Brooklyn College
Research Foundation of CUNY
Project Director's Guide

Version 1.0 - August 2020

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Introduction:

The process of setting up a grant administered by the Research Foundation. – So you get word that your proposal is going to be funded. You are delighted but also apprehensive because you have heard that grant administration is difficult and takes time away from the work you are being supported to do on your funded project. Being a Principal Investigator (PI) makes you responsible to your funder (whether a governmental or private entity) for the appropriate management of the funding with which you have been entrusted. You, as the PI, will be accountable for how your funds are spent and responsible for filing reports to your funder for how you have managed their assets. So you need to understand not only the mechanics but the larger context of managing grant and contract funding.

The Research Foundation of CUNY: This short guide is designed as a very basic introduction on how to work with CUNY's designated Fiscal Agent, the Research Foundation of CUNY. Many PIs have come to resent the intrusion of RF-CUNY in their lives as they seek to expend "their" funds on their projects. And most experienced PIs do feel that the Research Foundation is not as helpful as it could be. There are certainly ways in which the RF could be better, but the RF is necessary for CUNY for several reasons. One is that having an arms-length organization overseeing the hiring and expenditure of grant and contract funds on purchases protects CUNY from charges of inappropriate fiscal oversight of the funds received. Another is that while working with the RF can seem overly bureaucratic and annoying, in many cases it is still better than dealing with CUNY's hiring and acquisition procedures. If you have tried to purchase anything through normal CUNY purchasing channels or hire someone using CUNY's personnel procedures, you will realize that they are onerous and slow. As complex as they may seem at first, using the Research Foundation for grant and contract expenditures in most cases is substantially faster and more efficient than doing it through University channels, even if the University were set up to do this type of fiscal administration, which it is not.

This resource is not intended to teach you everything that you might need to know about grants and contracts. Nor was the Guide is intended to be read all at once. We do not recommend you read it like a good novel, from beginning to end. It is primarily a step-by-step Guide for common procedures that in our experience, are actions that beginning investigators will find themselves needing to do. The sections are "Just in Time" type instructions to help guide you through specific RF procedures and forms. Seasoned investigators can use the Guide as a reminder about a process that is done only occasionally. There is also an abundance of information about these transactions on the RF website. The RF website has so much information about both simple and complex transactions, that even experienced investigators can find it difficult to locate information on the site, particularly for transactions that most investigators do not do often. We have included screenshots to help with the explanations, but we recommend you use the Guide along with exploring the RF website at www.RFcuny.org. Many of the forms that we have included as screenshots are fillable and can be found on the RF website. Almost all of them can be submitted electronically. We suggest you take some time to explore the site a bit just to become familiar with how to get around it.

This Guide was created with essential input from a very experienced grant manager, Florence Kempner, and a long-time ORSP staff person, Judith Mandel. They wrote and tested the templates for various transactions that follow. Louise Hainline, a long time PI with a love-hate relationship with RF-CUNY over many decades and most recently acting ORSP Director in the first quarter of 2020, edited the manuscript and wrote sections, and Robin Nesby, the new Director of the Brooklyn College Office of Research and Sponsored Programs since late Spring, 2020 also reviewed and edited the text. We also thank various investigators who have tested these templates and provided feedback. We expect and hope this ORPD Project Director's Guide to evolve as we get your feedback.

Please send suggestions of other ways we can help you manage your grants and contracts as well as any comments about this Guide, both positive and negative, to ORSP Director Robin Nesby.

Louise Hainline, Interim Dean of Natural and Behavioral Sciences.
Robin Nesby, Director, Office of Research and Sponsored Programs

August 2020

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Chapter 1: Explanations of the Vocabulary of Grants and Contracts

Like any other domain of human knowledge and behavior, understanding some essential concepts will help you understand the management of grants and contracts. This section describes some of those concepts and vocabulary as a way of building a foundation of common essential vocabulary to learn about how to manage grants and contracts.

Is a *Principal Investigator* the same as a Project or Program Director? It depends… sometimes, but not always. PI/PD can be the same person when that individual has full responsibility & authority for the project. In many cases, there can be more than one person who shares the PI title, but generally as a co-PI (often used by the NSF) or a multiple PI (more commonly used by the NIH). In such cases, the terms indicate that the role has equal responsibility and authority as the lead PI. Other sponsors use the term *Co-Investigator* to represent that the individual has more authority than a co-investigator but not equal authority as the PI/PD (USDA). Some sponsors use the term to represent an alternative title for a non-lead PI on a multi-PI project. If you are applying for grants with others, ideally you should discuss the division of responsibilities before writing the proposal. If you have not done this, a discussion should happen when the funding starts, so who is responsible for what aspects of the project will be clear to everyone.

What is the difference between a *Contract* and a *Grant*? A ***contract*** is a legally binding agreement signed by a buyer (the contractor) and the seller (e.g., RF for CUNY) in which the seller promises to provide goods or services **in** return for a consideration, usually money. A ***grant,*** on the other hand, is when one party grants (hence the name) funds to another party to do something, in reasonable hopes of achieving some result, but with no legally binding requirement to achieve that result. Grants are thus more flexible than contracts in terms of how tightly they are administered. Typically, in contracts, changes cannot be made to the scope of work or budget, whereas in grants these changes can usually be made with the RF's approval as CUNY's fiscal agent. Thus, contracts and grants differ in how much latitude PIs have for using funds for different purposes than originally proposed or moving funding into completely different categories**.** Contracts need to go through RF Legal Affairs before the agreement for the project can be signed. Grant funds require only a Notice of Award (NOA) to set up an account for funding to be dispersed. This difference is not to be construed as giving the PI *carte blanche* to spend grant money on something other than that which was originally proposed. However, it is up to the Program administrators (PAs) at the RF to monitor spending on both grants and contracts and to ensure that spending is being done appropriately based on the grant or contract approved by the funder. In the discussions that follow, we have generally used the term "grants" to refer to both "grants and contracts" for brevity.

What does it mean for the Research Foundation of CUNY to be CUNY's fiscal agent for grants and contracts? A fiscal agent is a proxy that manages fiscal matters on behalf of another party according to established principles agreed on by both parties. In the case of RF CUNY, the University has ceded responsibility to RF to act on behalf of the University (not the PI) to administer spending and reporting of grant and contract funds according to both sponsor's rules and requirements in awarding the funding for certain functions described in the approved budget for a grant or contract. In other words, while PIs tend to see the RF as working for them (because PIs ask the RF to do certain transactions on grants and contracts), the program staff at the RF can only perform operations that are consistent with the approved budget and the rules of the sponsor, as the RF ultimately is working for CUNY.

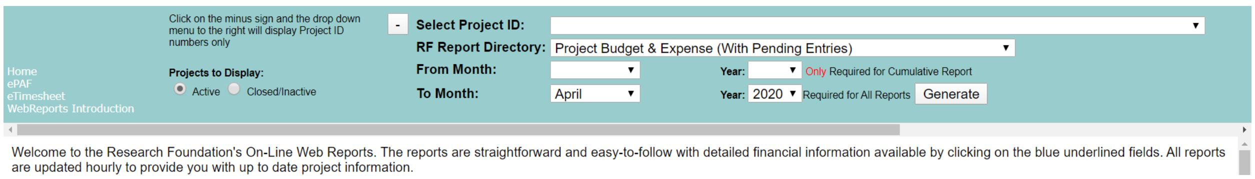
What is the role of the RF Project Administrator (PA)? Each grant or contract's Program Administrator (PA) is the individual who conveys the stipulations for proper dispersal of funds to the PI. They are not permitted to violate the rules associated with each project, although they can differ in how much they will work with you to manage the funding. It is a good idea to respect the jobs that the PAs are doing and treat them with respect. A good PI/PA relationship can be invaluable in helping you manage your project. Remember that although you are asking the PA assigned to your project to do things for you to accomplish the goals of the project, they do not work for you. They work for the RF which has contracted to provide services to CUNY. PIs never see these charges but each transaction that is done on a grant or contract by a PA at the RF has a cost that is used to cover the salaries of the RF staff.

What are Indirect Costs, F&A, or Overhead funds and why can't I spend them as PI? Indirect costs, also known as overhead and more recently defined by the federal government as Facilities and Administration (F&A) are those costs that CUNY incurs for common or joint objectives that cannot be identified easily with a particular project. Such costs cover CUNY facilities and administrative services as a whole. These services paid from the indirect cost funds that are compensation from the funder for the expenses of doing the project at CUNY (paying for the upkeep of space on campus, basic utilities like lights, heating and computer services, provision of libraries and information technology staff, and administration of the project by College and RF staff, among other costs). These funds are not normally available to the PI to spend, although many colleges, including Brooklyn College, have a policy of returning some part of the overhead to investigators, departments, and deans of schools under certain circumstances. These funds are stored in accounts at the RF termed "9-ledger" accounts, or sometimes 99 accounts. These are returns of indirect costs, but not indirect costs *per se.*

Chapter 2: How to View Transactions on Your Account at the RF

A: How to Read a Web Report

Each grant that is administered by the RF has a unique project number assigned to your grant when RF initially sets up an account for your project. Go to the RF CUNY website and Log on. Go to Electronic Tools and select Web Reports Kuali 7/1/2013. This page will come up.



On the left, it says "Project to Display". The default is Active but if you want to see something from an old grant, click on Closed/Inactive. To select a current or a specific project, click on the white space next to "Select Project ID". Your grants will come up. Select the grant you want and click on it, then click "Generate".

This will bring up the grant with the grant number and all the information below and will tell you the % of the time on the grant that has elapsed and % of the funds you have used.

Project Budget & Expense (With GL Pending Entries)

PERIOD ENDING:	**April, 2020**	**Run Date:**	**Wednesday, April 08, 2020**
Project#:	**00000-00-00**	**Project Administrator (PA):**	**Bruce Rubinstein 212-417-8412**
Award ID:	**HRD-1936902**	**Assistant (APA):**	**Daniela Vidal 212-417-8413**
College:	**BROOKLYN COLLEGE**	**Title:**	This is a Test
Budget Period:	**09/01/2019-08/31/2021**	**Sub Fund/Agency Group:**	**NSF**
Principal Investigator:	**John Smith**	**Department:**	**Grants Office**

Across the top are the categories below:

Object Code	Description	Budget	Encumbrance	Month Activity	YTD Activity	PTD Activity	Available Balance

The bottom lines show the Total OTPS (Other than Personnel Services), which is the yellow line, and the Total Direct cost, which is the green line at the bottom of the page indicating the

total available funds for both OTPS and PS (Personnel Services). The F & A cost is below that, the pink line. The last row is the total of everything above starting with the object code (the RF expense code) and ending with the available balance in each category. The object codes are taken directly from the budget that you have agreed upon with the sponsor. These determine what you can spend in each category. These codes are needed when using the funds from the grant. If you want to see what each expense is, you can drill down on the live links on the web report and get all the information for that transaction. See the example below. Most items on the Web Report have a live link, for example, to check if an invoice has been paid or a stipend has been issued. This is also how to check the funds spent and available to spend in specific categories.

You are now viewing records **1** through **2** of 2 records.

YEAR TO DATE EXPENSE ACCOUNT DETAIL - 6200 (With GL Pending Entries)

PERIOD ENDING: **April, 2020** **Run Date:** **Thursday, April 09, 2020**
Project#: **41266-00 30** **Title:** **BIOMEDICAL RESEARCH TRAINING**

Click on the Header Label to Re-sort

KFS e-Doc #	Doc. Type	PO #	Vendor Name	Amount	Invoice #	Invoice Date	Disbursement Method	Check/ACH #	Ch/ACH Date	PR# or e-Pay Ref.	Transaction Date
2923634	CPCD		AMZN MKTP US*NR1OT3N03	121.55	B1A46407	2019-10-06				1314	2019-11-27
			TOTAL AMOUNT	**121.55**							

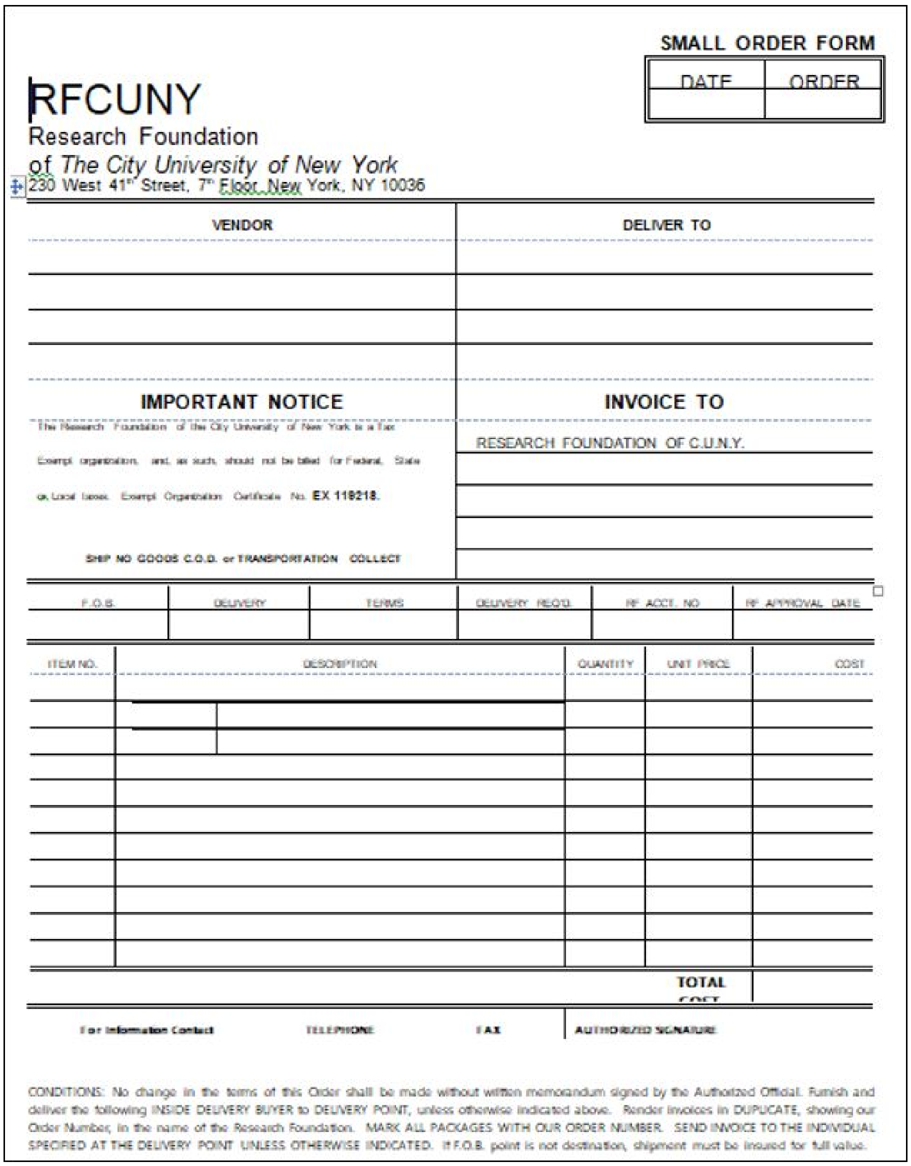
Page

The other useful information on this page is the name of the Program Administrator (PA) and the Assistant PA. These are your go-to people when you have a problem, or if you need to discuss something about administering your grant. They are the ones who approve or reject your expenditures, according to the terms and conditions of your agreement with the sponsor on how the funds may be dispersed.

Chapter 3: Purchasing Procedures for Your Project

A: How to Create a Purchase Order Under and Over $5,000

Purchases under $5,000 may be prepared using the Small Order Form (RF-201) and sent directly to the vendor by the Principal Investigator. In many cases, you can also order directly from the vendor on their websites. PIs may want to have the RF encumber (put a hold on) the funds for the purchase to ensure an adequate budget to pay the vendor. Small Order forms are available from ORSP. Some investigators have created their own fillable forms and many order directly online, but they can be useful for some purchases.



