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Introduction

Involvement in scholarly research is a significant responsibility of full-time faculty at Fordham University. The University offers internal support for faculty research in the form of Faculty Fellowships, Faculty Research Grants, and through the Faculty Research Expense Program.

The University also offers resources so that Faculty may compete for external support from government agencies, foundations, and corporations. External support allows Faculty to develop research capability, increase productivity, and engage the wider scholarly community. The University encourages such activity.

We have compiled this manual to assist faculty in their research endeavors. These guidelines are informed by the University Statutes and have been reviewed and approved by the Senior Vice President/Chief Academic Officer and the University Research Council.

Research Administration Departments

The Office of Research
The Office of Research oversees the work of several other research units: Faculty Fellowships and Internal Grants, the Office of Sponsored Programs (OSP) and the Institutional Review Board (IRB). In addition to these units, The Office of Research also assists in the coordination of the Institutional Animal Care and Use Committee (IACUC), the Office of Research Integrity, and the Radiation Safety Program, and serves as the primary academic affairs liaison to the University Research Council. The Chief Research Officer/AVPAA serves as the Academic Affairs liaison to the Office of Corporate and Foundation Relations in Development and University and Alumni Relations (DUAR). (Office of Research website)

The Office of Sponsored Programs
The Office of Sponsored Programs (OSP) assists faculty and other university personnel in locating and securing funding for research projects. The individuals authorized to approve, sign and submit applications on behalf of the University (“Authorized Representatives”) are in OSP. OSP staff also review and can sign contracts, MOUs and other agreements, involving Fordham’s Legal Counsel whenever necessary.

The Office of Sponsored Programs is responsible for reviewing and approving all applications for external funding submitted by individual faculty members. The Office of Sponsored
Programs must review all proposals for sponsored projects where Fordham will be involved in receiving or disbursing funds, or where Fordham must make a commitment of faculty time, facilities and/or other resources. Examples of such proposals include:

- grants from government agencies (including involvement as a Co-investigator);
- contracts or subcontracts; and
- research involving human subjects or animals.

The OSP office will:
- identify potential funding sources
- work with applicants to develop their ideas for projects and to help translate those ideas into proposals
- assist with budgets and compliance with university and sponsor regulations
- review and comment on the drafts of works-in-progress, provide advice about obtaining reviews, and help to facilitate the processing of applications within the university as well as with grantors
- assist in the post-award administrative grants management process.

Additional information about The Office of Sponsored Programs, including contact information, may be found here.

The University Research Council
The University Research Council (URC) is a standing Presidential Committee that seeks to "formulate University research policies and procedures" and report these initiatives to the University President. The Council seeks to create a supportive and enabling environment for research at Fordham. In the past the Council and the Office of Sponsored Programs task force have advocated reduced teaching loads and course buybacks to support grant writing, incentives for funded research, and other measures to create a higher profile for research at Fordham. Faculty members are encouraged to contact members of the URC with issues and concerns (link to URC).

Affiliated Departments

Office of Corporate and Foundation Relations
Part of DUAR, the mission of the Office of Corporate and Foundation Relations is to generate support for Fordham University by building and sustaining partnerships with sponsors. The Office works on submissions for strategic initiatives, projects involving collaborations across schools, and other proposals for Deans and University leadership.
The initial contact for any externally funded research should be the Office of Sponsored Programs, which may refer faculty members to the Office of Corporate and Foundation Relations as necessary to fulfill the University’s strategic goals.

**Grant Accounting**
The Office of Grant Accounting (part of the Controller’s Office) assists faculty in managing awarded grants by creating internal spending accounts, monitoring financial activity, obtaining grant payments from sponsors, and creating financial reports.

**Institutional Review Board**
The Institutional Review Board (IRB) at Fordham University works with researchers in the Fordham community to assure that standards are met for the conduct of research with human subjects. All research conducted by members of the Fordham community involving human subjects is subject to review and approval by the IRB (website [here](#)).

**Institutional Animal Care and Use Committee**
The Institutional Animal Care and Use Committee (IACUC) works with researchers in the Fordham community to assure that standards are met for the conduct of research with vertebrate animals and to oversee and evaluate all aspects of the institution’s laboratory animal care and use.

**Internal Funding Opportunities**
*Administered through the Office of Research*

**Faculty Fellowships**
Faculty Fellowships are awarded to tenured faculty and tenure-track faculty to carry out study and research required for academic development. Awards are made on the basis of demonstrated research competence of the applicant, the value of the project submitted, and its potential contribution to the University, to the applicant's scholarly community, and to the professional development of the faculty member. For further information, click [here](#).

**Faculty Research Grants**
The Faculty Research Grant Program enables full-time faculty to pursue research projects that will lead to new publications and successful external funding applications. Grants provide seed money by providing funds to cover the costs of conducting research. The program gives priority to promising new lines of research, especially by junior faculty, with preference given to faculty
working towards developing external funding applications, including external fellowships. For further information, click here.

One of the purposes of the Faculty Fellowships and Faculty Research Grants is to develop skills and practices which can be used later for externally-funded awards. Internal awards are competitive, and applicants are expected to treat the application process as they would to an external sponsor, but it is recognized that this can be a valuable learning opportunity for many faculty. Please feel free to ask questions.

Please note that all purchases made using internal awards and programs are subject to the same policies as external awards, below. For further information on these Fordham programs, please email research@fordham.edu. Paperwork may be submitted to Collins Hall, Box #6, Rose Hill.

**External Funding Opportunities**

**Who is eligible to apply for funding?**

Fordham University expects the Principal Investigator (PI) of an award, subaward or contract to have the expertise to successfully complete the project. The PI is responsible for the ethical conduct of the research and the integrity of the data procured; in addition, the PI must assure that the project budget is spent in an allowable and allocable manner, be responsible for the supervision and training of any students or post-doctoral researchers on the project and fulfill any and all compliance requirements. The PI is acting on behalf of Fordham University, the named contractual entity on all external funding received through the university, and the university depends upon the PI to take this responsibility seriously.

Full time tenure-track faculty members are eligible to apply for external grant funding, as are full-time research scientists. Applications proposed by part-time faculty, administrative personnel, and visiting professors are considered on a case-by-case basis. Visiting scholars proposing to apply for grants through Fordham University must do so in collaboration with an appointed faculty member who would also be responsible for the oversight and reporting required by the project. Postdoctoral researchers vary by appointment: those with a Research Associate or comparable title may serve as PIs; those with a Research Fellow title are on a case-by-case basis. Graduate students are not eligible for PI status but may apply for fellowships and other sponsored projects with the understanding that it is under the direction and supervision of their faculty mentor, who will serve as the PI at Fordham.
In all circumstances the proposed project and the proposed personnel must be approved by the Departmental Chair and Dean, through use of the Notice of Intent to Submit (NITS) form.

**Searching for Funding**

One of the functions of the Office of Sponsored Programs is to help faculty members search for external funding opportunities. The Office of Sponsored Programs has access to resources that help facilitate this process. It is recommended that faculty members contact OSP staff and discuss their research interests. Familiarity with faculty and their research will increase the opportunity for OSP staff to be proactive in identifying possible funding sources. A number of useful websites for finding funding opportunities may be found here.

While investigators are encouraged to search for funding opportunities, it is recommended that they meet with their OSP staff to discuss all of the opportunities available.

Fordham is not eligible for all available funding opportunities: we cannot apply for grants to the NSF’s Primarily Undergraduate Institutions (PUIs) programs as we award too many doctorates in fields that the NSF supports. Additionally, we are not currently eligible for any federal Hispanic- or Minority-Serving Institution funding; similarly neither may we apply to those grants deemed Title III or Title V from the US Department of Education.

**Proposal Development**

The methods for crafting a proposal will vary from sponsor to sponsor. Foundations, state agencies, and even federal sponsors do not necessarily have uniform requirements for preparing a proposal. The Office of Sponsored Programs will help you develop your proposal to conform with each sponsor’s unique guidelines. In addition to this, you can find general information on developing proposals here under “Grant Writing Tips”.

**Initiating a Proposal**

Once a faculty or staff member becomes aware of the desire to submit a proposal, s/he should:

1. Contact the [appropriate OSP staff](#). They can assist faculty members by:
   - Helping to develop project budgets
   - Providing institutional information and documents
   - reviewing the proposal to ensure that it meets both Fordham University and sponsor guidelines
   - Suggesting changes, as needed, in order to increase the likelihood of success
   - Providing official approvals and signatures
   - Physical or electronic submissions
2. Complete a “Notice of Intent to Submit” (NITS) form (link here), and have it approved by the Departmental Chairperson (if applicable) and by the Dean of his/her school. The NITS is to be submitted 20 working days before an expected deadline, with an abstract of the proposed research and a draft budget.

