

# QuickCard: UPAF+ Transactions Completed by GOs

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## Purpose

In order to streamline the processing of UPAF+<sup>1</sup> 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 GO route and report to the Contract Manager instead of AD.

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## Intake of UPAF+ Transaction

A Transaction Form is sent to [NU-RES@northeastern.edu](mailto: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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<sup>1</sup> 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.

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## 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](mailto:NU-RES@northeastern.edu). Each 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
- SGO submits request to the funding agency.
- For GO, emails the package to AD for final compliance review. 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.

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

- Once approval is granted, SGO/GO compiles the completed package to include the following information:
  - T form
  - Funding agency approval
  - Original request
  - Other documents – (fCOI, IRB, IACUC, UPAF checklist, etc.)
- SGO/GO emails the completed package to the following stakeholders for their records:
  - [Banner\\_Setups@northeastern.edu](mailto:Banner_Setups@northeastern.edu) (if transaction requires RF action)
  - [NU-RES@northeastern.edu](mailto:NU-RES@northeastern.edu)
  - Principal Investigator
  - Department Administrators
  - Subcontract Manager (if action affects outgoing subawards)
- GO/SGO finalizes Award or Institute Proposal record in Coeus, updates all necessary fields<sup>2</sup> and uploads completed package.
- The email to the stakeholders is the signal for the GMA to mark the U# as complete on the log.

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## 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/GO uploads all relevant documents into eCLAWs.
- Once modification is fully signed, eCLAWs record is finalized.
- SGO/GO compiles the completed package to include the following:

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<sup>2</sup> 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.)
- SGO/GO emails the completed package to the following stakeholders for their records:
    - [Banner\\_Setups@northeastern.edu](mailto:Banner_Setups@northeastern.edu) (if transaction requires RF action)
    - [NU-RES@northeastern.edu](mailto:NU-RES@northeastern.edu)
    - Principal Investigator
    - Department Administrators
    - Subcontract Manager (if action affects outgoing subawards)
  - GO/SGO finalizes award in Coeus, updates all necessary fields and uploads completed package.
  - The email to the stakeholders is the signal for the GMA to mark the U# as complete on the log and close eCLAWs record (if still opened).

## SOP Quick Guide

Action	Coeus Entry Required	Email to RF
No Cost Extension (NCE)	X	X
Just-In-Time (JIT)	X	
Non-Financial Reports	X	
Rebudget	X	X
Carryover	X	X
Prior Approvals	X	X
Relinquishing Statement/Closeout	X	X
Proposal Withdrawals	X	
Other	X	Determined on case-by-case basis

\*If unsure if action should be forwarded to RF, please include them on the email to be safe or consult with AD.

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

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

## Appendix B- Email Templates

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### Final Package – Relevant Stakeholders Email Template:

**To:** [Banner\\_Setups@northeastern.edu](mailto:Banner_Setups@northeastern.edu) (if applicable), Dept Admin, NU-RES, Subaward Manager (if applicable), PI

**Email Subject Line:** Tracking Number – Last, First name of PI – Sponsor – Grant Number/Proposal Number – Action Type

Hello,

The subject reference transaction is now complete, attached are the final documents for your records.

Thank you,  
SGO/GO Name

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