SMALL ORDER FORM

DATE	ORDER

RFCUNY
Research Foundation
of The City University of New York
230 West 41st Street, 7th Floor, New York, NY 10036

VENDOR	DELIVER TO

IMPORTANT NOTICE

The Research Foundation of the City University of New York is a Tax Exempt organization, and, as such, should not be billed for Federal, State or Local taxes. Exempt Organization Certificate No. EX 118218.

SHIP NO GOODS C.O.D. or TRANSPORTATION COLLECT

INVOICE TO

RESEARCH FOUNDATION OF C.U.N.Y.

F.O.B.	DELIVERY	TERMS	DELIVERY REQ'D.	RF ACCT. NO.	RF APPROVAL DATE

ITEM NO.	DESCRIPTION	QUANTITY	UNIT PRICE	COST
			TOTAL COST	

For Information Contact | TELEPHONE | FAX | AUTHORIZED SIGNATURE

CONDITIONS: No change in the terms of this Order shall be made without written memorandum signed by the Authorized Official. Furnish and deliver the following INSIDE DELIVERY BUYER to DELIVERY POINT, unless otherwise indicated above. Render invoices in DUPLICATE, showing our Order Number, in the name of the Research Foundation. MARK ALL PACKAGES WITH OUR ORDER NUMBER. SEND INVOICE TO THE INDIVIDUAL SPECIFIED AT THE DELIVERY POINT UNLESS OTHERWISE INDICATED. If F.O.B. point is not destination, shipment must be insured for full value.

If a purchase is equal to or over $5,000 a Purchase Requisitions must be sent to the Research Foundation first for review and approval. Purchase Orders of $5000 or more will be prepared and forwarded to the appropriate vendor by the Foundation. To purchase an item that is

$5,000 or more you will need RF form 208 available on the RF website. Log onto the RF and on the home page choose the dropdown menu Resources, choose "Find Documents and Forms". Scroll down to "Purchasing" and choose "Form 2008".

PURCHASE REQUISITION FORM RF-208

Complete this form with the appropriate sections and check off the account certifications. Completed forms should be emailed with supporting documentation to PO@rfcuny.org

Vendor	Deliver to
Name	Name
Address	Address
City	City
State	State
Postal Code Country	Postal Code
Email Address	Phone Number
Contact Name	Email Address
(RF Use) Vendor ID	If invoices are to be sent to a separate address, enter it in the "Comments" section below.

Important
1. For equipment items with a unit cost of $5,000 or more, an Equipment Screening Certificate signed by an authorized college official must accompany this requisition.
2. Attach 3 written bids and/or justification for vendor selection if total cost exceeds $15,000/$25,000 (see RFCUNY website).
Sole vendor (Attach supporting documentation) State or City Contract #
Check here for orders containing chemical substances. Material Safety Data Sheets will be requested from the vendor selected.

PRSY Account Numbers and Breakdown

1. PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Object Amount $
2. PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Object Amount $
3. PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Object Amount $
4. PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Object Amount $
5. PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Object Amount $

If utilizing more than one account for this purchase requisition, please include authorizations from the appropriate persons for each account. Add additional certifications if required.

Item	Description	Quantity	Unit Price	Discount	Cost
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
				Total for this requisition	$ 0.00

Certification for Account 1 Project Director Phone Email Address Date

Certified ☐

By checking the box above, I am certifying that I am the above referenced Project Director and that I am authorizing the expenditure of funds for above referenced Account, in amounts stated herein. I further certify that I have complied with any procurement requirements associated with the grant funds for this Account and that the prices are fair and reasonable to the best of my knowledge

Comments or Special Instructions

This is not an order form and should only be used to create an encumbrance or purchase order.

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For a large purchase (>= $5,000) you will need quotes for the purchase. If you have no quotes you will need a sole source justification letter. This will have to be uploaded with the form 508 and emailed to PO@rfcuny.org

RESEARCH FOUNDATION CUNY

RESEARCH FOUNDATION
of The City University of New York
230 West 41st Street
New York, NY 10036-7207

SOLE SOURCE JUSTIFICATION FORM

PRSY# ______________________ Requisition # ______________________

Supplier Name ______________________ PO# ______________________

This form must be submitted with any purchase requisition, which exceeds an aggregate value of $15,000 for State sponsor funds, $10,000 for Federal sponsor funds, and $25,000 for Agency funds, where competitive bids have not been solicited (or are not available).

Please indicate the reason(s) the above referenced purchase has been awarded without the benefit of competitive bidding.

A. ☐ Item sold through manufacturer/provider only; no other comparable unit available (i.e. one-of-a-kind item).

B. ☐ An unusual and compelling urgency precludes full and open competition (Explain in box below).

C. ☐ Used, reconditioned, or demonstration equipment available at a lower-than-new cost.

D. ☐ Must match existing piece of equipment. Available only from the same source of original equipment.

E. ☐ Upgrade to existing software. Available only from the producer of this software who sells on a direct basis only.

F. ☐ Repairs/maintenance/parts are unavailable from any source except equipment manufacturer or their designated servicing dealer.

G. ☐ The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation

H. ☐ The Federal awarding agency or pass-through entity expressly authorizes non-competitive proposals in response to a written request from the non-Federal entity

I. ☐ Service(s)/Good(s) being provided by the vendor is unique and therefore competitive bids arenot applicable. (Explain in box below)

J. ☐ Other. Please explain below.

Explanation required below if basing justification on a fair and / or reasonable price. Please describe or attach any communication(s) with other sources contacted or used in support of your explanation.

I attest to the fact that the above statement(s) is / are true and that I have no financial or other interest in selecting this firm to provide the goods or services indicated.

Principal Investigator Name (print) ______________________ Phone ______________

Principal Investigator Signature ______________________ Date ______________

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You will also need an Equipment Screening Certificate (Form RF-209). Choose "Find Documents and Forms" and select that form (example below).

RESEARCH FOUNDATION CUNY

RESEARCH FOUNDATION
of The City University of New York
230 West 41st Street
New York, NY 10036-7207

EQUIPMENT SCREENING CERTIFICATE

Principal Investigator ____________________

College ____________________

Department ____________________

Research Foundation Account # (PRSY) ____________________

Equipment Description ____________________

Date ____________________

Certification

I ____________________, by checking one of the boxes below, certify that the above described items of equipment have been screened against the inventory of the College and that

☐ No such items or substantially similar items are owned by the College.

☐ Similar equipment is owned by the College; however, the equipment is fully used during normal working hours. It is not available for shared use.

☐ Items similar to the above described equipment are owned by the College and may be available for shared use

Item	Location	Custodian
____________	____________	____________
____________	____________	____________
____________	____________	____________
____________	____________	____________

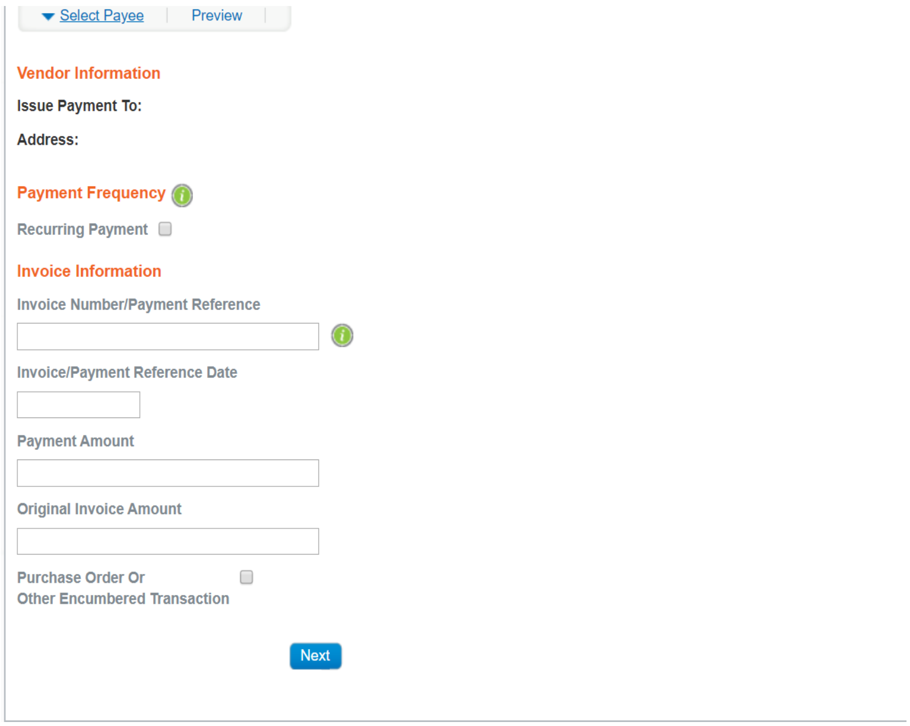
____________________ Principal Investigator Name (print) ____________________ Principal Investigator Signature ____________________ Date

____________________ Property Manager Name (print) ____________________ Property Manager Signature ____________________ Date

Once the RF reviews and approves the purchase and the vendor, you will receive a Purchase Order (PO) number so that they can make the purchase. When the item is received and you receive an invoice, attach a copy of the PO to the invoice, and create a payment request on the RF website under electronic tools. If help is needed creating a payment request, contact the Office of Research and Sponsored Programs.

B: How to Create a Payment Request

Make a PDF of the invoice or bill which you want to pay. Then log onto RFCUNY.org and go to "Electronic Tools". From the dropdown menu select "Payment Request". Chose "Create Regular Payment Request". On the left side, there is a dropdown menu. Click on "Select Payee".



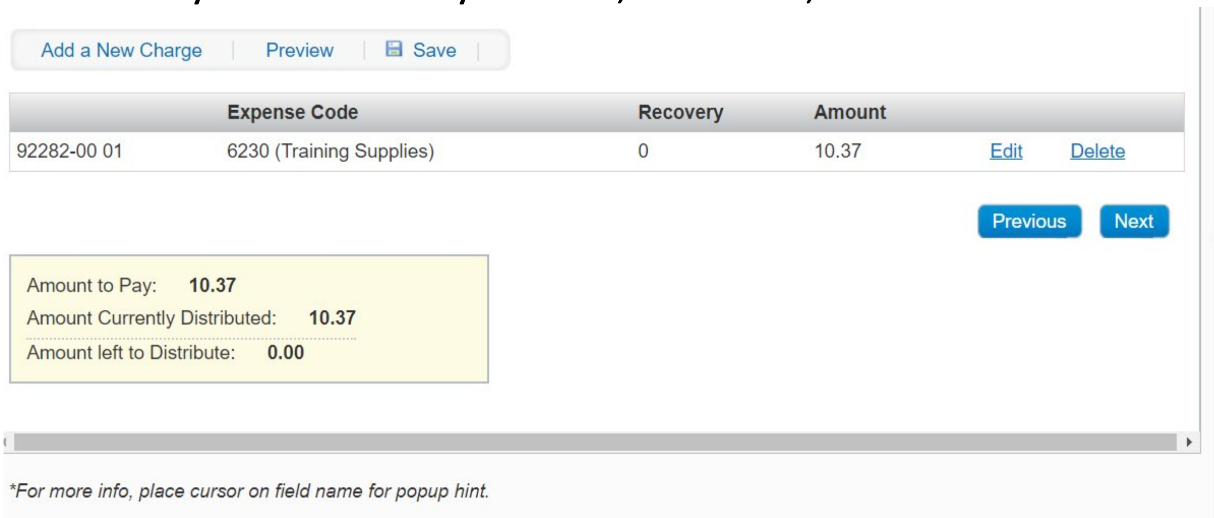
Choose one of these options in the dropdown menu:

- **Search for Payee**
- **Favorites**
- **Select New Vendor**
- **Recently Paid**
- **Recurring Scholarship/Fellowship/Participant Payment**

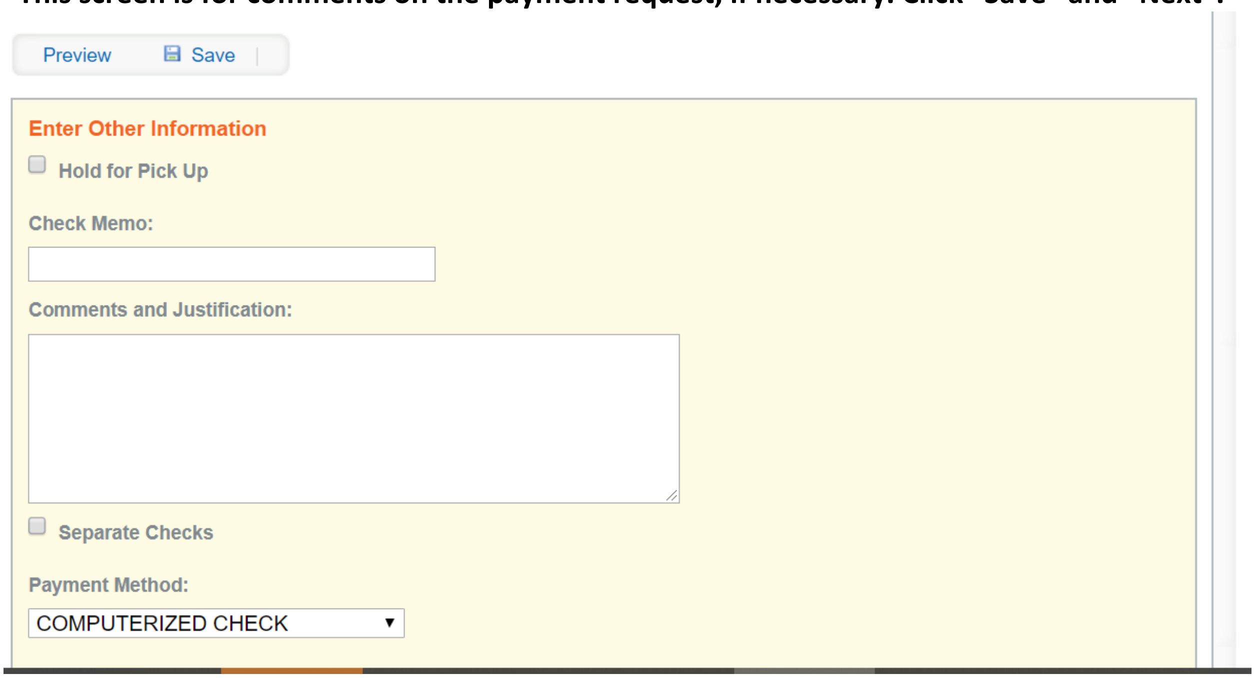
If you are paying an invoice, first look under "Search for Payee". This will bring you to a window where you enter the name of the payee. If the vendor is in the RF system, click on "Select". If there are multiple addresses for the same vendor (e.g. Fisher Scientific), check your invoice for the correct payment address and click on that address; the system will autofill this information. If the vendor is not already in the system, you will need to fill in the information. There is an option to enter the routing number and account number for an electronic funds transfer (EFT) of the payee. If you know it, enter it, then click "Create". If the invoice is from a new vendor, you need a completed W9 form from the vendor. A W9 form can be found at https://www.rfcuny.org/rfwebsite/media/1672/substitute-w-9-request-for-taxpayer-identification-number-and-certification.pdf

The system will autofill the left side of the screen and you will then have to enter the invoice number or a payment reference, the invoice date, and amount. Reenter the amount, and then click "Next".