The NITS form informs OSP staff of upcoming deadlines and provides the information needed to research sponsor guidelines. Department approval indicates that the proposed project has the support of the investigator’s department. This support might include physical space (e.g., labs or offices for grant staff), course buy-outs, student support, etc. The NITS also provides Dean’s approval of, for example, course buy-outs or cost sharing. If the university is not receiving full indirect costs (see here), Dean’s approval of the reduction of indirect costs must be noted on the NITS form. In addition, if GSAS graduate students are included in the project, their compensation must be reviewed by the GSAS Budget and Planning Officer.

Note that Page 2 of the NITS is a Significant Financial Interest Initial Disclosure Form. This must be filled out and signed by all Key Personnel on the proposal. Please see the Approvals, Training and Disclosures Related to Grant Funding section below for more information on Fordham’s financial conflict of interest policy.

In the circumstance that a proposal involves investigators/resources from more than one department or school, each departmental Chair/Dean must be aware of the proposed research and approve the NITS form.

**Institutional Information and Boilerplates**

The Office of Sponsored Programs maintains a repository of documents and information that is typically requested as part of a grant application. Please note that the OSP staff will be helpful in locating the appropriate information.

General information such as our tax identification number and our designation as a nonprofit institution (501(c)3 status) may be found here. Copies of our federal 990 information tax filings and audited financial reports can be obtained from OSP staff. Boilerplate language for use in Facilities & Resources sections can be found here under "Boilerplates and Information about Fordham University".

There are many instances when a grant proposal will require statistical information about Fordham such as the number of graduates from a certain program, the percentage of students
from disadvantaged backgrounds or the breakdown of full-time faculty by minority status, for some examples. The Office of Institutional Research (OIR) provides this kind of information. Much of what is needed for typical proposals can be found in the Fordham Fact Book, which is updated frequently. If the information needed cannot be found in the Fact Book, you must contact OIR well in advance of the proposal deadline with your custom report request. Due to the small size of the OIR office and the large number of faculty and administrative staff that use their services, their resources are limited. A last minute request may not be able to be accommodated, so please plan ahead. **If you have a current request and have decided not to submit the proposal, please have the courtesy of letting the OIR know that.** Those people that do need custom reports from OIR should check the appropriate box on the Notice of Intent to Submit form and OSP will let OIR to expect your request.

**Budgeting**

*(Note: many of the following instructions and guidelines are also applicable to internal applications.)*

An initial draft budget should be created by the investigator/department and submitted with the NITS form. The budget will help the Departmental Chair, Dean and OSP understand what the investigator’s expected financial needs would be. As the NITS form is circulated for approval, it is possible that recommendations will be made for changes in the budget to ensure that all expected costs are properly budgeted for. As a final step, the Office of Sponsored Programs will ensure that the correct salary, benefits and overhead costs are calculated. PIs should not make any commitments to research partners about the budget until the NITS form is approved.

All budgeting prepared for a grant proposal must take the sponsor’s guidelines into consideration, ensuring that all the costs are allowable.

Budgets are typically divided into two broad categories: Direct Costs and F&A or Indirect Costs. Direct costs are those that can be directly attributed to the research project (project salaries, materials, travel, etc.). F&A (which stands for Facilities and Administration) costs are those that are incurred by the university because of our research endeavors, but cannot be directly attributed to one sole research project (rent, utilities, security and janitorial services, administrative support, shared general office supplies, etc.).

While this is not an all-inclusive list, costs that you may need to include in your grant budget may include:
Salaries for Faculty Members

Requests for salary support from a grant should be directly proportioned to the percentage of effort/amount of time being dedicated to the project. Whether the salary is being requested as a course buy-out, supplementation, or as summer salary, it should reflect the true salary cost of a faculty member’s time. If a PI is expending more time on a research project than they are compensated for, it may be a good idea to include that portion of the PIs time as in-kind cost sharing on the grant.

1. Academic Year Salaries
   a. Course buy-outs: Course “buy-outs” allow an investigator to reduce his course- load for the academic year, to dedicate him/herself to the research set forth in a proposal. With the approval of the Departmental Chair, investigators may request funds to “buy-out” a course that s/he would be teaching during the academic year. Each course “buy-out” should be calculated at 1/8 of the investigator’s academic year salary. Please note that any course buy-out must be approved by the Chair and the Dean. It is Fordham policy not to allow faculty to reduce their teaching loads to zero in any semester.
   b. Salary Supplementation: An investigator may request a salary supplement in recognition of additional responsibilities. Faculty members are allowed to request up to 20% of their academic year salaries (or 1.8 academic year months) as a supplement during the academic year.
   c. Salary Reimbursement: If a grant requires and compensates the PI for time beyond that which can be provided by Fordham, e.g., beyond the combination of a course buy-out and 20% salary supplementation, then salary should be budgeted to reimburse the university. The NIH K awards are an example of these.
   d. Payment for teaching additional classes, beyond the normal course load: Even when written into an awarded grant, teaching an additional class for compensation must be approved by the Dean of Faculty. Please use the “Application for Approval of Additional Teaching for Faculty”, commonly known as the Overload Form, found here. Approval must be secured before the class is taught. Compensation must be in line with current adjunct faculty rates.

2. Summer Salaries
   If the research project will occur during the summer, faculty members are allowed to
request up to 3 months of summer salary. Please note that this is not inclusive of vacation for the academic year. Faculty members are encouraged to consider their needs for “down time” in requesting full-time support for the summer.

3. Special Instructions for Faculty Affected by the NIH Salary Cap

As of January 10, 2016, the NIH salary cap (Executive Level II) is $185,100 annually, or $15,425/month. Fordham uses a 9-month academic year appointment, so any faculty member whose academic base salary is $138,825 or above is subject to this cap.

a. Those faculty affected who include course buy-outs in their NIH proposal budget should calculate each buy-out at 1/8th of $138,825, or $17,353, instead of 1/8th of their actual academic year salary as instructed in 1.a. above.

b. Those affected faculty requesting salary supplementation and/or summer salary must also use the NIH cap as the basis for calculation:
   i. supplementation at 20% of $138,825, or $27,765;
   ii. summer salary at $15,425/month.

Salaries for Staff

- In the event that existing Fordham staff (already having permanent employment at Fordham University) will be participating in a research project, the investigator must estimate the percentage of that staff member's time that will be dedicated to the project. The corresponding percentage of the staff member’s salary, along with the fringe benefits (if less than full F&A), should be calculated as part of the grant’s personnel expenses. Compensation for staff members cannot be budgeted as consulting, but must be budgeted as salary. Supervisor's approval must be obtained for their participation in the grant.

- In the event that the research project would require hiring a new staff member, the grant must include the total cost of that person’s salary and his/her fringe benefits (if less than full F&A).

Graduate Research Assistants

When possible, inclusion of Graduate Research Assistants (“GRA’s”) is highly encouraged. Participation in research projects allow GRA’s to gain valuable experience, allow investigators to mentor students, and promotes the expansion of research at Fordham. An assistantship consists of an academic year stipend, 30% of tuition fees based on the number of credits the
student will take, and health care costs (the tuition and health fees are usually included as “other-than-personnel costs” on grant budgets). Please contact the Office of Sponsored Programs for the most recent stipend, health fee and tuition rates. The majority of graduate student research assistants can work no more than about two days/week (maximum of 18 hours) with the exception of advanced PhDs. If an advanced PhD (post classwork) is not receiving financial aid from Fordham, they may be eligible to work up to 35 hours/week.

Hourly and Part time workers

Payment of hourly workers (frequently undergrads or graduate students working less than 18 hours a week) is usually allowable. Hourly rates can vary from school to school, and even between departments in the same school. It is best to contact your department administrator or chair to request the current rates.

Part time employees are usually defined as those working 19 hours/week or less. Hourly rates can vary based on education/expertise level, but if the part time worker is considered an administrator, as of January 1, 2016, by New York State law they must be paid a minimum of $35,100/year. Temporary workers, by contrast, may work full time hours but for a limit of 3 months. Under both these conditions, Fordham does not offer health benefits.

Note that if a part time worker accrues more hours, or a temporary worker’s tenure is extended beyond 3 months, Fordham may be required to offer them health insurance. If your sponsor does not allow our full-rate F&A costs (which include all fringe benefits) this could affect your budget.

Fringe Benefits

Fordham University has a negotiated Facilities & Administrative (F&A) rate (see below) with federal sponsors. Fringe benefits are included as part of our F&A rate agreement when the sponsor allows us to charge our full negotiated rate.

