/PI/RF): <ul style="list-style-type: none"> <li>i. The email includes a copy of the Fully Executed Agreement (FEA) and budget (if available).</li> <li>ii. Outstanding items are outlined. Research Finance is requested to update Banner accordingly.</li> </ul> </li> <li>f. GO works with relevant stakeholders to complete compliance reviews.</li> <li>g. Following completion, the GO forwards the package to the AD for secondary review. <ul style="list-style-type: none"> <li>i. If applicable, the subaward team is cc'd so they can initiate subaward issuance.</li> </ul> </li> <li>h. Upon secondary review, the AD emails the package to all relevant stakeholders (Dept/PI/RF/Sub team).</li> <li>i. The email prompts the RC to upload the package to the Coeus Award Module and update all relevant sections, including the Special Review tab. The RC marks the tracking number as complete on the log.</li> </ul> <p><b>Responsible Conduct of Research (RCR):</b> If RCR is applicable, RC will send out an email to the PI outlining RCR requirements, the email can be sent at any point in the process. Copy should be added to the award file.</p>	<ul style="list-style-type: none"> <li>6. GO reviews the award and sends acknowledgement/compliance review status email to all relevant stakeholders (Dept/PI/RF): <ul style="list-style-type: none"> <li>a. The email includes a copy of the FEA and budget (if available).</li> <li>b. If applicable, outstanding items are outlined.</li> <li>c. Research Finance is requested to update Banner accordingly.</li> </ul> </li> <li>7. GO works with relevant stakeholders to complete compliance reviews.</li> <li>8. Following completion, the GO forwards the package to the AD for secondary review. If applicable, the subaward team is cc'd so they can initiate subaward issuance.</li> <li>9. Upon secondary review, the AD circulates the package to all relevant stakeholders (Dept/PI/RF/Sub team).</li> <li>10. The email prompts the RC to upload the package to the Coeus Award Module and update all relevant sections, including the Special Review tab. The RC marks the tracking number as complete on the log.</li> </ul> <p><b>Responsible Conduct of Research (RCR):</b> If RCR is applicable, RC will send out an email to the PI outlining RCR requirements, the email can be sent at any point in the process. Copy should be added to the award file.</p>	<ul style="list-style-type: none"> <li>10. The email prompts the RC to upload the package to the Coeus Award Module and update all relevant sections, including the Special Review tab. The GMA marks the tracking number as complete on the log.</li> </ul> <p><b>Responsible Conduct of Research (RCR):</b> If RCR is applicable, RC will send out an email to the PI outlining RCR requirements, the email can be sent at any point in the process. Copy should be added to the award file.</p> <p><i>Note: If funding originates from a for-profit entity or state/federal contract and the NOA includes new terms, the GO should consult the relevant Contract Officer to ensure terms are acceptable.</i></p>
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## Getting Help

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Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

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## Appendix A: Acknowledgement and Compliance Status Email - Descriptions and Templates

### Email Template Types and Descriptions:

1. General Note: Text in brackets on the email templates indicates information that the GO is to complete or identify as applicable to the award.
2. Template 1 – Compliance Review Complete:
  - Used when all compliance checks are completed, and the AD has approved the package during negotiations.
  - Required Attachments:
    - Award Obligation Setup (AOS) form and Award Review Checklist
    - NU-RES RA Budget Form
    - Backup File
2. Template 2 – Compliance Review in Progress:
  - Used when the award has not been reviewed yet. For example, if an award not requiring a signature has been received and the GO anticipates a delay in review, Template 2 can be sent to meet internal timelines.
  - Also used if all checks have been completed but a secondary review is required from the AD.
  - Required Attachments:
    - Award Notice
    - Budget Information: If available, attach the budget. The final package will include the budget on the NU-RES RA template; if not available yet, provide the budget using the sponsor or department template.
3. Template 3 – Compliance Review in Progress – Request for Information:
  - Used if the award has been reviewed and there is a list of outstanding items required from the PI/department (including FCOI)
  - Required Attachments:
    - Award Notice
    - Budget Information: If available, attach the budget. The final package will include the budget on the NU-RES RA template; if not available yet, provide the budget using the sponsor or department template.
4. Template 4 – AD Compliance Review Complete:
  - Used for awards that require secondary review by AD. The email is sent by the AD and signals to relevant stakeholders that the compliance review is complete.
  - Required Attachments:
    - Award Obligation Setup (AOS) form and Award Review Checklist
    - NU-RES RA Budget Form
    - Backup File

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

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## Template #1 – Compliance Review Complete:

**Recipients:** PI, Dept Admin, Research Finance (banner\_setups@northeastern.edu), NU-RES, Sub Team (if applicable)

**Subject:** A-2XXXXX – PI – IP/Grant Code – Funding Agency - Acknowledgement of Award Receipt and Compliance Review Status

Dear Prof. X,

NU-RES Research Administration has received an award [obligation/deobligation] for the following project:

- **Project Title:** [Project Title]
- **Funding Agency:** [Funding Agency]
- **Tracking No.:** [Tracking No.]