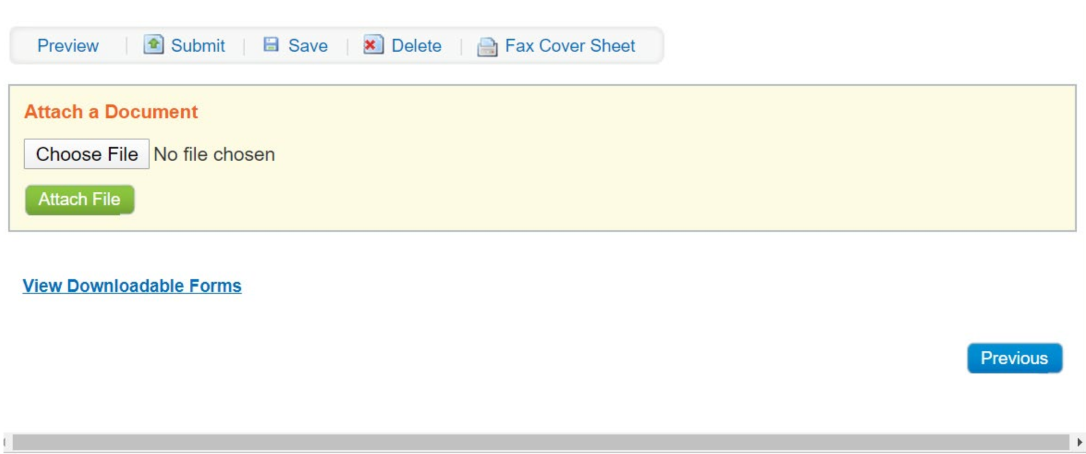
In the next screen, you will select the Project (dropdown menu with a list of your grants) and expense code (dropdown menu with the codes). Then click "Add Charges" and "Next". This screen allows you to review what you entered, if it is correct, click "Next":



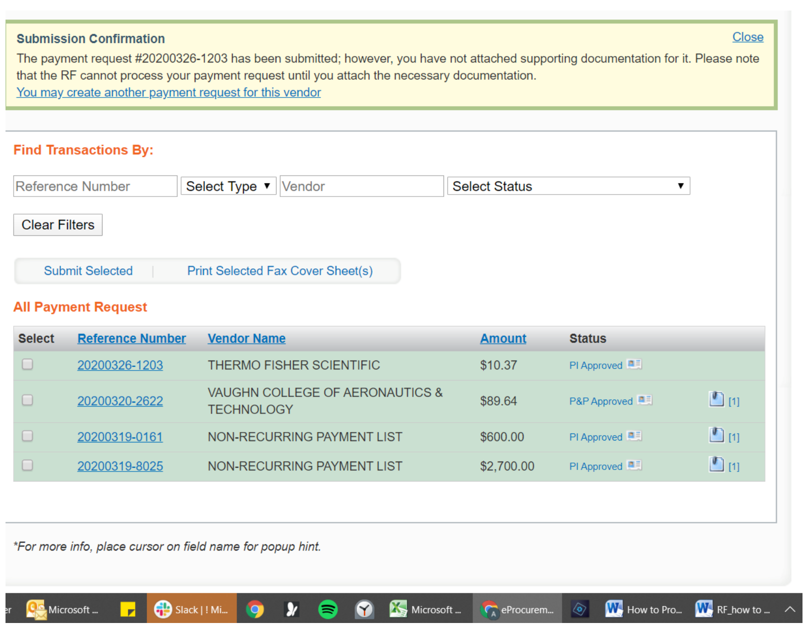
This screen is for comments on the payment request, if necessary. Click "Save" and "Next".



The next screen lets you attach a PDF of the invoice or bill and any supporting documents. Choose "Choose File" and then click "Attach". After you have attached the PDF, you can select an option on the top dashboard to Submit, Save, or Delete, if you are ready to submit, click on "Submit".



Print out the last screen and attach it to your invoice. When you click on the reference number, for example, 20200314-7332, you will see your payment request. The first part of the number is the date you submitted the payment request, in this case, 3/14/2020, and the 4-digit number is the payment request's unique number. On this page, you can also see what payments are pending and which ones have been processed, for the past few months. You can view a report if you put in the posting report dates you wish to view. Within a week or so, you should receive an email from the RF that your payment request has been approved. If it has not been approved, you can find the reason for the denial by moving your cursor on the right side of your payment request. That information will be displayed. You can call or email the PA on your grant to find out how to correct the problem.



C: How to Request and Reconcile a Purchasing Card (P-Card)

Although it looks like a credit card, an RF purchasing card (P-Card) is not a credit card. It is a debit card with spending limits that allows a principal investigator (PI) or authorized project staff to purchase goods and supplies for sponsored projects with a budget of $2,000 or more, up to a limit that is set for each card based on the specific project.

To apply for a P-Card: Enter this URL: https://www.rfcuny.org/RFWebsite/principal-investigators/procuring-goods-services/using-a-purchasing-card-p-card/ **or log on to the RF website. At the bottom of the page, click on "Purchasing Card Application" and follow these instructions:**

1. The User (cardholder) completes the Purchasing Cardholder Agreement and Purchasing Card Application. A PI can designate multiple users to receive P-cards for a given project.

2. Once the form is approved by the PI and the Grants Officer, it needs to be mailed to Research Foundation of CUNY, 230 West 41st Street, New York, NY 10036 Attn: Finance - P-Card Support; to expedite, you can also email the form to purchase_card@rfcuny.org but the application with original signatures is required too. The Purchase Card Support team will confirm receipt of your application and agreement.

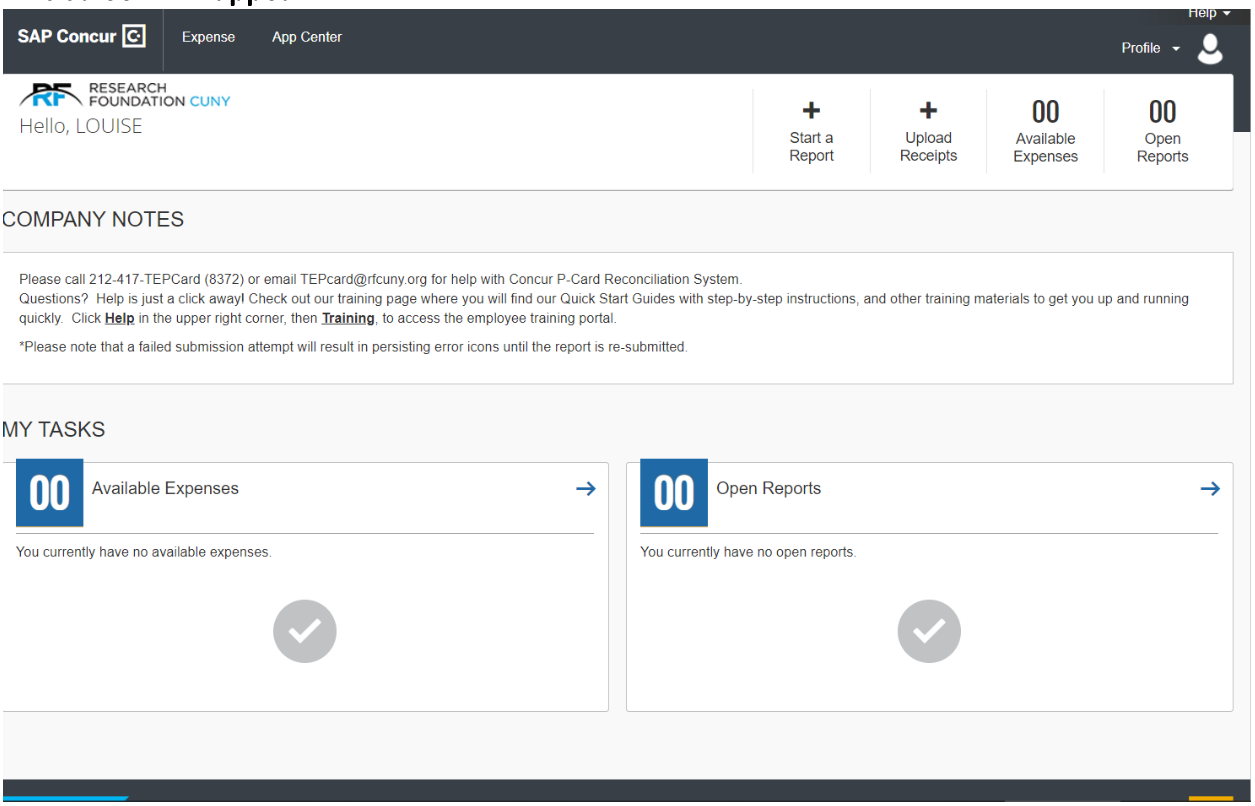
3. Activating P-Card Information (Cardholder): If the request is approved by the Project Administrator, the card will be distributed to the cardholder at the business address provided on the Purchase Card application. Cardholders will be mailed their P-Card at the business address they supplied on their P-Card application. To activate the P-Card, the Cardholder must call J.P. Morgan at 1-866-602-8170. You will be asked to provide the 16 digit account number (located on the front of the P-Card), the 3 digit security code on the back of the card, and the last 4 digits of Social Security Number or Employee ID, whichever was supplied on the card application.

Once the activation process is complete, the Cardholder should remove the sticker from the front of the P-Card and sign the back of the card. The Cardholder can now use the P-Card for qualified and authorized purchases.

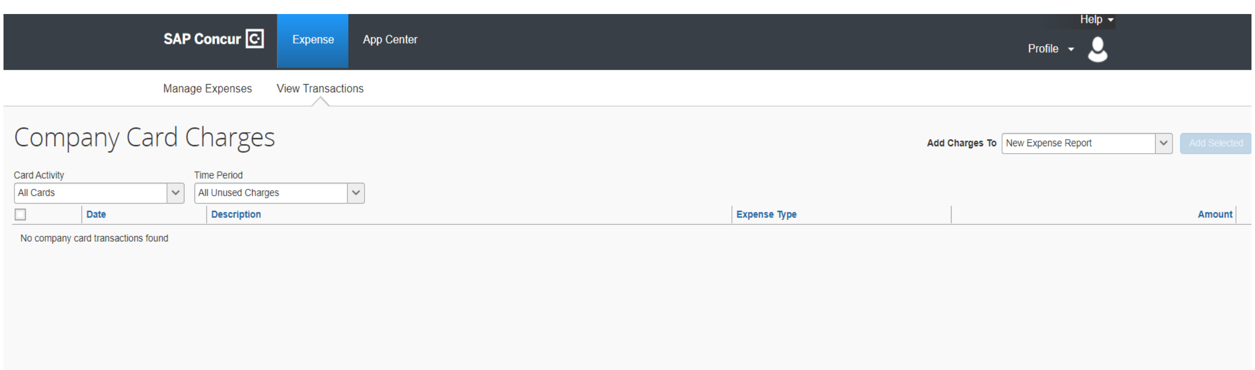
One quirk about RF P-cards is that the issuing bank often provides a card that has a date that is inconsistent with the end date of the actual project to which the card is related. This means that the expiration date on the card is not necessarily the actual date the card stops working from the perspective of the RF. When you purchase something, you must provide the end date from the bank which is embossed on the card, but RF now provides the effective end date on the last line of the card after the RF grant number of the card. This is the date that controls whether the card can be used to charge purchases successfully or not. Email Jason Holguin at the RF if you have problems with the date you must enter to charge something.

After the cardholder has used the P-Card, he/she must reconcile the purchases with a system called Concur. All P-Card transactions must be reconciled in Concur within 35 days of the purchase and in a manner that provides the accountability of sponsor expenditures and compliance with all applicable restrictions imposed by funding sources and legislative bodies. Reconciliation must include the business purpose of the item, justification of the expense, and receipts. To do the reconciliation go to "Electronic Tools" and select "P-Card Reconciliation System".

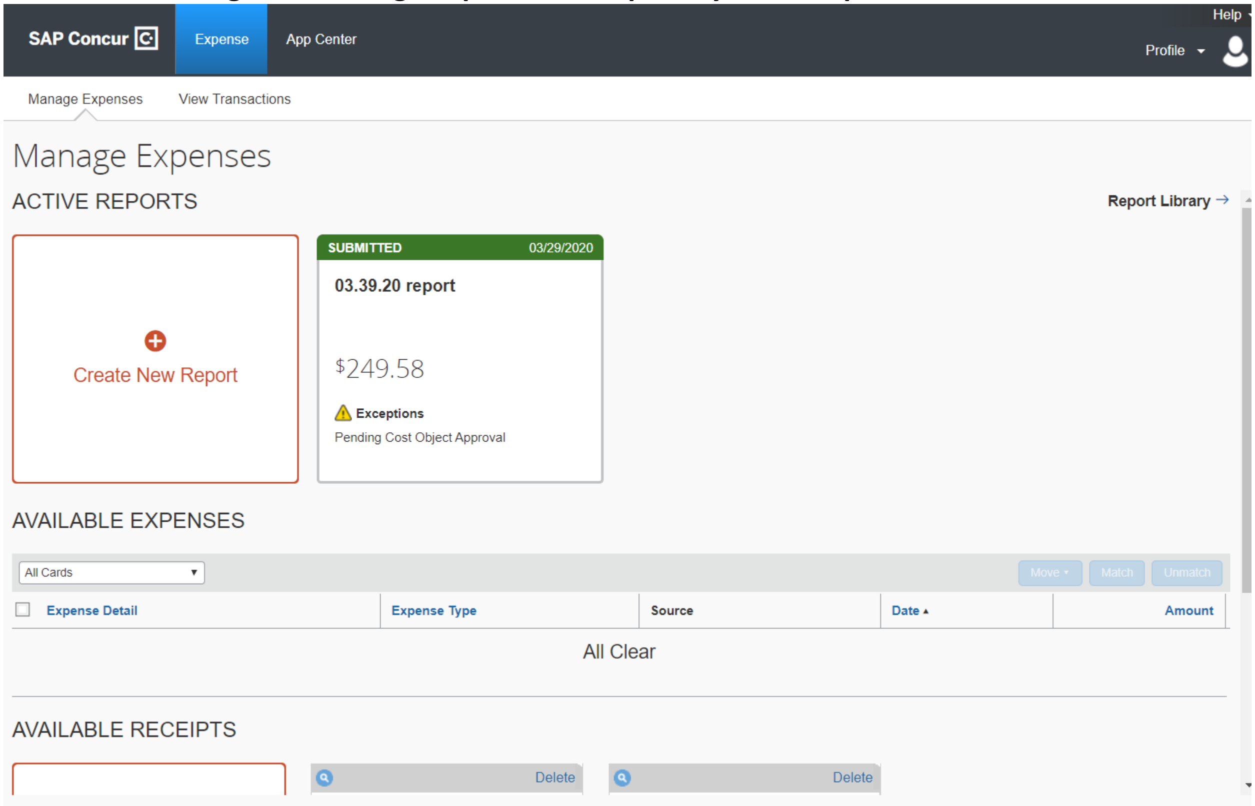
This screen will appear



Then you can choose to see the charges that you have to reconcile.



You should then go to "Manage Expenses" to upload your receipts.