In the circumstance that the sponsor does not allow us to charge our full negotiated rate, we must budget fringe benefits as part of the Direct Costs. Fringe benefits are calculated as a percentage of salaries and wages. The rate is dependent on the nature of the employee’s status. The most current fringe benefits can be found at the bottom of this page under “Documents You May Need”.

Instructions for hiring personnel and for processing salary paperwork after an award can be found in the “Grants Management” section of this guide.
Other-than-Personnel Costs

When allowable by the sponsor, investigators should budget for any expenses that they would incur in the course of the project, such as:

- Domestic and international travel expenses
  When using Federal funding for travel, most sponsors require you to use the government’s per diem rates and conform to the Fly America act (use of domestic carriers). Information on both can be found on OSP’s Research Guidance page.

- Office or laboratory supplies and materials; computer supplies and peripherals

- Usage fees (for laboratory use, library access, etc.)

- Capital equipment and/or computer equipment

- Capital equipment is defined by the Federal government as costing $5000 or more with a lifespan of at least one year.

- Participant support fees

- Publication expenses

- Advertising fees

- Tuition and health fees for Graduate Research Assistants

- Consultants
  Consultants cannot be Fordham employees; they must be independent contractors (see Independent Contractor Checklist). If you want to include a Fordham employee in a consultant role, they must be included in the personnel section (usually under “technical” or “other” personnel).

Facilities & Administration Costs (aka “Indirect Costs” or “Overhead”)

Facilities & Administration Costs (F&A) are those expenses that are generated as a result of research activities, but cannot be directly attributed to one research project. Examples of these costs include the cost of maintaining academic and research buildings, library resources, utility expenses, security and administrative personnel salaries, and general, shared office supplies such as notebooks, pens and toner.

Fordham University has a federally-negotiated rate agreement which should be applied whenever allowed by the sponsor. The most recent rate agreement can be found at the bottom of this page. Our full negotiated rate is assessed only on the salaries and wages of Fordham personnel. In addition to the cost categories provided above, Fordham’s rate also includes our
fringe benefits (items such as health insurance, retirement, tuition benefits, unemployment insurance, FICA and other required taxes). Fringe is expended in tandem with salary expenses, based on the real costs incurred by personnel on the grant.

When the federally negotiated rate is not allowed by a funder, fringe should be budgeted directly, and Fordham will assess the maximum rate allowed on the total direct costs, not just on our personnel costs. In addition, any reduction of the full F&A must be approved by the Dean (usually done on the NITS).

**Cost Sharing**

On occasions, a sponsor will require or strongly encourage that universities “cost share” a portion of the expenses for a research project. Cost sharing can also be referred to as a “matching” requirement, or an “institutional contribution”.

Cost sharing results in a financial commitment being made by Fordham University, therefore, any cost sharing requirements MUST be reviewed and approved by the Departmental Chair, the Dean, and the Chief Research Officer. The preliminary budget for cost share is included in the NITS budget.

**Gap Funding**

Sometimes the only way that a faculty member can accept an external award is if s/he has time off from teaching, but what if the award (particularly an external fellowship) will not provide enough salary to allow for the entire leave time needed? In cases like these, Fordham may be able to “fill the gap”. This is decided on a case-by-case basis and is subject to a few conditions, and therefore is not a guarantee. If you anticipate the need for gap funding, please contact your Chair for information and instructions.

**Entering into Subcontract/Subaward Agreements**

Subcontracts or Subawards are legally-binding agreements that are entered into between institutions for the purpose of establishing a collaborative relationship under a research project. Typically there is a “prime” institution, which is responsible for the submission of a proposal, the design and oversight of the project, and the reporting requirements. The “subcontractor” institution completes a portion of the activities under the project as agreed to in the proposal, but does not receiving the funding directly from the sponsor.

If a faculty member wishes to collaborate with a colleague at another institution s/he should bring this to the attention of OSP staff at the time that the proposal is being prepared. OSP staff
in turn will communicate with the appropriate counterpart at the collaborating institution to
determine if a subcontract is appropriate.

Be aware that as of 12/26/14, the Federal Office of Management and Budget (OMB) put into
effect the new Uniform Guidance, which is an omnibus guidance circular consolidating and
streamlining the various circulars used by different types of institutions (state and local
governments, Indian tribes, higher education and non-profits). As a result there are more
stringent rules about subawardees to control risk to Fordham which OSP and Finance are
required to adopt. Any potential subawardee will be subject to a stringent review process prior
to issuing a subaward as well as monitoring during the subaward project period, including the
review of performance reports by the Fordham PI before subawardee invoices can be
processed by Accounts Payable. In extreme cases the Fordham PI may be required to make a
site visit to the subwardee.

Should the institutions be in agreement that a subcontract is appropriate, the collaborating
institution would supply Fordham’s OSP office with a detailed budget and narrative, a
description of the work to be performed, and a signed “Intent to Establish a Consortium” letter, a
boilerplate of which may be found here.

If a Fordham faculty member wishes to collaborate with another institution on a proposal where
that other institution would be the Prime, the proposal must still go through the approval
processes (NITS completion, OSP review and submission) since the Fordham faculty is still
considered the Principal Investigator for the funding that would come to Fordham.

**Major Equipment and Space Requests**

Projects that propose to alter existing space, that require acquisition of space that is not
currently assigned to the faculty member(s), or that would require the acquisition of major
equipment (defined as costing $5000 or more, with a lifespan of at least one year) must receive
explicit approval for these activities on the NITS form. In those circumstances, the investigator
must include a detailed description of the requested space acquisition, space alteration, or
equipment acquisition.

Such requests are typically associated with long-term costs which must be calculated and
approved before an application is submitted. Estimation of costs often requires an initial plan
from an architect or engineer. It is recommended that such projects be brought to the attention
of OSP and The Office of Research four to six months in advance of the application deadline to
ensure enough time for review and approvals.
While major computer equipment is often small enough that additional space will not be needed, if a larger piece such as a server is requested faculty must work with IT to determine where it will be housed.

Submission Procedures

Deadlines
The Notice of intent form is to be submitted 20 working days before an expected deadline, with an abstract of the proposed research and a draft budget. The final proposal should be submitted as early in the process as possible, but no later than 7 working days before the deadline.

Proposals that include subcontract/subaward agreements, require approvals from other institutions, or require approvals for space or major equipment acquisitions should be submitted as early in the process as possible to ensure that the necessary approvals can be obtained before the deadline.

University Review and Approval
Provided that draft proposals are submitted within the 20 days internal deadline timeframe, Office of Sponsored Programs will review proposals for adherence to sponsor guidelines (formatting, inclusion of all required forms), general spelling and grammar, consistency in the proposed research activities, and budget accuracy and soundness. Should OSP staff find items that s/he believes should be modified, s/he will notify the faculty member of any recommended changes. The faculty member is at liberty to accept or reject proposed changes to the proposal.

Each proposal submitted by a faculty member must be reviewed and approved (signed) by the Office of Sponsored Programs. The President and Senior Vice President/Chief Academic Officer have given OSP the responsibility to reserve the right to withhold an application, particularly for budgetary or compliance issues.

Limited Submission Proposals
There are circumstances where a funding opportunity will limit the number of applications that an institution may submit (for example, the NEH summer stipend program or the Carpenter Foundation). When the Office of Sponsored Programs becomes aware of such opportunities, they are listed online here and an all-faculty email is also sent.
An internal competition is held for these opportunities. Input is normally gathered from key University Administrators, including the Departmental Chairs and Deans when appropriate. The final decision is the responsibility of the Chief Research Officer. Typically, the internal competition deadline is one month prior to the sponsor’s deadline. In the event that OSP becomes aware of a limited opportunity with insufficient time, this deadline may be shortened.

**Submission Mechanics**
Once the necessary approvals and sign-offs have been obtained, the Office of Sponsored Programs will copy and mail hard copies of proposals, or electronically submit proposals, in accordance with the sponsor’s guidelines.

**Incentives for Funded Research**
Fordham provides a financial incentive to faculty members with active research grants for the purpose of promoting our institutional research agenda. The incentive funds are to be used for maintaining staff and necessary resources during gaps of external funding, and for the completion of pilot work for future external funding applications. Receipt of funds is determined in accordance the policies established by the University Research Council (link to policy). Please note that incentives are based on actual expenditures per fiscal year, not budgeted amounts.