Each award [obligation/deobligation] issued to NU undergoes a compliance review process to support adherence to university policies and applicable funding agency regulatory requirements.

### Compliance Review Status:

**We are pleased to confirm that the compliance review of the above-mentioned award [obligation/deobligation] has been completed. Attached to this email, you will find the final award package for your records.**

[If applicable: **RESTRICTION:** [Outline restriction]. No work which involves activities that have not received full approvals, shall be conducted under this award until the restriction is lifted.]

[If applicable: Subawards are present, please be advised that the subaward team has been included in this communication to facilitate the initiation of the subaward issuance.]

Should you have any questions, please do not hesitate to reach out.

This email initiates the request to NU-RES Research Finance to create/update your account number. Please review the attached Award Obligation Setup (AOS) form to confirm the PI ID and Lead Unit/Department are accurate.

It is the responsibility of the Main/Contact PI's department level administrator to notify all other key-personnel's department level administrators of the index number set up and effort commitments.

### For Research Finance (RF) Processing:

@Banner\_Setups,

**Please process as follows:** [GO to select the correct option below, the other should be deleted before sending email]

1. **New Award: Create Banner account/update Banner if advance account exists.**
2. **Continuation: Banner account already exists. RF to determine what updates are needed.**

Best regards,  
Grant Officer Name

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

Last Updated: 11/20/2024

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## Template #2 – Compliance Review in Progress:

**Recipients:** PI, Dept Admin, Research Finance (banner\_setups@northeastern.edu), NU-RES

**Subject:** A-2XXXXX – PI – IP/Grant Code – Funding Agency - Acknowledgement of Award Receipt and Compliance Review Status

Dear Prof. X,

NU-RES Research Administration has received an award [obligation/deobligation] for the following project:

- **Project Title:** [Project Title]
- **Funding Agency:** [Funding Agency]
- **Tracking No.:** [Tracking No.]

Each award [obligation/deobligation] issued to NU undergoes a compliance review process to support adherence to university policies and applicable funding agency regulatory requirements.

### Compliance Review Status:

**Currently, the compliance review is in progress. We will be in touch should we have any questions or require additional information from you.**

### Budget Status:

[Select one of the following options, then delete the other before sending the email]

- We will use the attached budget for compliance review. We'll be in touch if revisions are required.
- Please provide a budget reflecting the obligation amount. Please note, NU-RES Research Finance will need a budget to create/update the account in Banner. When submitting budgets, please make sure to include [banner\\_setups@northeastern.edu](mailto:banner_setups@northeastern.edu).

Should you have any questions, please do not hesitate to reach out.

**This email initiates the request to NU-RES Research Finance to create/update your account number(s). Please review the RF Processing Information below for PI ID No. and Lead Unit/Department accuracy.**

**It is the responsibility of the Main/Contact PI's department level administrator to notify all other key-personnel's department level administrators of the index number set up and effort commitments.**

### For Research Finance (RF) Processing:

**@Banner\_Setups,**

**Please process as follows:** [Select one of the following options, then delete the other before sending the email]

1. **New Award – \*Create an Administratively Initiated Advance Account (AIR) or if an At-Risk Advance Account exists, update it to an AIR.**

**PI ID No.:** \_\_\_\_\_

**Lead Unit/Department (Name and Org No.):** \_\_\_\_\_

### Getting Help

**Support:** [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

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AIR UPAF Tracking #: \_\_\_\_\_

## 2. Continuation – Banner account already exists. RF to determine what updates are needed.

[The advance acct note can be removed if processing a continuation]:

**\*Administratively Initiated Request (AIR) Advance Account:** The AIR advance account is requested by NU-RES RA upon receiving an award that does not require a signature, or once the award is fully executed if a signature is necessary. This AIR account, created by NU-RES Research Finance, allows the Principal Investigator (PI) to incur costs while compliance checks are underway, as an award is not fully accepted until all compliance checks are completed. AIR accounts are exclusively created for awards classified as New.

**At-Risk Advance Account:** *This account is requested by the department to allow for the establishment of a fund, financed by the department, enabling the incurrence of allowable costs prior to the receipt or execution of the award.* Refer to the [At-Risk Advance Accounts FAQs](#) for more information.

Best regards,  
Grant Officer Name

**Template #3 – Compliance Review in Progress – Request for Information:**

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

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**Recipients:** PI, Dept Admin, Research Finance ([banner\\_setups@northeastern.edu](mailto:banner_setups@northeastern.edu)), NU-RES

**Subject:** A-2XXXXX – PI – IP/Grant Code – Funding Agency - Acknowledgement of Award Receipt and Compliance Review Status

Dear Prof. X,

NU-RES Research Administration has received an award [obligation/deobligation] for the following project:

- **Project Title:** [Project Title]
- **Funding Agency:** [Funding Agency]
- **Tracking No.:** [Tracking No.]