Reconciling P-Card Transactions (Cardholder/Reconciler)

The Reconciliation Process: Cardholders and Reconcilers are responsible for reviewing and verifying transactions on a route basis in Concur. Cardholders and Reconcilers should reconcile all outstanding transactions at least twice a month. Cardholders and Reconcilers should take the following steps to reconcile transactions in Concur:

- **Review transactions for accuracy**
- **Assign proper accounting information**
- **Provide a business purpose and justification of the expense**
- **Submit transactions within 35 days of when they are incurred**
- **Scan and attach receipts to transactions in Concur, as required by Policy.**

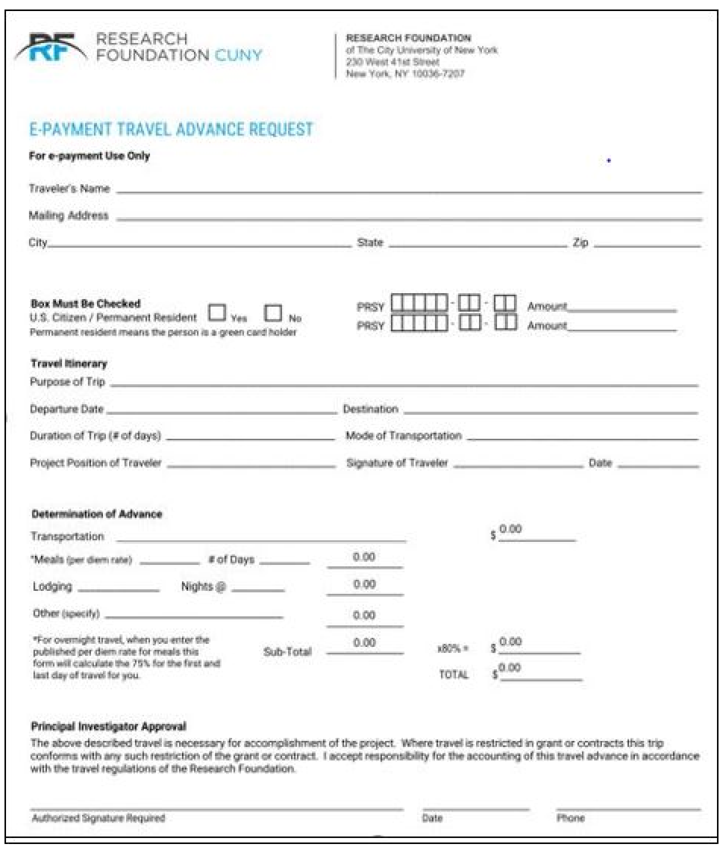
There is an extensive set of training materials, including videos and step by step instructions available on the Concur website. If you need assistance you can also email Jason Holguin [Jason_Holguin@rfcuny.org.](mailto:Jason_Holguin@rfcuny.org)

D: How to Request Grant-related Travel Advances and Reimbursements

The PI and his/her staff can travel and be reimbursed by a grant under the condition that the travel expense is appropriate, reasonable, and necessary to the project.

To be covered by the grant, the costs have to be allowed. *Allowable travel expenditures* include transportation costs, lodging costs, sustenance costs (meals), conference registration fees, and visa fees. Personal expenses incurred during travel such as laundry service, valet parking, entertainment, and transportation to and from meals are not reimbursable costs. The cost of alcoholic beverages is not reimbursable. Failure to comply with RFCUNY's travel policy will result in the denial of reimbursement for out-of-policy expenditures.

***Travel Advances*: If you wish to acquire an advance on the funding for your conference, seminar, or other reason for project-related travel, you must fill out an Advance Travel Form. A travel advance will cover 100% of transportation costs and up to 80% of all other estimated travel costs- lodging, per diems, meals and incidental per diem, conference registration fees, anticipated local travel costs, and visa fees, if applicable. An Advance Travel request form can be found at [https://www.rfcuny.org/RFWebsite/media/1870/rf-040-e-payment-travel-advance-request.pdf.](https://www.rfcuny.org/RFWebsite/media/1870/rf-040-e-payment-travel-advance-request.pdf)**



RESEARCH FOUNDATION CUNY

RESEARCH FOUNDATION
of The City University of New York
230 West 41st Street
New York, NY 10036-7207

E-PAYMENT TRAVEL ADVANCE REQUEST

For e-payment Use Only

Traveler's Name ______

Mailing Address ______

City ______ State ______ Zip ______

Box Must Be Checked
U.S. Citizen / Permanent Resident ☐ Yes ☐ No
Permanent resident means the person is a green card holder

PRSY ☐☐☐☐ - ☐☐ - ☐☐ Amount ______
PRSY ☐☐☐☐ - ☐☐ - ☐☐ Amount ______

Travel Itinerary

Purpose of Trip ______

Departure Date ______ Destination ______

Duration of Trip (# of days) ______ Mode of Transportation ______

Project Position of Traveler ______ Signature of Traveler ______ Date ______

Determination of Advance

Transportation ______ $ 0.00

*Meals (per diem rate) ______ # of Days ______ 0.00

Lodging ______ Nights @ ______ 0.00

Other (specify) ______ 0.00

*For overnight travel, when you enter the published per diem rate for meals this form will calculate the 75% for the first and last day of travel for you.

Sub-Total 0.00 x80% = $ 0.00

TOTAL $ 0.00

Principal Investigator Approval

The above described travel is necessary for accomplishment of the project. Where travel is restricted in grant or contracts this trip conforms with any such restriction of the grant or contract. I accept responsibility for the accounting of this travel advance in accordance with the travel regulations of the Research Foundation.

Authorized Signature Required ______ Date ______ Phone ______

If a travel advance was issued to the traveler, the amount of the advance must be indicated in

the appropriate field on the Travel Expense Voucher form. If the total allowable expense for the trip exceeded the advance amount, the traveler is reimbursed the difference. If the total allowable expense for the trip was less than the advance amount, the traveler must return the difference to RFCUNY by submitting a check payable to the Research Foundation, CUNY. The check should include the project number against which the advance was processed.

If you pay a conference registration fee or other fees in advance, you can send these in for reimbursement for the total registration fee. A copy of the Advance Travel Request is below.

***Travel Reimbursement*: To be reimbursed for travel, the traveler must submit a completed, signed, and dated Travel Expense Voucher form with all necessary supporting documentation (e.g., airline boarding passes, train ticket stubs, taxi receipts, lodging receipts, car rental bills, meal receipts, and all other receipts) to RFCUNY within five (5) days after the trip. It is important to be aware of these requirements so the travelers will remember to save these backup documents while traveling. Reimbursement without them is more difficult.**

Reimbursement for travel expenses is submitted electronically and processed through the e-Payment Request system. The traveler must sign and date the Travel Expense Voucher form to certify the reported expenses are accurate and correct. The purpose of the trip must be indicated on the Travel Expense Voucher form. An individual must be in travel status, 35 miles or more from their designated place of business and residence.

***Transportation to and from the home/office to the airport, train station, etc*: Reimbursement is allowed for up to $10.00 each way without receipts. For reimbursement for full amounts, depending on the distance involved, you must have receipts, including up to a 20% gratuity.**

For the trip, you can travel by air, train or car. If you drive your privately-owned vehicle, you will be reimbursed per mile. For the Year 2020, the rate is $0.575 per mile. Car rental is only allowed when other transportation is unavailable or impractical, or when the use of a rental car can be economically justified.

A copy of the Reimbursement for Travel Request form is below. Complete the form in full with the approvers' signature.

Attach copies of the original receipts for expenses, such as airline or train tickets/itineraries, boarding passes, toll charges, car rental, limousine service, meeting registration, hotel, meals, etc.

For meals, detailed restaurant receipts and proof of payment are required unless you are using the *per diem* rate method. The per diem method provides for a fixed rate allowance for meals, lodging, and incidental expenses regardless of where lodging is obtained. Rates are based on the city or county where lodging is obtained or the location to which the individual

was traveling. If using this method, receipts are not required but the method is only applicable for domestic travel. See https://www.rfcuny.org/RFWebsite/media/2364/per-diem.pdf

Attach copies of the conference brochure cover or something that indicates location, dates, and name of the conference, seminar agenda, or other documentation to characterize the purpose of travel. Also, attach copies of the hotel bill or other evidence of the duration of the trip. The next to last line asks you to put in the amount of the advance if you have taken one.

E-PAYMENT TRAVEL EXPENSE VOUCHER AND REQUEST FOR PAYMENT

For E-payment Use Only

Traveler's Name ____________________

Mailing Address ____________________

City ____________________ State ____________________ Zip ____________________

Box Must Be Checked

U.S. Citizen / Permanent Resident ☐ Yes ☐ No

Permanent resident means the person is a green card holder

PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Amount ____________________

PRSY ☐☐☐☐☐ - ☐☐ - ☐☐ Amount ____________________

Purpose of Trip ____________________

Itinerary

Date						
Departure City						
Time						
Destination City						
Time						

Expenses

If applicable to your trip, please enter the associated Privately Owned Vehicle (POV) mileage reimburse rate in the blue square. The current POV reimbursement rate see GSA's POV Mileage Rates (https://www.gsa.gov/travel/plan-book/transportation-airfare-rates-pov-rates-etc/privately-owned-vehicle-pov-mileage-reimbursement-rates). To access the POV reimbursement rate for a prior year, use the archieved rates (https://www.gsa.gov/travel/plan-book/transportation-airfare-rates-pov-rates-etc/privately-owned-vehicle-pov-rates/pov-mileage-rates-archived.)

Transportation							$ 0.00
Lodging							$ 0.00
Meals							$ 0.00
Local Travel							$ 0.00
Auto-No. of Miles Traveled							0.00
0.000 per mile	0.00	0.00	0.00	0.00	0.00	0.00	$ 0.00
Other Cost							$ 0.00
Other Cost							$ 0.00

Traveler certifies that this request is accurate and correct and that traveler endeavored to obtain best pricing for transportation and lodging expenses.

Total Expenses	$ 0.00
Less Advances	
Net Amount Due	$ 0.00

____________________ Signature of Claimant

____________________ Project Position

____________________ Approval Signature of PI

____________________ Date

Chapter 4: Employing Personnel

A: How to Create a Personnel Vacancy Notice (PVN)

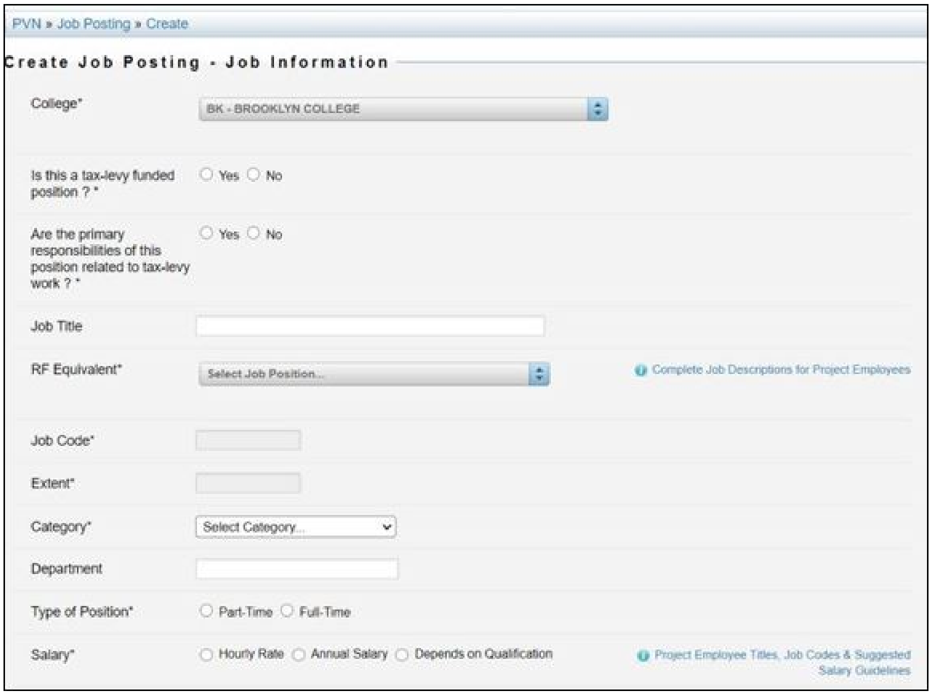
Principal investigators (PIs) are responsible for recruiting individuals for projects administered by RFCUNY through its Personnel Vacancy Notice (PVN) electronic system. The RF requires a Personnel Vacancy Notice (PVN) and a search for all Full-Time and Part-Time A positions (see below for definitions of Part-Time A and B positions). See exceptions to the PVN requirement below. All applicants must apply online at http://www.rfcuny.org/hr/pvn/default.asp. Any advertisements should include the ethnic, minority, and community statement that the RF is an "EO/AA/ADA Employer" (Equal Opportunity/Affirmative Action/Americans with Disabilities Act Employer). Applicants should be referred to the RFCUNY website to apply. A job title and job code are required when advertising a position through a PVN. The PVN ensures accurate classification of an applicant as well as affirmative action reporting.

Classification of an employee's status is based on the number of hours an employee works during a two-week pay period. An employee's classification determines the benefits an employee receives and the fringe benefit rate charged to the sponsored award/grant. The main employee classifications that may be recruited through RFCUNY's PVN system include:

Full-time (employee works 70 hours each 2-week pay period)
Part-time A (employee works more than 38, but less than 70 hours each 2-week pay period)
Part-time B (employee works 38 hours or less each 2-week pay period)

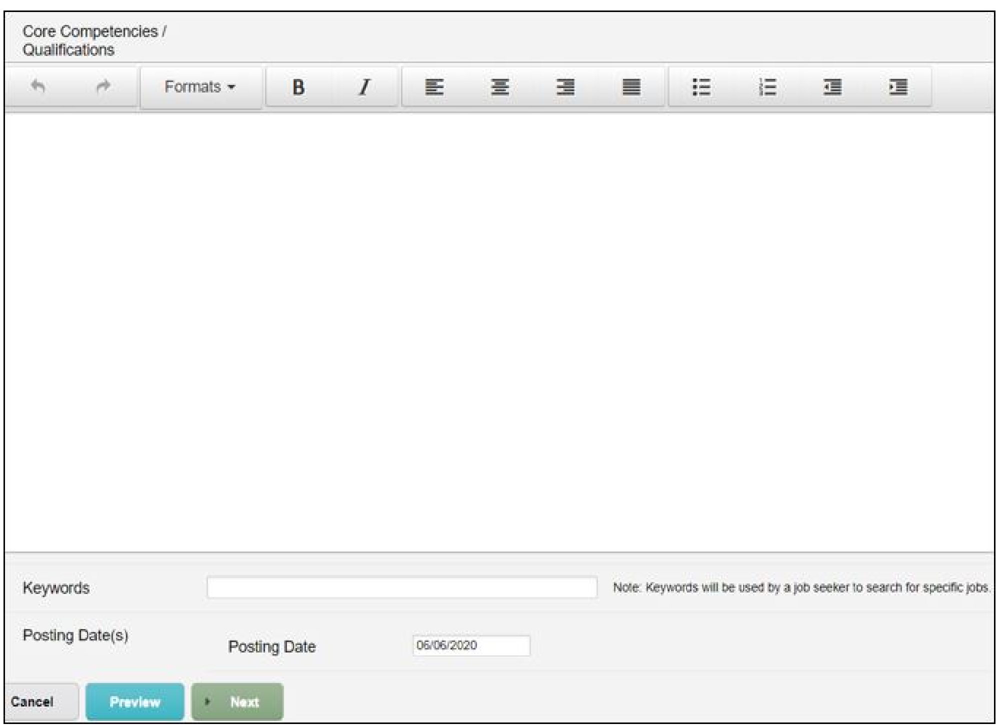
Exception: Recruitment for Part-time B employees, CUNY graduate students, and RFCUNY student interns do not require advertising the available position on the PVN system. Go to "Electronic Tools" and select "Personnel Vacancy Notice". The screen below will come up:

Select "Job Posting" and the screen below will come up. Enter all the information that is asked for on the screens below.