**Grants Management**

**Research Compliance: Approvals, Training and Disclosures Related to Grant Funding**
Prior to award, sponsors will require proof of any approvals and/or training necessary to the project. For example, the National Institutes of Health (NIH) will not send an award notice without proof of Institutional Review Board approval if the project involves the use of human subjects. Even if an award notice is issued, Fordham will not allow activity on a grant account if there are outstanding approvals or trainings required by Fordham. Please see the below for guidance.

**Biohazardous Materials and Select Agents**
The use of biohazardous materials and select agents must be closely regulated to ensure the safety of all Fordham University members. Use of such materials must also be protected to prevent inappropriate usage (including disposal). A list of select agents may be found here. For additional information including the acquisition, maintenance and disposal of these materials,
please contact Dr. Edward Dubrovsky.

Clinical Trials
All clinical trial studies must be registered on a publicly-accessible website. This requirement dates back to 1997 when the first law was put in place requiring that the National Institutes of Health create a public information resource on clinical trials regulated by the FDA; it has since been expanded via numerous laws and guiding principles to include all clinical trials funded by both private and public funds and to include not just a registration of the trials but reporting on the results and any adverse conditions encountered. The purpose of this is to avoid duplicate trials, especially those with negative results or that cause adverse conditions in participants, and to establish trust with clinical trial participants and potential participants that information from human participation in clinical trials is being put to maximum use to further knowledge about their individual conditions. In order to register your clinical trial, go to the ClinicalTrials.gov Protocol Registration and Results System (PRS) at https://register.clinicaltrials.gov/. Note that the Organization name is ‘FordhamU’, not just ‘Fordham’.

Export Control
Export control laws exist to make sure that sensitive materials, software and equipment, weapons, and funding do not to end up in the wrong hands for reasons of foreign policy and national security. “Export” in this case can refer not just to physically carrying, for example, encrypted software to an embargoed country, but also allowing a postdoc from an embargoed country to view sensitive materials here on the Fordham campus. While these laws do provide exclusions for “fundamental research”, the criteria under which the exclusions apply are narrowly defined and it can be unclear in some cases whether an activity or item falls under these laws and therefore requires an export license. The Department of State has provided a helpful overview as well as a compilation of red flags and watch lists. It is best to contact your OSP representative if you are unsure whether a proposed activity could fall under export control laws; for guidance on bringing international visitors to Fordham, regardless of whether they’d be connected to an external award or not, please see the Office of International Services website.

Human Subjects
Any and all research conducted by any member of the Fordham University Community (including faculty, visiting and adjunct professors, staff, and students) that involve human
subjects must be reviewed and approved by the Institutional Review Board (IRB). Even if the investigator believes that the research is exempt from approval requirements, it is the IRB’s responsibility to designate whether a project is exempt or not. Detailed information including IRB guidelines and procedures, schedule of meetings, and forms can be found here.

Financial Conflict of Interest in Research Disclosure
In 2011, the Public Health Service (PHS), which comprises many federal funders that provide grant or contract funds to Fordham, decided to adopt a new, more stringent financial conflict of interest in research policy. The full policy and discussion points can be found here. Due to the fact that a growing number of non-Federal funders are also using the new PHS financial conflict of interest policies, Fordham University has opted to adopt these guidelines for all externally-funded projects regardless of the sponsor. Fordham’s Office of Sponsored Programs and Office of Legal Counsel have developed a Policy on Financial Conflict of Interest in Externally-Sponsored Research. Additionally, a Disclosure Form has been developed.

One of the requirements of the new PHS policy is an education program, which must be completed prior to expending any grant dollars, and must be updated at least every four years. Fordham is using the Collaborative Institutional Training Initiative (CITI) Financial Conflict of Interest training module. Please follow these instructions to take the training.

Everyone defined as an Investigator as per University Policy must submit a disclosure form:

- Prior to the application for an externally-funded research project, along with the Notice of Intent to Submit (NITS) form;
- Within 30 days of the discovery or acquisition of a new significant financial interest associated with the research project;
- On an annual basis during the life of the research project (the best time is when the annual progress report is being submitted to the sponsor).

Public Access Policies
Both the National Institutes of Health and the National Science Foundation have policies in place regarding the availability of publications that were made possible through their funding. Peer-reviewed publications must be made publicly available within a certain timeframe; not doing so may delay further funding. Please see the NIH’s policy here and the NSF’s policy here for further details.

Responsible Conduct of Research
For certain Federal grants issued by the National Institutes of Health (NIH) and National Science Foundation (NSF), it is mandatory that undergraduate and graduate students and postdoctoral researchers be trained in the responsible conduct of research if they are being paid off of these grants. Training may include such topics as avoiding scientific misconduct and plagiarism, observing safety protocols, the ethical use of human subjects or tissues and proper care of laboratory animals. Fordham strongly encourages this training not just for those grants which require it, but for all research at the University. For more information please visit the OSP’s Training in the Responsible Conduct of Research website.

**Rigor and Reproducibility**

One of the most important aspects of research is the ability to reproduce results or extend research findings, and unfortunately it can sometimes be difficult or impossible to do so (see Francis S. Collins and Lawrence A. Tabak’s [article in Nature](https://www.nature.com) regarding this issue). In the hopes of ameliorating some of the causes of this problem, as of January 25, 2016, all research and career applications to the National Institutes of Health must include information about biological variables as well as authentication of key biological and/or chemical resources if applicable. Anticipated to go into effect in 2017, the NIH will also require formal instruction in rigorous design and transparency for all individuals supported by institutional training grants (the T’s), institutional career development awards (some K’s) and individual fellowships (the F’s).

**Vertebrate Animals**

Research conducted by any member of the Fordham University Community (including faculty, visiting and adjunct professors, staff and research assistants) involving vertebrate animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). The committee is currently administered by Dr. Berish Rubin. For information on policies, forms and for guidance, please contact [Dr. Rubin](mailto:Dr.Rubin).  

**Award Notices**

An Award Notice is the official documentation acknowledges sponsor approval of a proposal for funding. These notices usually detail the amount of funding awarded and the terms and conditions of the award (including reporting requirements). All notices acknowledging that a sponsor has agreed to award a proposal must be forwarded to the Office of Sponsored
Programs for appropriate action. A majority of sponsors will forward award notices directly to OSP; however, in the event that a faculty member receives an award notice (or award check) directly, s/he should forward it to the Office of Sponsored Programs.

A notification of award may be sent to Fordham as an electronic or a hard copy document. State and City agencies typically generate contracts which must be signed by all the parties involved. Any notification of award (including contracts and subcontracts), must be reviewed, accepted, and when necessary, signed by the Office of Sponsored Programs.

Award Notices must be received in order to establish an internal spending account. Expenses should not be incurred on a research project until an official notices of award has been received from the sponsor.

In the event that there is a discrepancy between the budget requested in a grant proposal and the amount of the award, it will be necessary for the OSP staff and the Principal Investigator to reconfigure the budget to ensure that the project is still feasible, and to provide accurate information to the Controller’s Office.

**Creating a Banner Account (FOAP)**

A Banner account is an internal spending account established for each externally funded research program. Each grant is held in a separate internal Banner account to ensure appropriate monitoring of expenditures, adherence to the Sponsor’s spending guidelines, and to allow for financial reporting. The Banner account is divided into “line items” which are descriptive categories into which the funds are divided (for example: hourly wages, office supplies, travel). Banner accounts are also known as FOAPs, which stands for Fund/Organization/Account/Program, and will sometimes be referred to as the “fund” rather than the “account”.

Upon receipt of an Award Notice, the Office of Sponsored Programs will gather all of the information that the Controller’s Office needs in order to establish an internal account. At this point, OSP staff may contact the Principal Investigator to ensure that the line items are properly budgeted, and to gather information about personnel being hired, etc.

Once the Controller’s Office receives the material from OSP, it creates a unique “Banner account number”, which is emailed to the Principal Investigator along with a detailed line-item budget. If there are any discrepancies between the budget that the Principal Investigator receives and what s/he believes the budget should be, this should be brought to the attention of
the appropriate OSP staff. In addition to the budget, the Controller’s Office also attaches information about award management which includes Fordham procedures as well as Federal requirements when applicable. The PI is expected to review and follow these guidelines.

The Banner Account number is to be referenced on all invoices, check requests, Employee Action Forms, and any other requests for charges to be made against the grant. Principal Investigators are automatically listed as the manager of the grant and have signature authority, but may want to extend signature power to others on the grant (Co-PI, program director, etc.). To gain signature power for Procurement/Accounts Payable actions, a signature authorization form must be filled out; this form is available from Procurement, at Faculty Memorial Hall room 131 (x4910). To be authorized to sign off for time sheets, please contact Stacey Vasquez from Human Resources Information Systems (HRIS) at extension 4937 for instructions.