Each award [obligation/deobligation] issued to NU undergoes a compliance review process to support adherence to university policies and applicable funding agency regulatory requirements.

**Compliance Review Status:**

**Currently, the compliance review is in progress. However, we have identified some outstanding items that require your attention:**

- [Item 1]
- [Item 2]
- [Item 3]

**Budget Status:**

[Select one of the following options, then delete the other before sending the email]

- We will use the attached budget for compliance review. We'll be in touch if revisions are required.
- Please provide a budget reflecting the obligation amount. Please note, NU-RES Research Finance will need a budget to create/update the account in Banner. When submitting budgets, please make sure to include [banner\\_setups@northeastern.edu](mailto:banner_setups@northeastern.edu).

Your prompt attention to these outstanding items would be greatly appreciated, our compliance review cannot be completed without them.

Should you have any questions, please do not hesitate to reach out.

This email initiates the request to NU-RES Research Finance to create/update your account number(s). Please review the RF Processing Information below for PI ID and Lead Unit/Department accuracy.

It is the responsibility of the Main/Contact PI's department level administrator to notify all other key-personnel's department level administrators of the index number set up and effort commitments.

**For Research Finance (RF) Processing:**

@Banner\_Setups,

**Getting Help**

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**Grant Officer:** <https://nu-res.research.northeastern.edu/contact/>

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**Please process as follows:** [Select one of the following options, then delete the other before sending the email]

- 1. New Award – \*Create an Administratively Initiated Advance Account (AIR) or if an At-Risk Advance Account exists, update it to an AIR.**

PI ID No.: \_\_\_\_\_

Lead Unit/Department (Name and Org No.): \_\_\_\_\_

AIR UPAF Tracking #: \_\_\_\_\_

- 3. Continuation – Banner account already exists. RF to determine what updates are needed.**

[The advance acct note can be removed if processing a continuation]:

**\*Administratively Initiated Request (AIR) Advance Account:** The AIR advance account is requested by NU-RES RA upon receiving an award that does not require a signature, or once the award is fully executed if a signature is necessary. This AIR account, created by NU-RES Research Finance, allows the Principal Investigator (PI) to incur costs while compliance checks are underway, as an award is not fully accepted until all compliance checks are completed. AIR accounts are exclusively created for awards classified as New.

**At-Risk Advance Account:** This account is requested by the department to allow for the establishment of a fund, financed by the department, enabling the incurrence of allowable costs prior to the receipt or execution of the award. Refer to the [At-Risk Advance Accounts FAQs](#) for more information.

Best regards,  
Grant Officer Name

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Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

Last Updated: 11/20/2024

# Standard Operating Procedure (SOP): Research Administration (RA) – Award Obligation Setup (AOS) Process

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## Email Template 4 – AD Compliance Review Complete

**Recipients:** PI, Dept Admin, Research Finance (banner\_setups@northeastern.edu), NU-RES, Sub Team (if applicable)

**Subject:** A-2XXXXX – PI – IP/Grant Code – Funding Agency - Compliance Review Status

I am writing to inform you that NU-RES Research Administration has completed the compliance review for the following award [obligation/deobligation] package:

- **Project Title:** [Project Title]
- **Funding Agency:** [Funding Agency]
- **Tracking No.:** [Tracking No.]

Attached to this email, you will find the final award [obligation/deobligation] for your records.

[If applicable: **RESTRICTION:** [Outline restriction]. No work which involves activities that have not received full approvals shall be conducted under this award until the restriction is lifted.]

Best regards,  
Associate Director Name

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

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## Appendix B: Restricted Award – Principal Investigator Statement – Email Template

Dear Prof. X,

### Restricted Award – Principal Investigator Statement

P. I.:  
NU-RES Award #:  
Follow-Up Tracking #  
Funding Agency:  
Title:

The above-referenced award has not received all regulatory/institutional approvals related to:

- ☐ IRB (Human Subject Research)
- ☐ IACUC (Animal Use & Care)
- ☐ IBC (BioSafety)
- ☐ SCRO (Stem Cells)
- ☐ Export Controls
- ☐ Other: \_\_\_\_\_

In order for NU-RES to accept the award and establish a restricted Banner fund for this award, the Principal Investigator must indicate concurrence with the Principal Investigator Statement below. Concurrence can be provided via email by replying to this message stating “I certify.”

### Principal Investigator Statement:

I certify that no work which involves activities that have not received full approvals will be conducted under this award; I further certify that none shall be conducted until appropriate institutional approvals are obtained.

If there are any questions, please let me know.  
Thank you,  
Grant Officer Name

### Getting Help

Support: [NU-RESHC@northeastern.edu](mailto:NU-RESHC@northeastern.edu)

Grant Officer: <https://nu-res.research.northeastern.edu/contact/>

Last Updated: 11/20/2024