PVN » Job Posting » Create
Create Job Posting - Job Information
College*
BK - BROOKLYN COLLEGE
Is this a tax-levy funded position ? *
Yes No
Are the primary responsibilities of this position related to tax-levy work ? *
Yes No
Job Title
RF Equivalent*
Select Job Position...
Complete Job Descriptions for Project Employees
Job Code*
Extent*
Category*
Select Category...
Department
Type of Position*
Part-Time Full-Time
Salary*
Hourly Rate Annual Salary Depends on Qualification
Project Employee Titles, Job Codes & Suggested Salary Guidelines


General Description*
Formats
B
I

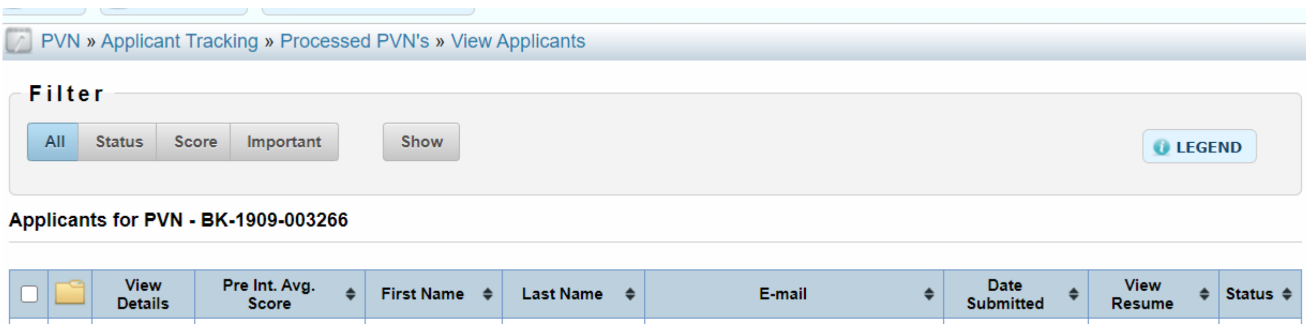

Other Duties
Formats
B
I


Core Competencies / Qualifications
Formats
B
I
Keywords
Note: Keywords will be used by a job seeker to search for specific jobs.
Posting Date(s)
Posting Date
06/06/2020
Cancel
Preview
Next

Before you click “Preview” or “Next”, make sure you have completed the following steps:

- **You must check if this is a tax-levy funded position or not.**
- **You must check if the primary responsibilities of this position are related to tax-levy work or not.**
- **The “RF Equivalent” field cannot be empty.**
- **The “Job Code” field cannot be empty.**
- **The “Extent” field cannot be empty.**
- **The “Category” field cannot be empty.**
- **The “Position” field cannot be empty.**
- **The “General Description” field cannot be empty.**
- **You must select a Salary type.**

A few days after the job is posted, check periodically by going to “Electronic Tools” and selecting “PVN”. Select “Applicant Tracking” on the first page. This screen will appear:



On this screen you can see all the information from all the applicants, in 8 columns:

1. **Click on PVN ID to view PVN**
2. **Applications Received will list the number of applicants**
3. **Job Title**
4. **Department**
5. **Category**
6. **Status (Closed or open)**
7. **Edit Access- click on Edit Access to give someone access to PVN**
8. **Website Active – take on or off the website**

The PI may select who to interview. For each applicant interviewed, the following information should be completed: Click on “Decision” and fill in information - interview date, observed gender and ethnic group of the candidate (this information is used for statistical purposes only), and select the interview outcome. When you have decided who to hire, select “Hired” on the “Interview Outcome” dropdown menu. The PVN will close and send rejection emails to all other candidates.

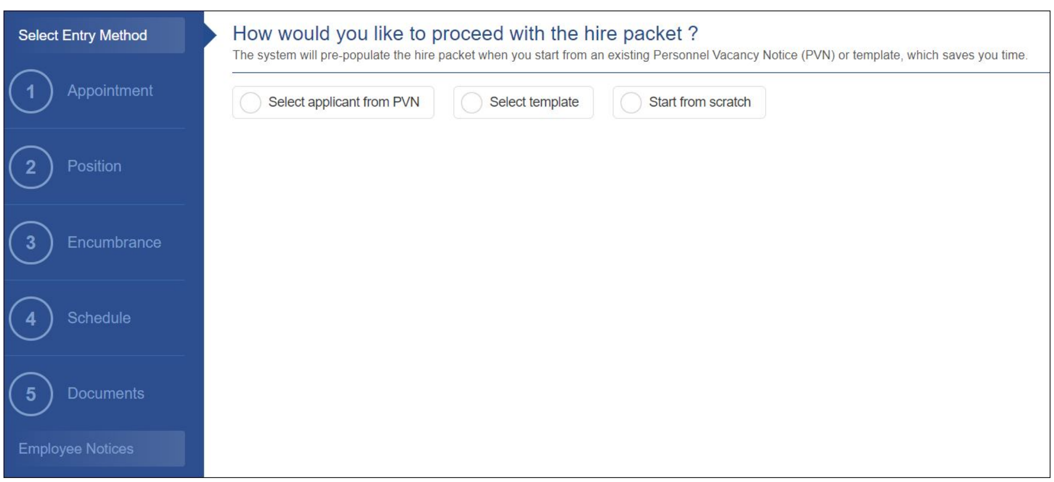
If you have any questions about the advertising and recruitment procedures in hiring, call Linda Hellman 212-417-8606.

B: How to Process a New Full Time or Part Time Employee Hire

All new hires have to fill out a Federal I-9 form and be E-verified. NOTE: *The Federal I-9 form must be completed by the new hire on or before their start date. The e-verification must be done within 3 days of the Start Date.*

Contact the Office of Research and Sponsored Programs at 718-951-5622 or x5622 if the College is open for business. Otherwise, email Judith Mandel (jmandel@brooklyn.cuny.edu) and ask that an email about e-verification be sent to the new employee. The Office staff will need the first and last name and email address of the employee so that part 1 of the Federal I-9 form can be sent and completed by the new hire. This is the first part of the online I-9. The 2nd part of the I-9 requires that the employee to provide the correct documentation to an authorized staff member in the Office of Research and Sponsored Programs in person (or during COVID-related closing, over a meeting application such as Zoom or a Face-time call, to verify that the employee is eligible to work. The ORSP staff person will then ensure the accuracy of the I-9 information by validating the completed forms through the e-verify system of the Departments of Homeland Security and Social Security Administration.

Log on to the Research Foundation using your username and password. If you do not know your user name, email weblogonid@rfcuny.org. Make sure you have your project number and the email address of the new hire.



After you have logged on, go to the dropdown menu at "Electronic Tools". Scroll down and click on "RF ONBOARD- new system". On the blue dashboard, click "Create Package". You now have to select a method to create the package: The choices are "Start from Scratch", "Start from PVN", and "Start from Template".

If this is a new position, click "Start from Scratch". There are 5 screens to complete.

The first screen is labeled "Appointments". On this screen that you must enter the following:

Name of the new hire, hire date, employees email address, project number, RF expense code (e.g., research staff 5410), RF job title (e.g., research assistant 7500), position type,(regular, on-call, temporary), functional title (e.g., a research assistant with the codes that were used as an example), supervisory status, and physical location. You will also be asked "is this employee paid in tax levy or CUNY funds". If the answer is "yes", a multiple position letter will have to be uploaded later in the process. Click "Save" and "Continue".

The second screen is labeled "Position". On this screen, you must enter the Job description and qualifications for the position, and answer other questions about the position (e.g., will the employee be in contact with infants, have to drive a car, have fiduciary responsibility for over $9,999.99). When done, click "Save" and "Continue".

The third screen is labeled "Encumbrance". On this screen, you must enter encumbrance period, pay rate, and whether it is hourly or biweekly, hours in the biweekly period, and the fringe rate (see below for fringe rate). Click "Calculate" and the system will calculate the total hours and pay period and as well as the salary, fringe, MTA expenses and will give you a total dollar amount needed to be encumbered for this position and employment period.

How an employee is classified depends on the number of hours he/she works. The classifications are:

- **Full-time (employee works 70 hours) Full-Time fringe benefit rate**
- **Part-time A (employee works more than 38, but less than 70 hours) Full-Time fringe benefit rate**
- **Part-time B (employee works 38 hours or less) Part-Time fringe benefit rate**

Click "Save" and "Continue".

The fourth screen is the "Employee's Schedule" for Week 1 and 2 of the pay period. These hours will be populated in the employee's Time and Leave schedule.

The Fifth screen is for "E-Signatures" and any documents that need to be uploaded such as a multiple position form.

Click "Save" and "Submit".

At this point, you can print out the document and save it as a template if you believe that you are going to use it again in a subsequent hire. For example, the hire may be a research assistant, tutor, or clerical position hired for periodically or you may require multiple hires for a similar position. It is useful in such cases to have most of the information filled in so that the person processing the hiring forms needs only to change the information that is unique to one employee to the information for the next newly hired employee.

The PAF then goes to the Director of the Office of Research and Sponsored Programs for signature conveying Institutional approval. It is then forwarded to the employee who must

complete a group of forms and review a selected number of policies. These include the Application for Employment, Personnel Action Form (PAF), Job Duties & Qualifications, Personal Data, EEO Voluntary Identification, IRS Form W-4, IT-2104, Employees Withholding Allowance Certificate, and Social Security Declaration forms, among others.

When the employee completes this part of the process, he/she sends the forms back to the Research Foundation and the application goes to RF's Department of Human Resources. If all is correct and approved, the appointment is entered into the RF system and the employee can begin work.

There are 2 other options for Onboarding an employee. If you have hired an employee through the Research Foundation, there will be a Personnel Vacancy Notice (PVN) in the system. Choose the Option "Select from PVN", and enter the name or PVN number. Then follow the instructions above, and you will find that much of the information will be pre-filled in. If you are hiring an employee in a position that you had previously onboarded someone before and saved it as a template, then choose the option "Select from Template" and follow the instructions above. As with the PVN selection, much of the information will be pre-filled in although you must change the name and other differences from the previous employee employed using the Template.

If you need further clarification on these procedures, there is a 43-minute video, In the upper right-hand corner of the home RF Onboard page; click "Help" to see the instructional video.

If you find that you have made an error on the PAF in the onboarding system and need to correct it before it is approved, email Rebecca_Obadeyi@rfcuny.org or Sacheen_McWatt@rfcuny.org to return the package to you so that you can edit it.

Hiring employees is one of the more complex transactions that new PIs encounter in getting their projects underway. If further help is needed, contact:

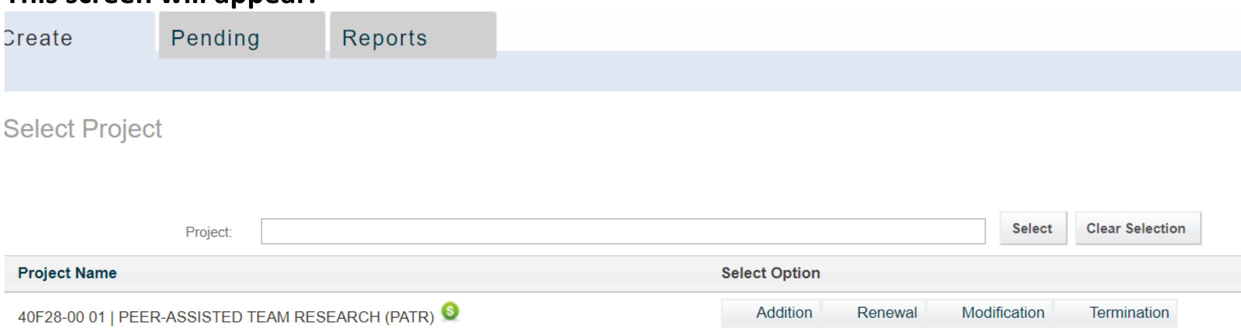
Judith Mandel jmandel@brooklyn.cuny.edu ext 5622
Robin Nesby Robin.Nesby@brooklyn.cuny.edu
Merlene Kercelin Merlene_Kerceline@rfcuny.org
Rebecca Obadeyi Rebecca_Obadeya@rfcuny.org 212-417-8653
Sacheen McWatt Sacheen_McWatt@rfcuny.org 212-417-8650

C: How to Modify a Personnel Action Form (PAF)

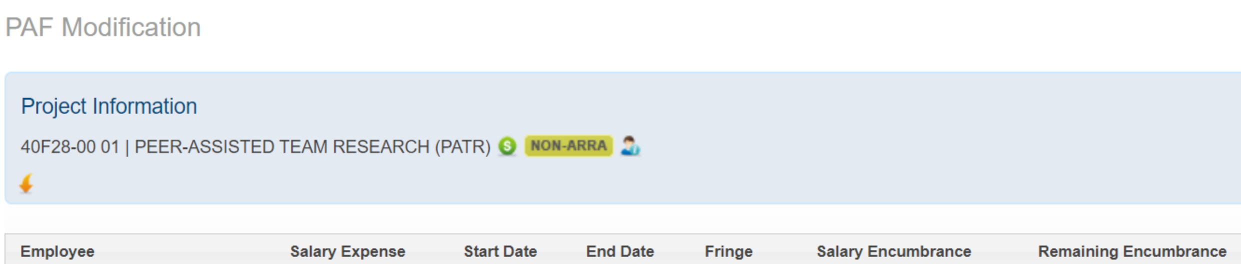
Log on to the RF with your username and password. Go to the dropdown menu Electronic Tools and click Personnel Action Form. This screen will appear:

You will have 3 options: "Create", "Pending" and "Reports". Select "Create" and then select the project that the employee is paid from. Then select "Modification".

This screen will appear:



All the names of the employees on that project will appear. Click on the name of the person whose PAF you want to modify.



You will see all the information that was previously entered into the PAF system for that person. You will now be able to change the end date, hours per pay period, and pay rate. If you are changing the hours per pay period, you also must change the schedule of hours in the timesheet in the PAF system. If you are changing the pay rate you will have to select a reason from the dropdown menu. Be sure to change the effective date to the date that you want the change to take place.

Now click "Preview" and you will see the modified PAF form. If the information there is correct,   click "Approve" on the top dashboard. If the information requires modification, click "Edit" on the dashboard. Make the changes to the PAF and click "Preview". If

everything is now correct, click “Approve”.

The form will now go to HR at the RF for approval. Once HR approves the modification (in the case of Brooklyn College, Rebecca_Obadeyi@rfcuny.org), it will then go to the Program Administrator at the RF for approval. When the PA approves it, you will get an email saying that it has been approved. The modification will also appear in the “Time and Leave” section.

D: How to Process the Termination of an Employee and Unencumber Funds

Log on to the RF website. Under “Electronic Tools”, select “Personnel Action Forms”.

Select “Create”. This will bring you to a page that lists your current grants on the left side. On the right side, the screen lists “Additions”, “Renewal”, “Modification”, and “Termination”. Select the project number and option you want, in this case, “Termination”.

The names of the employees on that grant will appear, select the name of the employee you wish to terminate or unencumber funds from. Then the screen below will appear:

- Project: 12345-00-01
- College: BK - BROOKLYN
- Budget Start Date: 6/1/2019
- End Date: 5/31/2020
- Employee: Smith, John
- Hired Date: 2/3/2019

Terminate this PAF using:

- Remaining Encumbrance Amount
- As of Future Date (Use for terminations with future dates only. Do not use for current or past terminations.)

Check that you have the correct employee and select one of the options under "Terminate the PAF", depending on when the termination is to be done. Click "Next". This will bring up all the information for this employee's appointment. On the drop-down menu for "Termination Reason". Select the reason and fill in the "As of" date. Click "Preview".

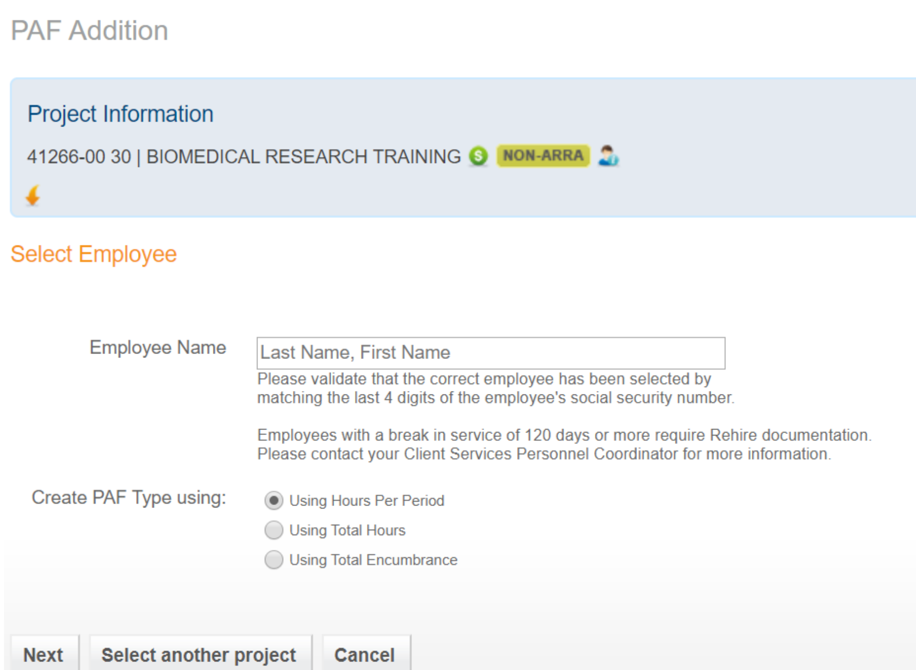
If all the information is correct, click "Submit". This will terminate the employee from the appointment as of the date entered. It will also unencumber any remaining funds, which will go back into the account for this project. If any annual leave is due to the employee, it will be paid to the employee and deducted from the balance.