**Monitoring your Banner Account**

Principal Investigators have access to real-time information on their Banner account through the Banner Self-Service module on the Employee tab of my.fordham.edu. Full Banner training is available from the Controller’s Office; they offer training once a month. Please see the “Learn IT” training calendar page here for dates of upcoming Banner trainings, and click on the class to register (because of room size, registrations are necessary). A quick guide on budget queries is found in Appendix C of this document. It is essential that PIs monitor their Banner funds using this tool to assure that their grants or contracts are being charged correctly throughout the life of the project.

**Re-budgeting**

Expenses on a grant account should adhere to the Sponsor’s guidelines on allowable expenditures and should correspond to the awarded budget. There are circumstances when unexpected variances will occur in the budget. Re-budgeting may be allowed by some sponsors within defined parameters. If a faculty or staff member needs to change the allocation of the line-item expenses on a budget, s/he should notify OSP staff, who will offer advice on the appropriateness of the changes, and will notify or request permission from the sponsor if necessary. In order to process a budget transfer once deemed appropriate, the budget administrator (usually the PI) must fill out and sign the Request for Budget Transfer, then email to their OSP staff contact for review and approval. OSP will then pass the request to the Controller’s Office, who will process the change in the Banner system and email a confirmation.
Processing Course Buy-Outs, Salary Relief, and Salary Supplementation

Once a PI has received an official Award Notice and have received notification that an internal Banner account has been established, s/he can access the funds to provide a salary supplementation, to request summer salary, or to transfer a portion of a faculty member’s academic year salary to the grant account. All of these activities are done by completing an Employee Action Form. The form may be accessed here.

The Banner account number is to be written in the line titled “Budget1”. In the section entitled “Additional Comments” the Principal Investigator should include any relevant information to the grant (e.g., the sponsor, dates, percent of time). The form is to be signed by the Departmental Chair, the Dean and by Academic Affairs. Faculty members are encouraged to seek assistance from OSP staff when preparing this form.

When a course buy-out is budgeted into a Banner account, it will be processed automatically for the semester indicated unless notification is provided by the faculty member to the Office of the Provost that they will not be taking the buy-out at that time.

Hiring Grant Personnel

All requests for full-time employees and part-time, benefitted, administrative and clerical positions (new hires as well as replacements) must be approved by the Provost’s Office. The procedures are posted on the Office of Planning and Analysis website. This site describes the general process; there is some possible streamlining of procedures for new hires that are specifically named in a grant award. Please contact your OSP officer for information on hiring for part-time or temporary non-benefitted employees. Processes change often so it is important to check with your OSP contact prior to initiating a new hire.

Please note that there are additional instructions for prospective employees who are foreign nationals above and beyond the usual hiring procedures, and anyone hiring such a candidate is strongly encouraged to contact OSP staff. Helpful information has been provided by the Office for International Services: Hiring Foreign Nationals.

Please see Appendix A for general guidelines and tips from Human Resources. We will try to keep this up to date as much as possible; if you become aware of a procedure or policy change, please let us know so we can update it.
Anyone that pays employees on a grant award or contract becomes an administrator, and must follow the guidelines of the Fordham University Administrative Handbook.

Note Regarding Employment of Members of the Same Family or Household
While the Administrative Handbook specifically states that you may not work in the same department as, or serve in a supervisory capacity over, a member of your immediate family or household, there can sometimes be exceptions. There are many cases of husband/wife and other partnership teams of researchers who met in the field and developed their careers together, for example. In a case such as this, a Request for Exemption must be filed, to be approved by both your Chair and Dean (or equivalent ranks). The request must include the role the family/household member will hold, the amount and source of the salary, and their unique qualifications to the research project that necessitate their employ.

Paying for Grant Related Research Expenses
Reimbursement of expenses, purchases and payment of consultants under a grant must adhere to the sponsor’s guidelines and should correspond to the awarded budget. In addition to this, expenses must adhere to Policies and Procedures established Fordham University’s Purchasing department. A link to the Purchasing Department’s Policies and Procedures Manual may be accessed here and the Accounts Payable manual (dated June 2013) can be downloaded here. Payments to project participants, consultants, subcontractors and other personnel, or computer hardware/software, should not be made by the investigator as an out-of-pocket expense. You may not be reimbursed by the university for payments such as this.

Before ordering software, in order to avoid duplicate purchases, please consult the list of available software: Software Resources. If the software package you need is not already available, please go through Computer Acquisitions to purchase it, following the instructions listed below in “Equipment”.

To Submit a Check Request for Reimbursement
To receive reimbursement for expenses that were incurred out-of-pocket* or to submit payment to consultants and subcontractors:

- Complete and sign a check request form
- Submit the check request form along with original receipts (receipts smaller than 81/2” x 11” must be taped to an 81/2” x 11” sheet of paper) to the Controller’s Office Accounts
Payable Department located at Faculty Memorial Hall, Room 525.

* Payment to project participants, consultants, subcontractors and personnel, or computer hardware/software, should not be made by the investigator as an out-of-pocket expense. Out of pocket expenses should be limited to supplies and incidentals. If in question, please contact OSP staff to determine whether an expense can be paid out of pocket.

To Place Orders for Items Costing $1000 or Less and Have Fordham Pay for the Expense Directly:

1. Prepare a Limited Purchase Order (LPO) Form:
   - At top left, the number you enter in the box after “LP” is your award’s FOAP followed by the number of LPOs you have submitted to be charged to this account (i.e., 0001, 0002, 0003, etc.).
   - “Invoice To” and “Deliver To” should contain your name and mailing information at Fordham University.
   - “Vendor” should contain the name, address, and phone number of, and contact individual (if you have this information) at the company from which you are making this purchase.
   - Fill in the information about the item(s) you want to purchase as requested.
   - "LPO Approval Signature" must be provided by the award account's Budget Administrator.
   - Be certain to provide where requested the name and phone number for yourself or whoever you want to designate as the person to answer questions regarding this order.
   - DO NOT fill in anything below the phone number following “For Information Contact”

2. Submit the bottom sheet (marked “Vendor Copy”) of the LPO to the vendor.

3. Once you’ve received your order, check to make sure that everything is complete and in its proper condition. Enter your FOAP on the LPO (in the “charge to” line), obtain authorized signature (signature of the Budget Administrator, usually the principal investigator). Keep the sheet stamped “Ordering Department Copy” for your records and submit the top sheet and original invoice from the vendor to the Accounts Payable department of the Controller’s Office located at Faculty Memorial Hall Room 525.

To Place Orders for Items Costing More Than $1000 (Must Be Processed Through Fordham):

1. Prepare a Purchase Requisition Form.
   - Fill in requisition date, required delivery date if applicable, and fill in any terms and delivery information (FOB means “Free On Board” and indicates the prices for goods including delivery).
   - If this is a confirmation of a previous order and you are doing the required paperwork
after the fact, check off the “DO NOT DUPLICATE” box and fill in the information.

- Fill in all information for the recommended vendor. If this is a sole-source item, Purchasing will confirm that; otherwise they may be required to obtain quotes from other vendors before being able to place the order.
- Fill in your Fund, Org and Program and your deliver to information (which must be to your Fordham address); in the section below, fill in the individual account numbers for each item as per your budget issued by Finance.
- Fill in your information at “Prepared By” and obtain required approval signature.

2. Keep the back (green) copy and send the front (yellow) copy to Procurement at FMH, Rose Hill Campus.

3. Once you have received the invoice, sign it and indicate the Purchase Order Number (if not already printed on invoice) and forward to Accounts Payable, FMH room 525, Rose Hill Campus.

**Ordering Office Supplies**

**Please note** that general office supplies may **not** be charged directly to a Federal award. “General” refers to anything that is used communally or for many projects, funded or unfunded, such as paper for a central copier or printer, pens, sticky notes, paper clips, etc. The only office supplies that may be charged to a Federal award are those that are used for that specific project; for example, cardstock and postage used to create recruitment brochures for that project would be an allowable expense.

Fordham University has a contract with Staples Business Advantage (SBA) and an on-site customer service representative (Allison Lugo) who can assist you with questions about products, availability or delivery issues from 9am-5pm Monday through Friday by calling 718-817-4733. In order to take advantage of the SBA pricing, your order must be a minimum of $60. To set up your Banner fund with on-line ordering through SBA, contact Ms. Lugo. If your order is less than $60, please use personal funds and request reimbursement with a check request. Any questions about ordering from Staples in general, please contact Fordham’s purchasing agent, Shonda Nesbitt at 718-817-4915.

