

QuickCard: UPAF+ Transactions Completed by GOs

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Purpose

In order to streamline the processing of UPAF+¹ Transactions, Grant Officers (GOs) and Senior Grant Officers (SGOs) will be responsible for completing the necessary administrative steps related to UPAF+ Transactions, from initiation through completion (non-financial).

SGOs have AOR authority and permitted to submit prior approval requests to the funding agency. GOs do not have the same authority and must work with their respective Associate Director (AD) to submit. If prior approval is issued via a modification requiring NU signature, signature must be provided by AD or Director. The Contracts Team will follow the SGO route and report to Director instead of AD.

Intake of UPAF+ Transaction

A Transaction Form is sent to NU-RES@northeastern.edu. GMA performs initial intake as follows:

- Assigns U#
 - Sends out acknowledgement email to PI/Dept
 - Requests eCLAWS record (if applicable)
 - Initiates fCOI check (if applicable)
 - Sends transaction documents to SGO/GO for review
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¹ UPAF+ transactions include: NCEs, JIT, Non-Financial Reports, Rebudget, Carryover, Prior Approvals, Relinquishing Statements/Closeout, Change/Withdrawal of PI . UPAF+ transactions means any action that is not an award obligation or industry contract, and includes all prior approval requests, unsigned agreements, reports, transfers, etc.

Review and Submission Process

GOs and SGOs are responsible for review, submission (as applicable, and final processing of all UPAF+ transactions received by NU-RES@northeastern.edu. Each award UPAF+ transaction is entered on the Tracking Log by the GMA and assigned a tracking number. GOs and SGOs complete the following steps:

- SGO/GO reviews transaction and makes sure all documents are final and compliance checks are done (IRB, IACUC, fCOI, etc.)
- Completes UPAF checklist
- Emails package to AD/Director for final compliance review.
- For SGO, AD/Director returns the package with signed transaction form (T form) for submission to sponsor.
- For GO, AD submits request to the funding agency. Returns the package with signed T form to GO.
 - Note: Depending on the submission method and sponsor, GO might be able to submit the request themselves once AD approval/sign off is obtained. This will be on a case-by-case basis.

Unilateral Approval/Automatic Approval (e.g. NU signature not required; funding agency grantee-approved NCE)

- Once approval is granted, SGO/GO forwards complete package to Research Finance (RF) for processing as a single pdf in the following order:
 - T form
 - Funding agency approval
 - Original request
 - Other documents – (fCOI, IRB, IACUC, UPAF checklist, etc.)
- If action affects outgoing subawards, Subaward Manager is cc'd on the email.
- RF updates information in Banner (e.g., end date) and sends receipt confirming setup is complete.
- GO/SGO finalizes award in Coeus, updates all necessary fields² and uploads completed package.
- If the action did not require processing by RF, GO/SGO lets GMA know to close action item on tracking log.
- GMA marks U# as complete on the log.

Bilateral Approval (e.g. approval received via modification requiring signature by both parties)

- SGO/GO confirms an eCLAWs record has been created, if not, requests one from department.
- SGO/GO reviews/negotiates the modification; consults with AD/Director as appropriate.
- SGO uploads all relevant documents into eCLAWs.
- Once modification is fully signed, AD/Director finalizes eCLAWs record, asks SGO/GO to send final package to RF for processing.
- SGO/GO forwards complete package to Research Finance (RF) for processing as a single pdf in the following order:

² See Non-Financial Actions in Coeus Award Data Entry Manual, Appendix A

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- T form
 - Fully executed modification
 - Original request
 - Other documents – fCOI, IRB, IACUC, UPAF checklist, etc.)
- If action affects outgoing subawards, Subaward Manager is cc'd on the email.
 - RF updates information in Banner (e.g., end date) and sends receipt confirming setup is complete.
 - GO/SGO finalizes award in Coeus, updates all necessary fields and uploads completed package.
 - If the action did not require processing by RF, GO/SGO lets GMA know to close action item on tracking log.
 - GMA marks U# as complete on the log and closes eCLAWs record.

SOP Quick Guide

Action	Coeus Entry Required	Email to RF*	Email to GMA
No Cost Extension (NCE)	X	X	
Just-In-Time (JIT)	X		X
Non-Financial Reports	X		X
Rebudget	X	X	
Carryover	X	X	
Prior Approvals	X	X	
Relinquishing Statement/Closeout	X	X	

*RF will copy NU-RES@northeastern.edu on their email receipt that the action is completed by RF.

Appendix A- Non-Financial Actions in Coeus Award Data Entry Manual

Follow this [link](#) to the training manual on SharePoint.

Appendix B- Email Templates

For ALL emails, use the following naming convention in the email subject line, and always cc: NU-RES@northeastern.edu:

U#/PI Name/Funding Agency Name/ Action Type/ eCLAWS# (if applicable)

Emails to Research Finance for Processing:

To: Banner_Setups@northeastern.edu, Dept Admin
CC: NU-RES@northeastern.edu, Other Contacts as Applicable

Dear Finance,

Please process the attached Transaction form for an XXX.

Thank you,
Signature

Emails to NU-RES@northeastern.edu to close a tracking log #.

To: GMA

Dear GMA,

Please close the above referenced action on the tracking log.

Thank you,
>Signature