E: How to Rehire an Employee

If you want to rehire an employee who has been off the RF payroll for 120 days or less, you can create a new e-PAF in the PAF system. Go to "Electronic Tools" and select "Personnel Action Form" and click "Create".

This will bring you to a page that lists your current grants on the left side. On the right side, it will have "Additions", "Renewal", "Modification", and "Termination". Select the project number and option you want. In this case that would be either "Addition" or "Modification". There is also a PAF calculator on the right-hand side that will allow you to calculate the employee's salary for the period of the appointment. You enter the start and end date and the salary, usually hourly rate, but you can also enter the biweekly salary, and the number of hours the employee will work per pay period and then click on "Calculate". The program will fill in the total number of hours and the salary.

The next screen will let you enter the employee's last name and first name. When the employee's name appears, click on it and choose the "PAF type" (usually hours per pay period).



Click "Next:" and fill in all required fields. Click "Preview" and "Submit".

If the rehire has not been on RF payroll for more than 120 days, call either of the RF people below with the employee's name, and the employee ID# or the last 4 digits of their social security number to find out the correct procedure needed to rehire this employee.

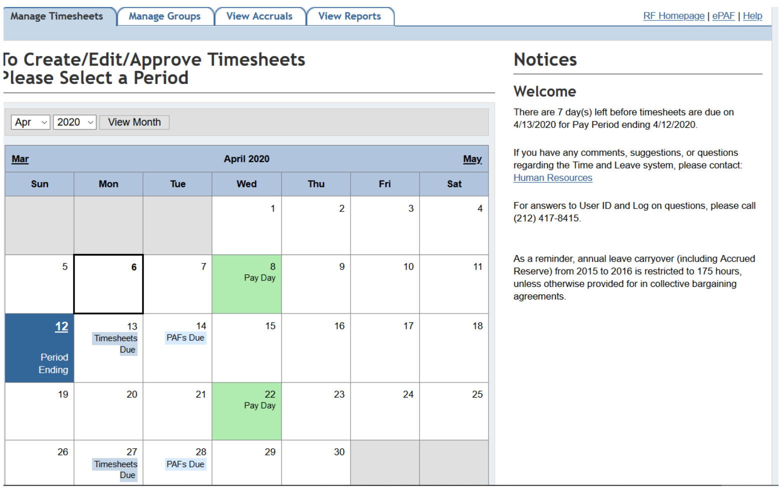
Rebecca Obadeyi Rebecca_Obadeyi@rfcuny.org 212-417-8653
Sacheen McWatt Sacheen_McWatt@rfcuny.org 212*417-8650

If a rehire package is required, log on to the RF and under the dropdown menu choose "RF ONBOARD". Choose "Create New Package" at the top dashboard in dark blue. You will need the project number and the email address of the rehire. It now asks how you would like to create this package. Choose "Preparer" and then select "Start from Scratch". There are 5 steps to complete (see section 3B for detailed instructions). After you have completed these steps, the "new" hire will be sent the part of the package to be completed by the new employee. The application will then be routed to Human Resources. Once they approve it, it will go into the system and the employee's timesheets will be created.

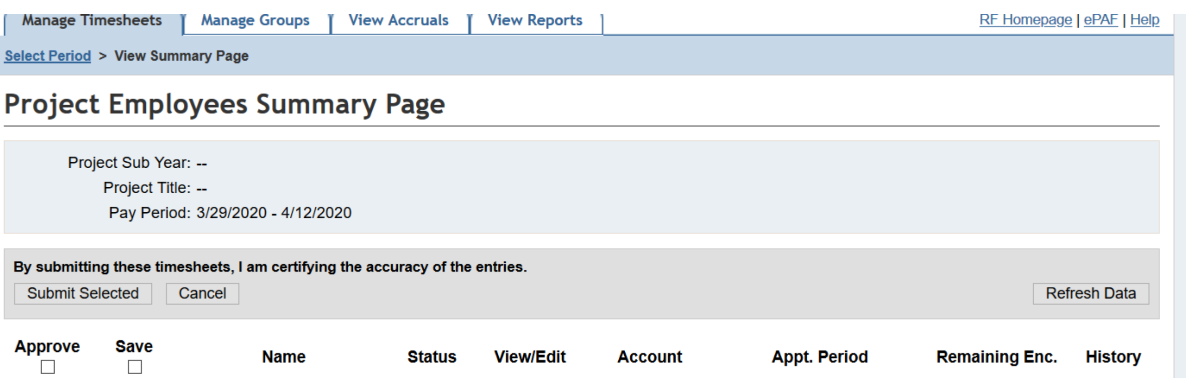
F: How to Manage and Submit Time Sheets for your Employees

Regular Pay:

The PI or a designated timekeeper is required to monitor and certify employee work hours, using a reliable system for recording work hours convenient for the project. Timesheets must be submitted on time to ensure that employees are paid. Times sheets are due every other Monday (dates are indicated on the calendar in the Time and Leave system). Log on to the RF site with username and password. Go to the dropdown menu "Electronic Tools" and select "Time and Leave".   The first tab is "Manage Timesheets" where you will see the payroll calendar (below).



The pay period ending date shows in the payroll calendar as dark blue (always a Sunday). Timesheets are due the next day, a Monday, as indicated in light blue. Click the pay period ending date that you wish to approve. In the dropdown menu, choose the project number. You will now see the names of the employees on that project.



In the center of the line with the employee's name click "View/Edit". You can now see the timesheet that the employee entered and can approve or edit the timesheet.

show/hide time & leave

Day	Date	Reg	Annual	Sick	Uns	Other Paid	Pi Comments | View: Emp, PI, Tkeeper	Total

Annual Leave, Scheduled Holidays, and Unscheduled Holidays: **The other tabs on the "Time and Leave" page are "Manage Groups", "View Accruals", and "View Reports". Click on "View Accruals" to see how many sick, annual, and unscheduled hours each of your employees have accrued. If they are using some of those hours or days on the present timesheet, you will be able to determine if they have the accrued time or need to file a request to borrow time. Employees can borrow time under certain circumstances at the discretion of the PI. Before the time being advanced, the employee must complete a form agreeing to the terms for borrowing and repaying any time advanced.**

Full and Part-time employees begin accruing *Annual Leave* from the first day of employment except for on-call, temporary and seasonal workers, part-time instructors, and Graduate Research Assistants. These accrual rates are based on a 35-hour workweek.

Accrual rates are pro-rated for Part-Time employees. To determine the amount of annual leave accrued by Part-Time employees, the number of hours worked is multiplied by a factor based on years of service. The Time and Leave system will calculate the annual and sick time for you. The minimum unit of time charged against annual leave and sick leave is one hour, with additional leave charged in multiples of quarter hours.

Only Full-time employees are eligible to be paid for Scheduled Holidays. There are usually 13 holidays scheduled annually during the fiscal year. If the pay period includes a recognized scheduled holiday, this will be filled in automatically if the employee is eligible for it.

An "Unscheduled Holiday" is time that may be used for vacation, personal or family business, religious or other special observance, etc. Full-time employees earn four Unscheduled Holidays throughout the fiscal year (July 1, October 1, January 1, and April 1). Eligibility for unscheduled holidays requires that an employee be employed Full-time on the same RFCUNY account for three consecutive months before the first day of the month of the calendar quarter. Advance authorization from an employee's supervisor is required to use unscheduled holidays. If an employee takes an unscheduled day, you have to check "UNS" for that day and put 0 in regular hours. Unscheduled holidays must be used in full days; no partial day or incremental charges are permitted. There is no payout of unscheduled holidays. If unscheduled holidays are not taken during the fiscal year in which they were earned and are not taken before the date of an employee's termination, they will be forfeited.

Sick and Other Types of Leaves: **All Full and Part-time employees begin accruing *Sick Leave* from the first day of employment. Absences of six (6) consecutive days of sick leave based on an employee's own mental or physical illness, injury, or health condition requires that the employee present certification from a health practitioner to the RFCUNY Human Resources department. Absences of six (6) or more consecutive working days based on an employee's**

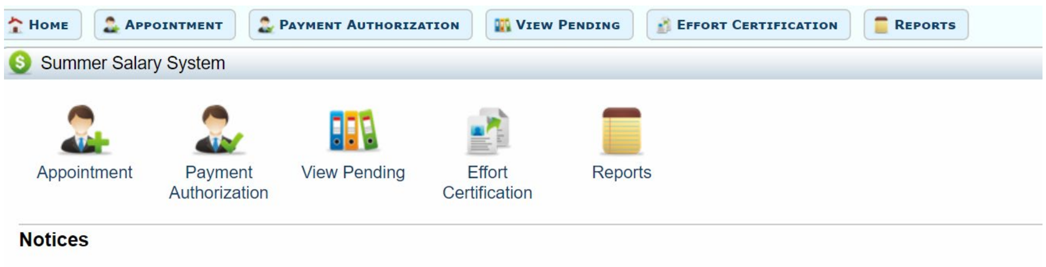
own mental or physical illness, injury, or health condition requires that the employee contact the RFCUNY Leaves Management Administrator to obtain information on applying for New York State Short-Term Disability. Certification from a health practitioner may be required for an absence of one or more days in cases of documented excessive absenteeism. Upon separation or termination of employment with RFCUNY, there is no payout of sick leave.

If the employee has claimed sick time, a drop-down menu appears and you will have to indicate if this time is for "self" or "family". Employees are allowed 40 hours of sick leave annually to care for a family member. If an employee is out for another reason, you click on "Other Paid" and a drop-down menu will give you options such as "Jury Duty", "Death in the Family", and other approved reasons for paid time. Select the reason and if necessary you can write a comment under PI comments. If all the entries have been completed and reviewed, check the box on the left side of the employee's name and then select, "Submit Selected". A green box will appear to the right of the employee's name that says "Approved".

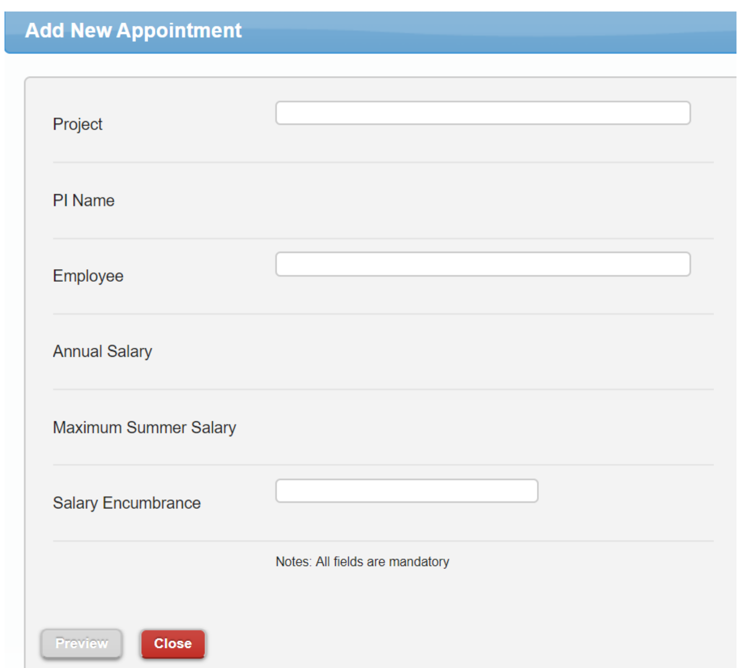
G: How to Create a Summer Salary Appointment

Creating the Appointment:

To create an appointment for summer salary for a faculty member, log on to the RF and under "Electronic Tools", select "Summer Salary". The screen below will appear and from the dashboard below select "Appointment". The next screen starts the appointment.



If the year is correct, select "Add New Appointment". if it is not, change the year to the current one. To add a new appointment on this page, enter your project number, employee name (last name, first name), and encumbrance amount.



Click "Preview" and review the information displayed. You then have the following options: "Edit", "Save", and "Approve". Once you approve the appointment, it will be sent to the campus grants officer for approval based on compliance with CUNY's rules for faculty summer salary. After the grants officer approves the summer salary, it will go to the relevant RF Project Administrator to approve. Once the RF approves the summer salary, you will receive an email and can now create the payment authorization.

NOTE: To be paid summer salary, you must create a Payment Authorization. Once the payment authorization has been approved by the RF, authorizations will be submitted to your campus payroll for payment by CUNY as part of your regular paycheck as a CUNY employee. Appropriate deductions will be made based on your annual salary including the summer salary.

Revising a Summer Salary Appointment:

To modify an already created and processed for a summer salary appointment, please see the following steps:

1) **Sign in to the RF website and access the Summer Salary System.**
2) **Go to the "Appointment" section.**
3) **Find the line for the affected employee on the relevant project account.**
4) **Click on the "Modify" button at the end of this line.**
5) **In the new window that will appear, please type in the negative or positive of the amount you would like to reduce or increase the charge by, for example, -222.22 (please enter exactly as written with no $ or space after the negative or positive sign)**
6) **Click the "Preview" button.**
7) **Click the "Process" button.**

Once you have entered the modification, the RF Project Administrator (PA) for the account will review and then approve. RF PA approval is necessary to complete the transaction.

Submitting Authorization for Summer Salary Payment: **To submit the payment authorization, log on to the RF and under "Electronic Tools" select "Summer Salary". On the main dashboard, select "Payment Authorization". Click on the recipient's name. The next screen will show "Annual Salary", "Maximum Allowable Summer Salary", "Maximum Allowable Monthly Salary", and "Maximum Allowable Salary per Pay Period". Check the box to the left of the pay period you wish to process. If you wish to allocate the entire encumbrance across all pay periods, click all the boxes. Next, enter the appropriate payment amount in the "Pending" column for each selected pay period. Click "Submit" for the current pay period for processing. Here is an example:**

- **Employee:** Smith, John
- **Project:** 12345-00 99 | BIOMEDICAL RESEARCH TRAINING
- **Amount Encumbered (YTD):** AA,AAA.AA
- **Payroll College:** BROOKLYN COLLEGE

- **Annual Salary:** BBB,BBB.BB
- **Maximum Allowable Salary (Summer):** CC,CCC.CC
- **Maximum Allowable Salary (Monthly):** DD,DDD.DD
- **Maximum Allowable Salary (Pay Period):** EE,EEE.EE

☐	Pay Period	Processed*	Pending(+/-)
☐	6/1/2018 - 6/15/2018	$1,000.00	0
☐	6/16/2018 - 6/30/2018	$1,000.00	0
☐	7/1/2018 - 7/15/2018	$1,000.00	0
☐	7/16/2018 - 7/31/2018	$1,000.00	0
☐	8/1/2018 - 8/15/2018	$1,000.00	0
☐	8/16/2018 - 8/26/2018	$1,000.00	0

*** This is the total amount to be paid for a pay period. If the employee is being paid from more than one project, hover your cursor over the information to see a detailed list of projects and amounts processed for each pay period.**

Then click "Save Selected" and "Submit Selected".