**Subawardees**

In order to process subaward payments, a fully executed subaward agreement must be in place. Subawards are negotiated and signed by The Office of Sponsored Programs, which forwards copies of the agreements to the Controller’s Office. Once an executed agreement is in place, the subawardee may send invoices to the PI in accordance with the reimbursement
terms of the agreement. The investigator should send this invoice with a check requisition form and the Subrecipient Invoice Monitoring Guide to Vicki Siefring in the Controller’s Office (FMH 536) to initiate payment.

If the payment needs to be in the form of a wire transfer rather than a check, a check request form is still used. In the “Special Instructions” box write: WIRE TRANSFER -- WIRE DETAIL INFORMATION ATTACHED. Attach a completed Wire Transfer Template; you will need the following information to fill it out:

- Bank name
- Bank address
- ABA (routing) number -- for domestic banks
  OR
- Swift code -- for international banks
- Account name
- Account number
- Identifiers, if necessary (invoice number, credit to, etc.)

Independent Contractors (Consultants)
In order to receive payment, the following forms must be completed: Independent Contractor Checklist, Consultant Sole Source Justification and a W-9. All of these forms are available on the OSP “Forms” page here. The PI and the consultant should write up a brief statement of what the contractor is expected to do for the project with signatures from both parties. In addition, the consultant may submit an invoice or the PI may write a memo describing what service was performed and how much the consultant will be paid. All documents are to be attached to a check request listing the Banner FOAP and sent to your contact at the Office of Sponsored Programs for review; our office will then send along to Accounts Payable.

If a consultant is not a US citizen or resident alien, instead of a W-9 form, a W-8BEN form should be used (found here). In addition, if the consultant has a social security or individual taxpayer identification number, they must fill out IRS form 8233 found here, instructions for form found here) and attach an accompanying statement (you can download a template here). Finally Fordham University’s Alien Information Collection Form (download here), a copy of the consultant’s social security card (if applicable) and copy of the consultant’s passport (main page, visa and US entry stamps) must accompany the statement, invoice or memo, and check request listed above.
Research Participants – Cash Payments

- To obtain funds to recruit subjects (e.g. to reimburse costs for participation, provide incentives for participation such as food, cash, gifts, etc.):
- Complete a Check Request Form for the total funds that are expected to be paid, payable to the Budget Administrator (authorized signatory for the account);
- Prepare a Memo to accompany the Check Request which details that the funds will be used for payment to participants, the number of participants that will be involved in the study, and a description of the dollar value and nature of the incentive that each subject will receive and a short summary of the purpose of the study/incentives (2-3 sentences);
- (a) If this is not a confidential study: Have each of the subjects sign a sheet(s) verifying what s/he has received for participating in the study. The PI must submit these receipts. (b) If this is a confidential study: Provide a list of reference numbers instead of the participant names (example FD0001, FD0002, etc.), the date the funds were distributed and amounts distributed. These reference numbers should refer back to documentation the PI maintains which holds the participants’ true identity, a sign-off from the participant who received the incentive, or an e-mail acknowledging they received the gift card if sent by mail and any other support for the study. Maintain this documentation in case your grant is audited, for as many years as the federal or state government document retention policy states;
- Submit the Check Request, memo, Statement of Advance Form (available from the Accounts Payable manager at 718-817-4957) and the receipts or list to the Accounts Payable department of the Controller’s Office located at Faculty Memorial Hall Room 525.

Research Participants – Gift Cards

As mentioned below in the Travel section, some PIs have corporate American Express cards. In certain situations, it may be allowable to use these corporate cards to purchase gift cards for research subjects, but this MUST be approved by Bob Steves (718-817-4945) prior to usage. If not approved beforehand, the charges will not be allowed.

If a corporate card is unavailable or not allowed for this usage, the PI may send an email to Angela Epstein and/or Frank Deorio in Procurement requesting the purchase of the gift cards. The email will serve as a requisition and must contain the following information:

- Grant FOAP which should be charged
- Name of vendor
- Value of gift cards
- Number of gift cards for purchase – it is suggested that these are ordered in batches in order to avoid having leftover, unusable cards which probably cannot be returned
- (a) If this is not a confidential study: The names of each research participant receiving a gift card. (b) If this is a confidential study: Provide a list of reference
numbers instead of the participant names (example FD0001, FD0002, etc.) and the
dates the gift cards were distributed. These reference numbers should refer back to
documentation the PI maintains which holds the participants’ true identity, a sign-off from
the participant who received the gift card, or an e-mail acknowledging they received the
gift card if sent by mail and any other support for the study. Maintain this documentation
in case your grant is audited, for as many years as the federal or state government
document retention policy states.

- Approval by the department Chair or other appropriate authority depending upon the
  school or if the PI has the grant as part of a center (Dean, AVP, etc.).

**Equipment**

Capital equipment is defined as any single apparatus costing $5,000 or more. It is University
policy that all goods purchased by the University, regardless of funding source, must be shipped
to and received by the University. However, it is permissible to reship goods to the requestor
after being recorded as a Fordham University asset.

Acquisition of purchased or leased computers and related equipment must be coordinated
through Fordham IT’s Computer Acquisition department (CAD). Please contact CAD for current
procedures: Jim Castillo at (718) 817-4222. CAD will process requisitions if they are in
compliance with the University’s computer procurement and maintenance policies and transmit
approved requisitions to the Office of Procurement for distribution to vendor. Please see the
Computer Acquisitions link on my.fordham.edu under the “Employee” tab for more information.

The University is required to keep an inventory of equipment purchased with federal grant
funding, therefore, it is important that such purchases be coordinated through the acquisition
department and that records of the apparatus’ acquisition (price, model and serial numbers,
condition in which it was bought) be kept for auditing purposes. Ownership of equipment
purchased with grant funding may be regulated by the sponsoring agency. For federally-funded
grants, for example, the sponsoring agency may reserve the right to claim ownership of
equipment once the project has ended. As financial stewards of external grants, Fordham
University is accountable for this equipment. Equipment purchases do not become the personal
property of the investigator. Should an investigator leave Fordham and wish to transfer any item
of equipment to their new place of business, s/he must work with the Vice President for Budget
and Logistics in Academic Affairs at (718) 817-3044 in order to gain approval for the transfer.

**Travel**

As mentioned in the budgeting section, if traveling on Federal funds government per diem rates
must be used for meals and incidentals. In addition, travelers using Federal funds must conform to the Fly America act which requires that in most circumstances a domestic carrier (or partner of a domestic carrier) must be used for all flights regardless of cost. Information on both can be found here.

Fordham uses a travel service called Omega World Travel, who are authorized to bill flight arrangements directly to grants; they can also arrange hotel bookings but require a credit card number for that service. More information on how to use Omega can be found here; other travel information such as receiving reimbursements for travel, using a university credit card and paying for travel for non-Fordham employees can be found on the Travel and Reimbursement Policies and Procedures page.

PIs on grants may request a corporate American Express card by contacting Bob Steves at 718-817-4945 and requesting an application. These cards may be used for grant-related travel expenses only and will be billed directly to your Banner fund.

**Reporting**

Interim and final programmatic reports are to be prepared by the Principal Investigator, and submitted by either the Principal Investigator or OSP staff, depending on the sponsor's guidelines. Interim and final financial reports are prepared and submitted by the Controller's Office.

The Office of Sponsored Programs or the Office of the Controller may remind the investigator of impending report deadlines, however, the Principal Investigator is responsible for keeping track of when his/her programmatic report is due, and ensuring that it is sent to the sponsor on time.

**Special Considerations**

**Individual Development Plans (IDPs) for Grad Students and Postdocs on NIH Grants**

Based on a working group’s study in 2012, the NIH has concluded that all graduate students and postdocs working on their awards should complete IDPs to help them explore their own skills and interests, and the various science careers open to them, in order to find the career path that best suits them. As a result, as of October 1, 2014, NIH PIs are required to report on the use of IDPs “to identify and promote the career goals of graduate students and postdoctoral researchers associated with the award” (see NOT-OD-14-113). The journal Science, as part of their Science Careers component, has created the myIDP website to suit this purpose. Students
and postdocs can register and explore this interactive website independently; at specific times they are encouraged to review things with their mentor. Upon completing the process they can download their IDP summary and a certificate.

**Intellectual Property Policies**

Fordham University’s Office of Legal Counsel, along with the Office of Sponsored Programs, treats intellectual property issues in research on a case-by-case basis. If you are interested in having Fordham University pursue legal action to obtain patents and/or develop commercialization, an agreement between you and Fordham will be developed distributing ownership between the two parties. Should you develop IP at Fordham but have a third party supporting your costs, or are independently pursuing legal action, then Fordham will decline any ownership of the intellectual property. If you have or suspect you will have an IP issue, please contact the OSP immediately.