NOTE: Since payment authorization can only be submitted after work is completed, you will only be able to save payment authorizations for future pay periods. Submissions can be performed by the PI or the Grants Officer after the pay period is over.

When all your summer salary has been allocated and submitted, you will be able to submit the Effort Certification as outlined in the section that follows, "How to enter Effort Certification". Procedures for summer salary are done under the "Summer Salary" link. All other Effort Certification such as release time is done under the "Effort Certification" link which can be found under Electronic Tools on the home page.

If you have problems, contact Victor Sekelsky: Victor_Sekelsky@rfcuny.org

H: Effort Reporting

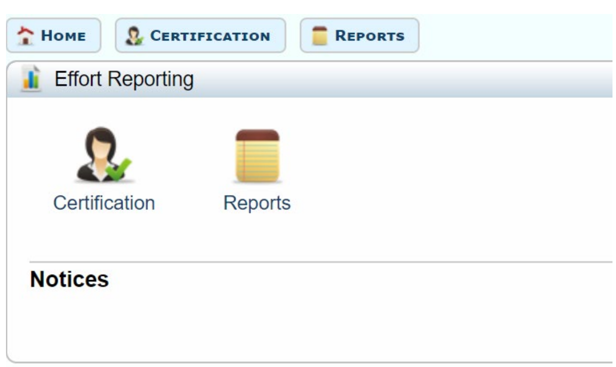
Faculty compensated on 9-month appointments are permitted to expend up to an additional 3 months of summer effort on a combination of service (paid by the College) and one or more sponsored programs in the period beyond the academic year and may earn up to 3 months of additional salary for that effort, subject to sponsor policies and the approval of the campus Grants Office.

Effort Reporting is a process mandated by the federal government by which the salary charged to a sponsored project is certified as being reasonable in relation to the effort expended on that project. Effort Reports constitute one of the primary auditable documents to support salary costs on sponsored projects.

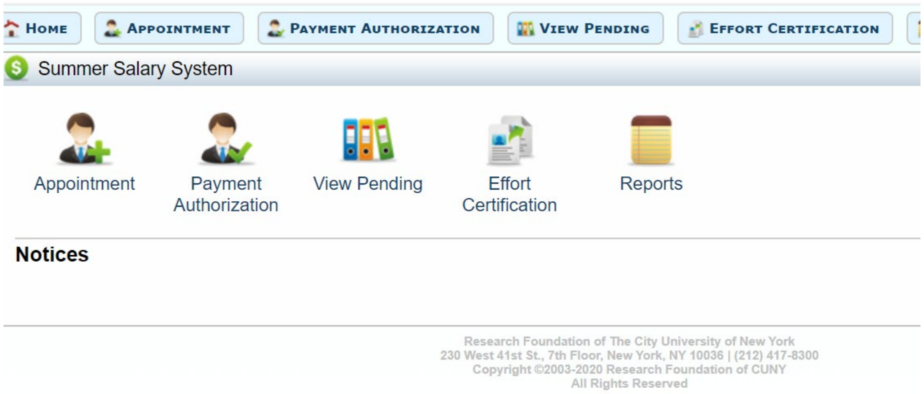
The effort on any particular project is measured as the percentage of the total obligation to the College. This obligation includes teaching, organized research, departmental administration, committee activities, etc. While the total number of hours worked may vary from month to month, total effort for each period must be expressed as 100% on the faculty member's effort report.

If you are receiving Release Time or Summer Salary from one or more of your grants, you will have to report the effort you have put into the time you are released or paid for summer salary. Online effort certification is available to the PI on the first business day after the semester ends. Effort must be certified by the Principal Investigator or responsible official at the College (i.e., Dean or Department Head) as confirmation that it represents a reasonable estimate of the percentage of effort performed by the employee during the period.

To file an Effort Report, Log on to the RF website with your user name and password (if you do not remember your user name, email weblogonid@rfcuny.org**). On the Home page, select "Electronic Tools". From the drop-down menu, select "Effort Reporting". You will have 2 icons, Effort Certification, and Reports. Click on "Effort Certification" and select the semester or summer period that you wish to certify, for example, Fall 2019 or Summer 2020. The left side of the screen will list your released time and percent effort. On the right side of the screen, you can click "Agree". If you do not agree with the percentage found there, contact Tatyana Gun at the RF at Tatyana_Gun@rfcuny.org 212-417-8577.**



If you are certifying the effort for summer salary, you will see 5 icons, "Appointment", "Payment Authorization", "View Pending", "Effort Certification", and "Reports". Select "Effort Certification".

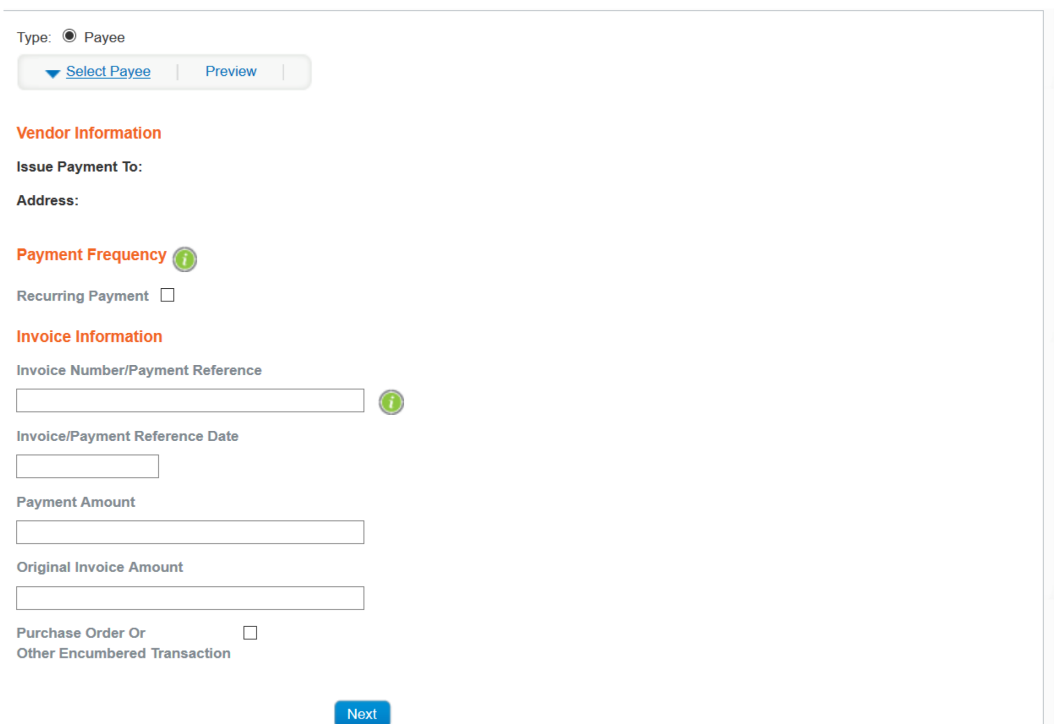


Chapter 4: Other Types of Transactions

A: How to Create a Recurring Stipend from a Federal Training Grant

According to federal requirements, stipends are only allowed when the purpose of the Federal award is a training grant, approved by a Federal awarding agency. Students receiving the stipend must be in undergraduate or graduate (or other) degree programs. The National Institutes of Health Grants Policy statement states that stipends are not allowed on research grants; any payments to students must be as employees. The National Science Foundation allows stipends only in support of participants or trainees at conferences, meetings, symposia, training activities, and workshops. On research grants, as with the NIH, NSF requires students to be paid as employees.

To pay a student a stipend, on the RF website select "Electronic Tools", then "Payment Request" and then "Create a Regular Payment Request". On the left side of the resulting screen, click on "Select Payee". Then, select "Enter New Vendor". Under "Vendor Information", enter the student's name, address, and click on "EFT eligible". Enter the student's direct deposit information. Then click "Create". All the information you entered will now appear on the left side of the screen, Check the "Recurring Payment" box, identify the payment (stipend), the date of the first stipend payment, and the entire amount of the stipend. Click "Next".



From the next screens, follow the instructions as you would for a regular payment request. As an attachment, you need to include the student's proof of citizenship or permanent resident

status such as a copy of the student's passport/birth certificate or a notarized copy of a green card, a direct deposit form, a copy of the 701 data collection form (see below), a statement of appointment from eRA Commons (for the NIH), and a Stipend Setup Worksheet. (see below) You will attach all this as a PDF when prompted and submit it for payment. The 701 data collection sheet and stipend worksheet can be found when you type "Forms" in the search box on the first page of the RF website and then go down that page to "Stipends and Scholarships".

RESEARCH FOUNDATION CUNY

RESEARCH FOUNDATION
of The City University of New York
230 West 41st Street
New York, NY 10036-7207

DATA COLLECTION FORM – SCHOLARSHIP/FELLOWSHIP

The IRS defines scholarship as an amount paid or allowed to, or for the benefit of a student at an educational institution or a research to aid in the pursuit of independent educational activity, study, or research. A fellowship is generally an amount paid for the benefit of an individual to aid in the pursuit of graduate study or research. See IRS publication 970 (Tax Benefits for Education) for more information.

Please complete and forward this document along with all corresponding documentation (payment request, recipient award letter, payment schedule, etc.) and forward it to the Payment and Procurables team at the Research Foundation of CUNY.

1. Recipient's Name (if multiple recipients, check this box ☐ and, if applicable to all recipients, answer questions 4-7 and complete the attachment spreadsheet, otherwise fill out a separate form for each recipient).

First Name ____________ Last Name ____________ M.I. ___ Email ____________

2. Is the recipient a US Citizen /US Non-citizen National or permanent resident? ☐ Yes ☐ No (if the recipient in not a US Citizen /US Non-citizen National or permanent resident, **RF form 702** must be completed by the recipient and submitted with this form. Failure to answer the question accurately may create a tax liability owed by the payee and/or college where the payee is a Non Resident Alien for tax purposes (NRA).

3. Recipient's Address: Street ____________ City: ____________ State: ______ Zip: ____

4. Recipient's EFT/ACH information: ABA Routing # ____________ Account# ____________ ☐ Checking ☐ Savings

5. Recipient's Social Security (SSN) or Individual Taxpayer ID (ITIN) No. (Not CUNY student #) ____________

6. Total Dollar Amount of Award $ ____________

7. Is the recipient enrolled in a degree program? ☐ Yes ☐ No

8 Type of Program: ☐ Undergraduate ☐ Graduate ☐ Masters ☐ Ph.D ☐ Post Doc. Other ____________

9. Is teaching or any form of services required as a condition for receiving a scholarship / fellowship? ☐ Yes ☐ No

10. If required, does research, teaching, or other services benefit the grantor? ☐ Yes ☐ No

If the answer to questions 9 or 10 is Yes, then the full payment or the service-related portion of the payment is considered compensation and not a non-service scholarship or fellowship. Review RFCUNY's compensation guidelines on how to process service payments.

11. Is the recipient also being supported by a federal or federal pass-through award? ☐ Yes ☐ No

If yes, provide RF account # ____________

Period of Support From ________ to ________ Amount $ ____________

Notes ____________

The Project Director or Principal Investigator, by signing below, represents that to the best of his/her knowledge that the above representations are true and also acknowledges that the Research Foundation providing these funds to the individual(s) requested based on the Project Director's above representations and any liabilities arising out of any misstatement may be the responsibility of school.

Project Director / Principal Investigator Signature ____________ Date ____________