For intellectual property issues specifically regarding copyright of instructional materials and scholarly works, please see the [Intellectual Property Policy](#).

**Private Donations**

In the past, some faculty members have solicited and accepted personal donations from associates or from their associates’ companies (as matching gifts) without going through either OSP or the Office of Development and University Relations (which includes Corporate and Foundation Relations). Because these donations are usually small, the faculty member or center/department has deposited these amounts directly to an operating budget or unrestricted account. However, this is not a recommended practice for many reasons, including:

- If Fordham does not know about this donation, the University cannot issue an acknowledgement letter and official tax receipt to the donor for tax purposes;
- If Fordham does not know about this donation and unknowingly targets the same person/company as part of an official campaign for another initiative, they are unable to acknowledge and steward the prior donation and could cause that person/company to feel slighted and unappreciated as a result;
- The donor might have committed to a larger amount or repeat gifts if approached by knowledgeable staff. If Fordham Development does not know about this donor, the University is missing an opportunity to let trained Development staff strategically engage the donor about a prospective gift in support of multiple initiatives. Development staff will work with faculty to protect the plans already discussed with the donor.
- If the donation is deposited directly into an account, it is counted as revenue and not a gift, and this practice can get Fordham into trouble with the IRS.

If you receive interest from a private citizen to donate towards your work here at Fordham,
please contact the Office of Development and University Relations (212-636-6550, development@fordham.edu) so we may properly record the gift in Banner, provide a tax receipt and acknowledgements to the donor, and collaborate to help strengthen the relationship toward continued support.

For gifts of $10,000 or more, please contact the development office (Valerie Longwood or Karen Ellis) to discuss an engagement strategy for the donor. Gifts of less than $10,000 will be added to the academic unit’s unrestricted gift account and the faculty member needs to work with the appropriate Budget Administrator to have the gift directed to support the faculty member’s research.

Gift checks should be deposited either with Development and University Relations (at Lincoln Center) or with Finance (Rose Hill: FMH), and should include donor contact information, as well as instructions provided by the donor about the use of the funds. Any questions about gifts: please feel free to contact the Office of Development and University Relations: 212-636-6550 or development@fordham.edu.

Scientific Misconduct Policies
Scientific misconduct is a serious issue for any institution that is performing research. For example, falsifying data in a journal article misleads the public and could cause dangerous errors to be made in new health policies. At the same time, a false accusation of scientific misconduct can ruin the reputation and career of an innocent researcher. It is important that all parties involved be protected and a fair investigation into accusations of scientific misconduct be performed. Here are links to the U.S. Public Health Service (PHS) regulation and Fordham University's Policy on Responding to Allegations of Scientific Misconduct. Ethics violations of any type can be reported via the Fordham University Integrity Hotline.

Student Research Participant Volunteer Pool
Fordham University has an available pool of student volunteers for human subject research. Student, faculty and staff researchers may access this pool by following the process below:
1. Fordham’s Institutional Review Board (IRB) must approve your:
   - research protocol
   - solicitation message
2. Forward your IRB approved email script to Research@Fordham.edu and cc IRB@Fordham.edu. In the email body, please include the following:
• Dates of IRB Approval.
• The IRB Approved message to be posted (either in the email or in a Word document).
• Indication as to which group of students in the pool you want your message sent (undergraduates, all students, all graduate students, etc).

Please note that the student pool is updated at the beginning of each Fall semester. Requests are accepted one month after the first day of Fall semester.
Appendix A: General Hiring Guidelines, and Tips from Human Resources

Note: These guidelines refer to staff/student hires, and not independent contractors/consultants.

New Hires

Hiring new grant staff can be a lengthy process. Depending on the position, you may first need to advertise on Fordham’s website for 10 business days. Human Resources (HR) has provided a guideline to the recruitment process which you can find [here](#). Other conditions such as hiring delays or freezes may be in effect. These are generally not applicable to grant-funded positions but there may be additional justifications you have to submit.

Once you have been cleared to offer a position to a candidate, they will have to submit to a background check. This can take, on average, 5-10 business days, but can be longer depending on the nature of the work (e.g., those working in public schools have to undergo greater scrutiny) or the nationality of the candidate (it can take longer to obtain information about an international candidate than a domestic one).

After the background check has been cleared, a packet of new hire paperwork must be submitted to Julie Olivo-Rodriguez in the Provost’s Office, who handles all staff assignments including hourly, part-time and temporary workers. (For faculty hires, which are usually handled through a Dean’s office, Rebeca Velazquez is the contact person.) It can take 5-7 business days once Julie has received the paperwork to get all the necessary approvals and forward it to HR, and a couple more days after that for HR to get the candidate into the Fordham system.

The new hire paperwork varies a bit depending on the candidate, but in general the required forms are:

- Employee New Hire Form
- Employment Application Form (this is often filled out by the candidate prior to the background check)
- I-9 Employment Eligibility Form
- IT-2104 NY State Tax Form (residents) or IT-2104.1 NY State Non-Resident Tax Form
- W-4 Federal Tax Form

All of the above forms can be found on OSP’s [Forms](#) website.
Hourly employees also need to fill out, and be provided with a copy of, the Notice for Hourly Rate Employees. There are a number of variations of this form capturing the way you plan to pay the candidate (hourly, multiple hourly rate, weekly rate, flat fee, etc.) and their primary language. The hourly rate (English) form can be found on OSP’s Forms website; all other versions, as well as additional employment, payroll and HRIS forms can be found on HR’s Forms and References website.

In addition to the above forms, you will usually need to include a memo summarizing the position, the number of hours (if hourly), the salary or hourly rate, and the reference number of the advertisement if applicable, along with the candidate’s resume. HR will often request the resume in order to perform the background check, in which case you should not have to include it again. (Fordham students are exempt from the background check, but must fill out the rest of the paperwork.)

Existing Staff
Full-time staff members receive an appointment letter providing them with the salary they will receive and the start and end dates of their appointment. The end date can never be longer than the current year of your grant. For example, if your current grant year runs through June 30, and you hire a new staff member beginning March 1, their appointment cannot go beyond June 30 on that grant. You will need to make sure they receive a new appointment once the next year’s grant cycle starts on July 1. In order to generate a new appointment letter for your staff, the budget for the next grant year must be set up in the Finance office first. Should your award notice be delayed for some reason, contact Julie Olivo-Rodriguez immediately to discuss contingency plans to keep your staff on payroll during the delay. Faculty with indirect cost return accounts can use those accounts to provide bridge funds; those without may be able to request a loan or backup account from their department, school or Dean, depending on their situation, or find another solution.

In addition to the generation of a new appointment letter, you must also fill out an Employee Action Form for the staff member and check off the “Re-Appointment” box as well as providing the new grant year information (what is known as a FOAP in Banner: Fund number, Organization code, Account code, and Program code).

If you are moving an existing staff member, within their appointment period, from one budget to
another but nothing else is changing, instead of an Employee Action Form use one or both of the following forms: a Payroll Labor Redistribution Form if the change to another grant account is retroactive; a Budget Change Request form if the change is for a future date; both forms together if the change is both retroactive and going forward. These forms are available on OSP’s Forms page as well as HR’s Forms & Reference page. If you are making other changes such as title, salary or hourly rate or number of hours, those changes must be registered on an Employee Action Form. There are situations where you may need to use all three forms at once!

**Tips from Human Resources**

These common mistakes can delay your personnel paperwork:

1. Using the wrong account code. Check the budget that Finance has sent you for the account codes found on the left hand side of the budget. If you use an account code in your paperwork that isn’t on your budget, that will hold it up until either a. you fix the mistake on the paperwork or b. ask Finance to do a budget adjustment to move money into that account code.

2. Not filling in every required field for new hires, for example, forgetting to put in the number of hours, or the hourly wage, or the social security number of the candidate.

3. Not including the Notice for Hourly Rate form for new hourly hires, or forgetting to have the employee sign it.

4. Not having the department sign off on the Employee New Hire Form before submitting it to Julie Olivo-Rodriguez.

5. Turning in copies of new hire paperwork. Everything must have original signatures; the only exception is the Employee New Hire form, which can be faxed or scanned.

6. Adding a student hire that wasn’t named on the original budget from Finance. If you have two student worker lines in your budget, and you want to add a third, you will have to ask Vicki Siefring in Finance to create a third budget line for them, and tell her what other budget line(s) to move the funds from to create this.

7. Using the wrong start date for a re-appointment. When you are re-appointing someone at the start of a new grant cycle, the start date is NOT the last date of the old grant cycle. For example, if you old grant year ends on June 30 and the new one starts on July 1, the new appointment is for July 1, not June 30.