RF 701 Rev. 4.11.2018

Stipend setup worksheet

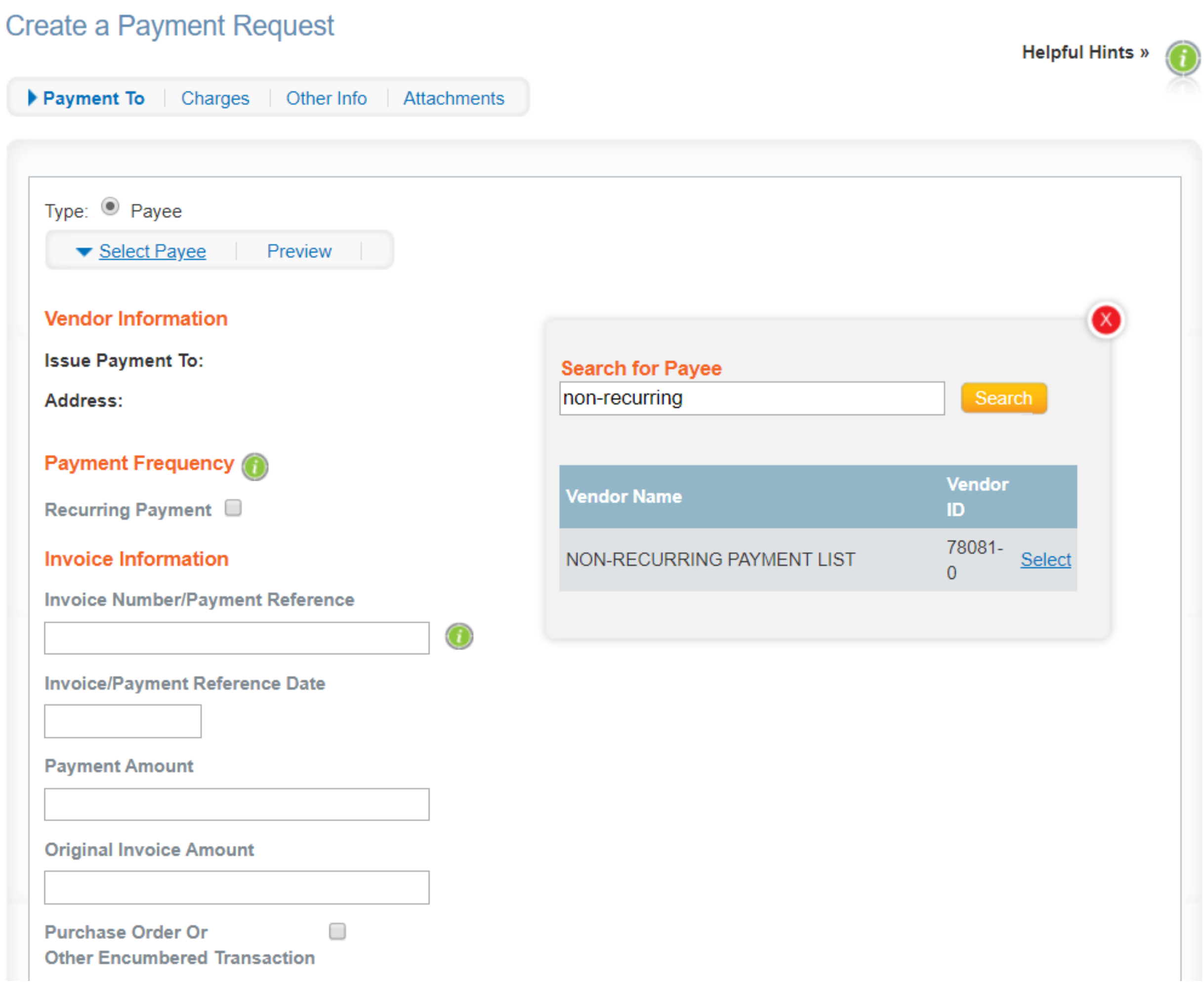
Student's name ____________

Period From: ________ To: ________

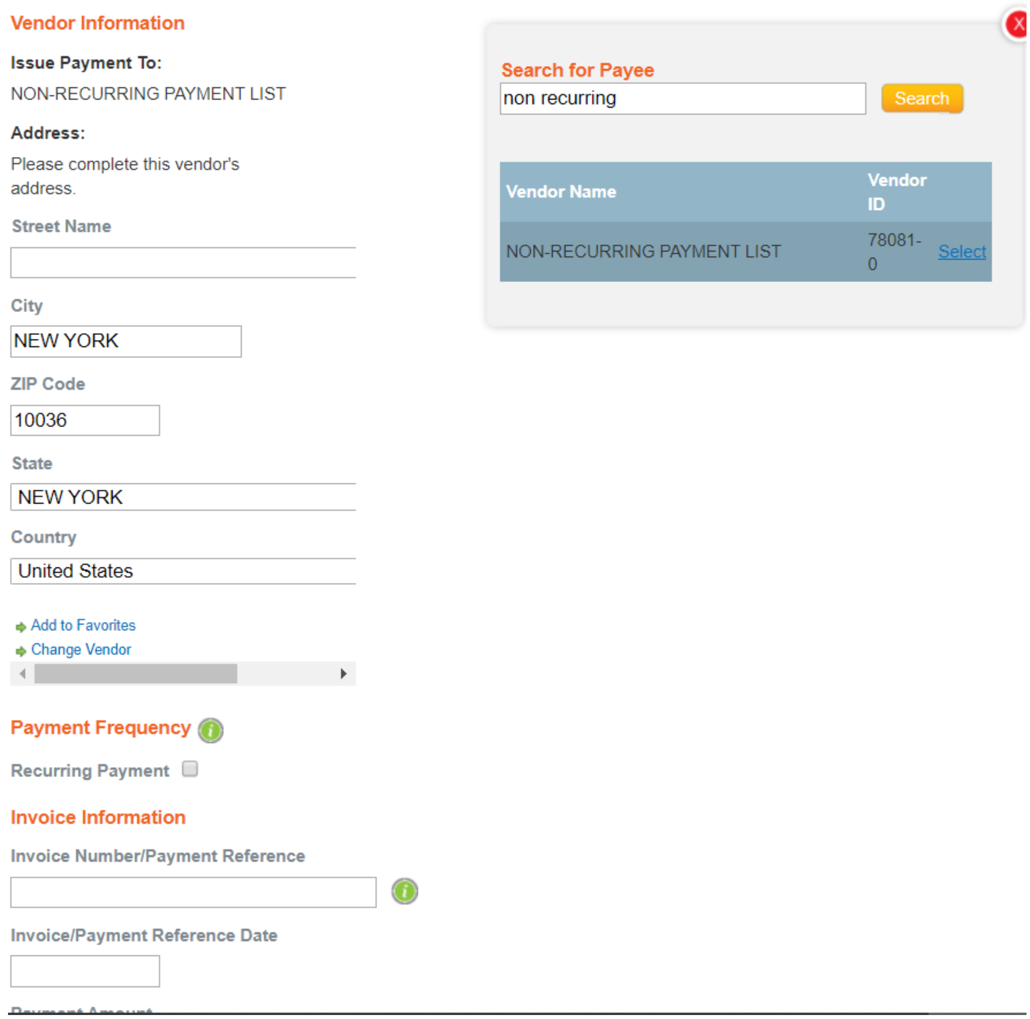
	QTY	Amount	Total	Eff. Date	# Days (if
Recurring payments	___	______	$0.00	______	=
Initial payment (if different)			______	______	
Final payment (if different)			______	______	
		Grand total:	$0.00		

B: How to Create a Non-Recurring Stipend

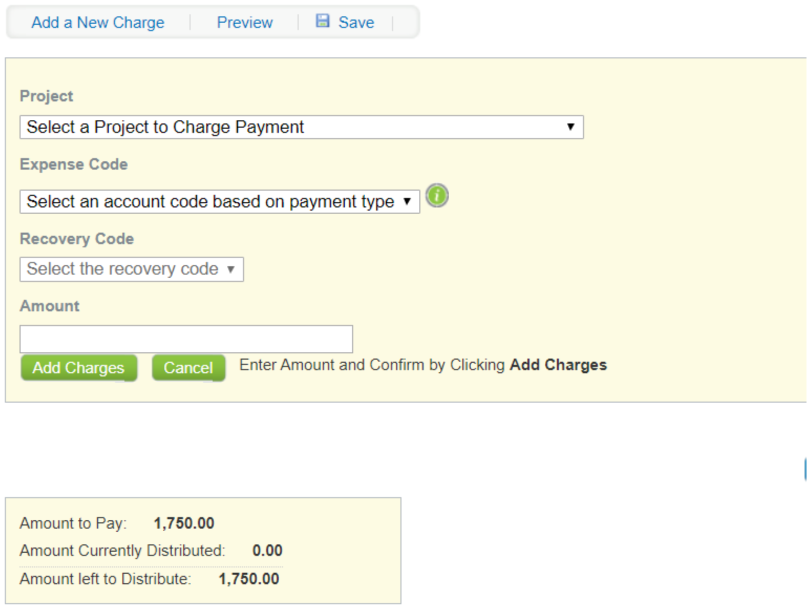
If there is only one stipend, you will enter it as a regular payment request. If you are submitting more than one stipend at a time from a grant, go to the RF website and select "Electronic Tools", select "Payment Request", then "Create a Regular Payment Request". When the screen comes up, on the left side click on "Select Payee" and from the drop-down menu, select "Find Vendor". When the search bar for Payee comes up on the right side, put in "Non-recurring".



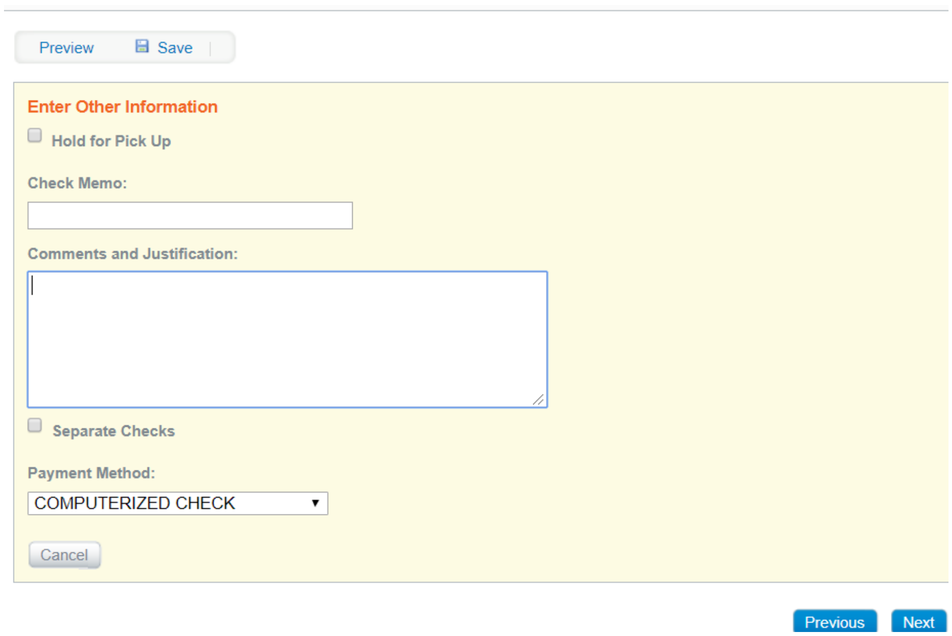
When the non-recurring payment list comes up, click on "Select". The program will autofill the left side of the page below:



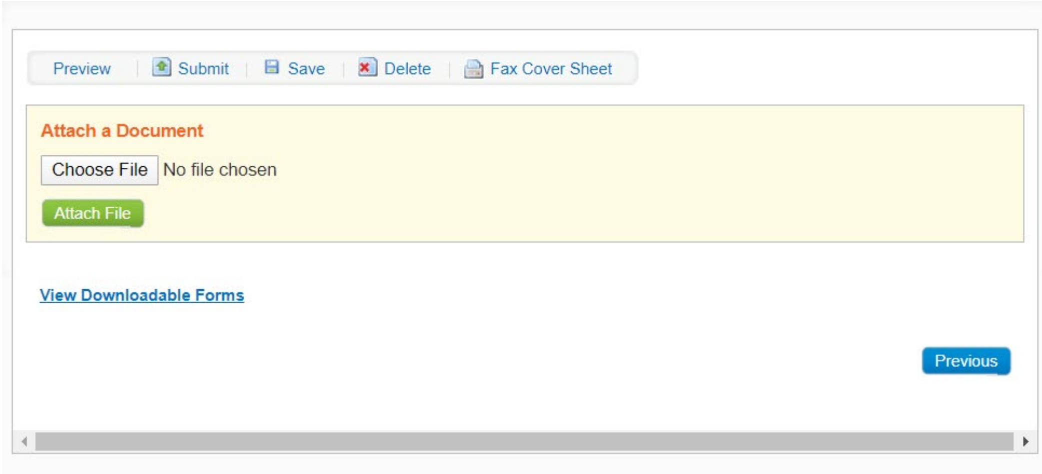
Fill in the address of the Research Foundation. The street name is 240 West 41st Street and the ZIP code is 10036-7207. Fill in the date and total amount of the stipends. Then click "Next". On this screen, if you have more than one grant, chose the grant the stipend is being paid from and then enter the expense code which is: 7805 Fellowships.



Then click next and on the next screen add any comments, if necessary,



Click "Next". On the next screen, attach PDF with the required documentation and click submit. Your PDF should include the stipend form below with the names, addresses, and social security numbers and the amount of the stipend on the form and the 701 Data Collection sheet shown below. The 701 Data Collection sheet and stipend worksheet can be found when you type "Forms" in the search box on the first page of the RF website and then go down that page to Stipends and Scholarships. Also, include in the PDF any direct deposit forms. If any of the payees is a permanent resident, attach a copy of their green cards.



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1. Recipient's Name (if multiple recipients, check this box ☑ and, if applicable to all recipients, answer questions 4-7 and complete the attachment spreadsheet, otherwise fill out a separate form for each recipient).

First Name Various ____________ Last Name ____________ M.I. ___ Email ____________

2. Is the recipient a US Citizen /US Non-citizen National or permanent resident? ☑ Yes ☐ No (if the recipient in not a US Citizen /US Non-citizen National or permanent resident, **RF form 702** must be completed by the recipient and submitted with this form. Failure to answer the question accurately may create a tax liability owed by the payee and/or college where the payee is a Non Resident Alien for tax purposes (NRA).

3. Recipient's Address: Street Various ____________ City: ____________ State: ______ Zip: ____

4. Recipient's EFT/ACH information: ABA Routing # __________ Account# ____________ ☐ Checking ☐ Savings

5. Recipient's Social Security (SSN) or Individual Taxpayer ID (ITIN) No. (Not CUNY student #) ____________

6. Total Dollar Amount of Award $ 1750.00

7. Is the recipient enrolled in a degree program? ☑ Yes ☐ No

8 Type of Program: ☑ Undergraduate ☐ Graduate ☐ Masters ☐ Ph.D ☐ Post Doc. Other ____________

9. Is teaching or any form of services required as a condition for receiving a scholarship / fellowship? ☐ Yes ☑ No

10. If required, does research, teaching, or other services benefit the grantor? ☐ Yes ☑ No

If the answer to questions 9 or 10 is Yes, then the full payment or the service-related portion of the payment is considered compensation and not a non-service scholarship or fellowship. Review RFCUNY's compensation guidelines on how to process service payments.

11. Is the recipient also being supported by a federal or federal pass-through award? ☐ Yes ☐ No

If yes, provide RF account # ____________

Period of Support From ________ to ________ Amount $ ____________

Notes ____________

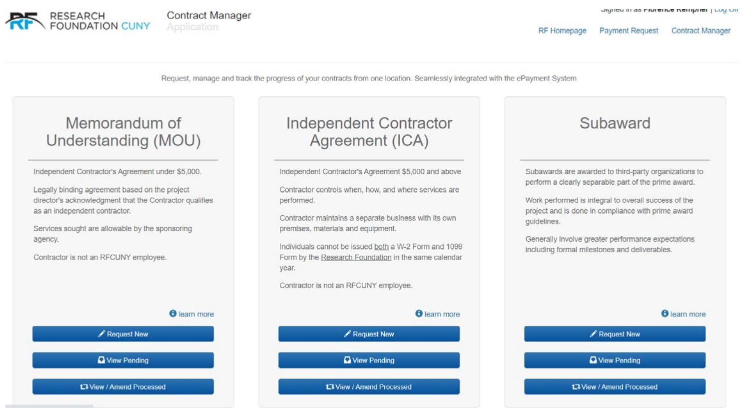
The Project Director or Principal Investigator, by signing below, represents that to the best of his/her knowledge that the above representations are true and also acknowledges that the Research Foundation providing these funds to the individual(s) requested based on the Project Director's above representations and any liabilities arising out of any misstatement may be the responsibility of school.

Project Director / Principal Investigator Signature ____________ Date ____________

C: How to Create an Independent Contractor Agreement (ICA) and a Memorandum of Understanding (MOU)

An Independent Contractor Agreement (ICA) is the document by which the RF CUNY retains the services of an independent contractor on behalf of a CUNY principal investigator (PI). An independent contractor is a worker who performs a discrete task that assists a PI in accomplishing the work the PI has agreed to perform for the award sponsor. An independent contractor controls when, how, and where services are performed, towards a promised deliverable as a goal. An individual is an independent contractor if the payer has the right to control or direct only the result of the work and not what will be done or how it will be done.

The RF CUNY refers to an ICA for less than $5,000 as a Memorandum of Understanding (MOU). The governing principals are fundamentally the same as for an ICA. Go the RF CUNY website and in the search box put in ICA or MOU and it will take you to this URL: https://www.rfcuny.org/contractmanager



Choose the appropriate option: Over $5000 choose "Independent Contractor Agreement (ICA)" and under $5000 choose "Memorandum of Understanding (MOU)". You can then Request "New", "View Pending", or "View/Amend Processed". When you select "Request New", the screen below will come up.

Check whether the ICA or MOU is for an Individual or a Company. These questions will come up for an Individual or a comparable set of questions if it is a Company:

This MOU request is for services that will be provided by

An Individual A Company

1. Will the employer (not the worker) control the means and method of how work is done?

Yes No

2. Does the employer have other employees performing similar work with a similar degree of supervision?

Yes No

3. Will the worker be engaged in an activity that is in the regular business of the employer?

Yes No

4. Will the worker be paid by the unit of time (i.e. hour, week, or month)?

Yes No

5. Will oral or written reports (i.e. status reports, timesheets) be required from the worker?

Yes No

6. Will the work be performed on the employer's premises?

Yes No

7. Would supplies, materials, and equipment be furnished by the employer?

Yes No

8. Will the worker provide the services on a regular, ongoing basis?

Yes No

9. Will the employer provide detailed work instructions or procedures to the worker?

Yes No

10. Will the employer have the right to terminate the worker at will?

Yes No

11. Would the worker be protected from significant risk or potential loss while performing the service?

Yes No

12. Does the worker have a Federal Employer Identification Number (not the same as SSN)?

Yes No

13. Does the worker hold his/her services out to the general public?

Yes No

14. Does the worker own or rent office space away from home?

Yes No

15. Is the work activity in question generally performed by nonemployees?

Yes No

16. Does the worker have multiple sources of income from the activity in question?

Yes No

17. Is the worker's enterprise of sufficient substance that it could be sold?

Yes No

18. Would the worker be allowed to delegate or assign the work to others?

○ Yes ○ No

19. Would the worker be paid a specific sum at the conclusion of the project/work/services?

○ Yes ○ No

20. Does the worker perform a high-skill activity (i.e. doctor, lawyer)?

○ Yes ○ No

After you answer the questions, select "Initiate Request". Several attachments are required, which include the scope of work to be done, fee/payment schedule, terms and conditions and proof of insurance if needed, and a W9 if needed.

<u>ADDITIONAL GUIDANCE</u>

1. **Project directors must be aware of the requirements for Independent Contractors and indicate their proposed use in grant applications or contract proposals.**

2. **Unless the budget is flexible, a specific budget category with sufficient funds must exist before engaging any consultant or other Independent Contractor. Even in awards with flexible budgets, using consultants may be prohibited by the sponsoring agency if they were not specified in the project proposal. Approval of the individual (or firm) by the funding agency may be required by the terms of the award or agency regulations.**