8. Putting in an EAF to re-hire a former employee or student worker when they are no longer in the Fordham system. Banner will automatically kick out any individual who has been inactive for 12 months. If your employee/student hasn’t been active in the payroll system for 12 months
or longer, they will have to fill out all the new hire paperwork discussed above. If you are unsure whether they are still active in Banner or not, HR can look them up for you.

9. Thinking a just-graduated student won’t need a background check to be hired. Even if they graduated yesterday, and you want to hire them today, they need a background check. Their graduation marks a change in their status regarding federal taxes and triggers the need for the background check. Plan ahead if you want to hire your former student as a summer worker.

10. Trying to catch up an hourly worker by issuing them a one-time payment and also hiring them as an hourly worker going forward. Sometimes hourly staff start work before hiring paperwork goes through, and a faculty member wants to make up the difference for those past hours. Instead of a lump sum, request the timesheets from those prior periods from payrollinfo@fordham.edu (contact person in HR is Brigida Casey) and fill those out. You may only pay someone a lump sum in this manner if they are not continuing to work for you, now or at any time in the future.

And a request from HR: When an hourly worker leaves your employ, fill out an Employee Action Form to let them know that staff member has moved on. This helps keep the Banner system cleaner and avoids the nuisance of HR or OSP sending you notices regarding hourly employees that are no longer working at Fordham.
Appendix B: Process for Starting a Center or Institute at Fordham

A. Process for Starting a Center or Institute – Single School/Unit
Approved 3/05/09; updated 10/14/11

1. Faculty/administrator submits an initial memo to his/her dean requesting the formation of a new institute/center. Memo should include initial, brief information on the following points:
   a. proposed mission and goals and how these relate to the University’s mission and strategic plan, Toward 2016, and to any funding source restrictions.
   b. audiences/clients/users
   c. an operational plan for first year of operation
      i. potential activities
      ii. funding sources and an indication of any restrictions on the use of such funds
      iii. budget/resource requirements
         1. space needs
         2. equipment
         3. one-time start-up costs
      iv. anticipated staffing
      v. organizational/reporting structure for administrative personnel
   d. five-year vision statement

2. Dean reviews memo for initial approval. If approved, dean notifies faculty/administrator of initial approval and outlines any additional requirements/steps for requesting formal approval. If not approved, notifies faculty/administrator via memo outlining reasons for denying the request. Dean also forwards a copy of the memo to the Office of the Provost via the coordinator for academic projects and processes (currently Cathy Buescher, buescher@fordham.edu)

3. Faculty/administrator submits formal packet requesting the formation of the institute/center to dean; packet includes fully developed information on the topics listed above as well as any additional materials requested by the Dean

4. Dean reviews packet for formal approval. If approved, dean notifies the Office of the Provost via memo and provides a copy of the request for creation packet.

B. Process for Starting a Center or Institute – Multi-School/Unit
Last Updated: January 18, 2011

Underlying principles for a multi-school/unit center/institute:

- A center/institute functioning across two or more schools/units will function under the auspices of the Office of the Provost.
- Deans of schools involved are responsible for petitioning the Provost for approval
1. Faculty/administrators submit an initial memo to their deans requesting the formation of a new institute/center. Memo should include information on the following points:
   a. proposed mission and goals and how these relate to the University’s mission and strategic plan, Toward 2016, and how these relate to any funding source restrictions.
   b. audiences/clients/users
   c. an operational plan for first year of operation
      i. potential activities
      ii. funding sources and an indication of any restrictions on the use of such funds
      iii. budget/resource requirements
         1. space needs
         2. equipment
         3. one-time start-up costs
      iv. anticipated staffing
      v. organizational/reporting structure for administrative personnel
   d. five-year vision statement
2. Deans review memo for dean level approval.
   a. If approved, deans forward memo to the coordinator for academic projects and processes in the Office of the Provost for review and approval by the Provost.
   b. If not approved, deans notify faculty/administrators via memo outlining reasons for denying the request.
3. The coordinator for academic projects and processes schedules a meeting involving the faculty/administrators, deans (or their representative), and members of the Provost’s Office to discuss center/institute.
4. If approved, the Provost in consultation with the Deans from each participating school establishes an advisory committee for the center/institute and appoints a chairperson from the committee.
   a. Committee comprises:
      i. Dean (or representative nominated by the dean) from each participating school.
      ii. Representative from Office of the Provost
   b. Advisory Committee will recommend to the Provost a person to serve as Director of the center/institute.
   c. Provost appoints Director. Center/institute begins to function.
   d. Provost and Deans coordinate announcement of center/institute.
5. If not approved, SVP/CAO communicates reasons to deans and involved individuals.
Appendix C – Quick Banner Self-Service Tutorial
(this should not substitute for a full Banner training)

1. Go to the Employee tab on my.fordham.edu and under My Information open the folder called “Banner Self-Service”; click on the folder called “Finance” and then on “Budget Queries”.

2. Choose “Budget Status by Account” in the pull down menu and click on “Create Query”.

   ![Banner Self-Service Menu](image)

   ![Budget Queries](image)
3. Check the boxes as appropriate to display the columns you are interested in. The recommended boxes are shown below. Click on “Continue”.

Budget Queries

Select the Operating Ledger Data columns to display on the report.

- Adopted Budget
- Budget Adjustment
- Adjusted Budget
- Temporary Budget
- Accounted Budget
- Year to Date
- Encumbrances
- Reservations
- Commitments
- Available Balance

Save Query as: 

- Shared

Continue

4. To generate a cumulative report of your grant expenditures: choose the current fiscal year and fiscal period 14. Make sure there is an F in the “Chart of Accounts” and type your grant (G) number at “Grant” – this number comes from the budget sent out by Vicki Siefring. Click on the button that says “Submit Query” (don’t hit enter).

Fiscal year: 2014
Comparison Fiscal year: None
Commitment Type: All
Chart of Accounts: F
Fiscal period: 14
Comparison Fiscal period: None
Fund:
Organization:
Grant: G12345
Account:
Program:

Include Revenue Accounts

Save Query as:

- Shared

Submit Query
Notes to the above:

- If you want a report for a specific fiscal year of your grant (not cumulative), choose that fiscal year and fiscal period 14, then enter the “Fund” and “Organization” numbers rather than the “Grant” number.
- If you want a report on your indirect cost return account, you must enter your “Fund”, “Organization” and “Program” numbers, and check “Include Revenue Accounts”.

5. This screen shows an example Banner fund with a budget that includes five account codes: full-time faculty salaries, graduate RA stipends, fringe benefits, travel and indirect costs. The columns on the left show the budget (this one did not have any adjustments, so that column has zeroes) and the columns on the right show the cumulative expenditures, encumbrances (none for this one) and finally the available balance for each line item row. The bottom row, “Report Total”, displays the total of each column. In this example, there is $319.21 left in this fund.

<table>
<thead>
<tr>
<th>Account Title</th>
<th>GY13/PD12 Adopted Budget</th>
<th>GY13/PD12 Budget Adjustment</th>
<th>GY13/PD12 Adjusted Budget</th>
<th>GY13/PD12 Year to Date</th>
<th>GY13/PD12 Encumbrances</th>
<th>GY13/PD12 Available Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>6100 Sals-Ft Fac</td>
<td>14,294.00</td>
<td>0.00</td>
<td>14,294.00</td>
<td>14,249.30</td>
<td>0.00</td>
<td>144.70</td>
</tr>
<tr>
<td>6158 Sals-Grad Assistants</td>
<td>6,636.00</td>
<td>0.00</td>
<td>6,636.00</td>
<td>8,636.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>6544 Fringe Ben Alloc My</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>7108 Travel-Other</td>
<td>500.00</td>
<td>0.00</td>
<td>500.00</td>
<td>436.25</td>
<td>0.00</td>
<td>63.75</td>
</tr>
<tr>
<td>8200 Indirect Cost</td>
<td>17,618.00</td>
<td>0.00</td>
<td>17,618.00</td>
<td>17,507.24</td>
<td>0.00</td>
<td>110.76</td>
</tr>
<tr>
<td>Report Total (of all records)</td>
<td>41,148.00</td>
<td>0.00</td>
<td>41,148.00</td>
<td>40,828.79</td>
<td>0.00</td>
<td>319.21</td>
</tr>
</tbody>
</table>

Note the buttons at the bottom offering to download columns – clicking these buttons will allow you to download the information to Excel, where you can manipulate the numbers.

Red numbers are links, like on a website, and clicking them will provide you with information about those items.