Researcher’s Manual
Part I

Office of Research and Sponsored Programs
Lehman College
City University of New York
August, 2010
## Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Definitions</td>
<td>3</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>4</td>
</tr>
<tr>
<td>Process Overview</td>
<td>4</td>
</tr>
<tr>
<td>Finding Funding</td>
<td>7</td>
</tr>
<tr>
<td>Building a Budget</td>
<td>19</td>
</tr>
<tr>
<td>Regulatory resources on campus</td>
<td>19</td>
</tr>
<tr>
<td>Participant Roles and Responsibilities</td>
<td>24</td>
</tr>
</tbody>
</table>
Definitions

i. Grant: A grant is an assistance mechanism used by sponsors to support research, scholarly endeavors, or activities at another institution. The federal government awards grants to institutions to support activities in line with the institution’s purposes. While technically a type of contract, a grant usually is issued as a unilateral agreement, with all terms being agreed to when funds are first spent.

ii. Contract: A contract is an agreement between two or more parties binding each party to specific terms and conditions. In sponsored programs, the federal government awards contracts to procure specific information, research, services, or goods in line with their own priorities. Contracts are always bilateral, requiring authorized signatures from each party. In the university setting, faculty are not considered authorized signatories.

iii. Principal Investigator: The principal investigator, or PI, is the person responsible for the intellectual, fiscal, and administrative oversight of a grant or contract. In academia, PIs are primarily faculty members.

iv. Sponsor: A sponsor is the person or entity providing funding to carry out a sponsored program.
   1. Federal, State, & City. Examples of federal sponsors include the 23 agencies of the federal government such as the National Science Foundation, the National Endowment for the Humanities, or the Department of Defense. Examples of state sponsors are the New York State Board of Education and New York State Office of Child and Family Services. Examples of New York City sponsors include branches of the city government such as the New York City Board of Education and the New York City Department of Youth and Child Development. Some agencies, like the Department of Education, exist at the city, state, and federal levels.
   2. Non-Federal
      a. Profit. For-profit sponsors usually give grants through a non-profit portion of the entity. When for-profit sponsors support research or scholarly activities, they often do so as a gift rather than as a grant or contract in order to assist with their tax burden. At Lehman College, gifts are handled by the Lehman College Foundation.
      b. Non-profit. Non-profit entities such as foundations are often interested in giving grants to support their mission. Funding from non-profits such as the Guggenheim or Ford Foundations can be very prestigious.
v. Proposal: A proposal is a request for financial or other support in order to carry out a specific project. Proposals usually include a description of the project’s activity, a proposed budget, a budget narrative or justification, and materials supporting the qualifications of the PI, the project environment or project personnel.

1. Solicited Proposals. Sponsors often solicit or request proposals in specific subject, geographic, or cultural area in order to further their own mission or agenda. The solicitation may be called a “Request for Proposals,” “Broad Agency Announcement,” or “Program Announcement,” and contains detailed instructions on who is eligible to apply, who is eligible to be PI, how much each project may apply for, the purpose of the program, review criteria, and specific application forms and formats.

2. Unsolicited Proposals. Sponsors may also be willing to accept proposals in areas without specific solicitations. When this is the case, there will usually be general information on the sponsor’s web site about how to apply for support, or who to contact.

vi. Facilities & Administrative Costs: Facilities and Administrative costs (F&A) are costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with the terms indirect costs (IDC) and overhead costs. Consistent with 2 CFR 215 and 2 CFR 220, facilities and administrative cost rates are negotiated with the Department of Health and Human Services for Lehman College based on cost accounting pools and calculations from actual expenditures.

vii. Cost Sharing: Cost sharing is the total value of resources needed by and/or used for a sponsored program that is not paid for by the sponsor.

Institutional Support

Process Overview

The institutional office tasked with assisting researchers with all parts of sponsored program development and administration is the Office of Research and Sponsored Programs. The first step in any sponsored program always begins with the researcher’s idea: an idea for research or creative works that needs resources of any sort that may be obtained from an entity or person outside of Lehman
College. With the idea in mind, the researcher searches for potential funding sources, identifying solicitations for applications that he/she believes would be a good match intellectually and financially with the content and scope of their research needs. Once potential sponsors and solicitations are identified, the next step is to touch base with the Office of Research and Sponsored Programs and the department chair (and maybe divisional dean) to get started with the application process. In academia, not only are most grants and contracts awarded to the institution rather than the individual, but many projects require resources committed from the institution such as the researcher’s time and effort, equipment, space, or the infrastructure to hire staff and students. These two facts result in the need for the institution to be involved in the development and submission of any research proposal.

In addition to a description of the project, sponsors generally request information about the institution, researcher(s), requested budget, and other sponsored program support that the researcher may have as part of the proposal. The format of these items along with any restrictions in what can be included in the project and in the budget varies widely from sponsor to sponsor.

In most cases, the minimal institutional involvement will be limited to any assistance the researcher needs in developing a budget, identifying the correct information and forms for the application, and a final review and signature before submission. At Lehman College, final approval of each proposal before submission requires approval by the individual researcher leading the project, the researcher’s department chair, dean, Vice President for Business, Vice President for Facilities, and Vice President for Information Technology as well as the Director of Research and Sponsored Programs. This set of approvals is required to allow maximum communication on the administrative side of the college so that when the research is funded, all parties are aware of any institutional commitments that are needed to ensure the project’s success.

Once the proposal is approved at Lehman College, it may be submitted to the sponsor by following any sponsor-specific submission requirements identified in the solicitation for applications or sponsor documentation. It is increasingly common for sponsors to require online submission with approval of the appropriate authorized official from Lehman College.

Upon review, the sponsor will make a decision whether or not to fund the proposal, and will notify Lehman College or the researcher. When the sponsor notifies the researcher, the researcher must bring all information to the Office of Research and Sponsored Programs in order for the agreement to be authorized and for an account to be set up. If the project is not funded, the sponsor will often provide feedback to the researcher on why their proposal was not selected,
and may or may not suggest that the researcher revise and resubmit the application. If the project is selected for funding, the sponsor will enter into a contractual agreement with the Research Foundation of CUNY on behalf of Lehman College to provide funds to cover the scope of work outlined in the proposal within a specific time period. Generally, these contracts will also include the requirement for Lehman College to report on the financial and academic progress of the project at least annually.

The Research Foundation of CUNY (RF) is a non-profit organization formed specifically to handle the contractual and financial aspects of sponsored program (grant and contract) awards for each of the schools in the City University of New York. Awards are not considered approved or signed without approval of the authorized official at Lehman College and legal and fiscal review by the staff of the Research Foundation.

Once the award documents are approved and signed, the Research Foundation will create a financial account detailing the approved expense categories for the award. This account is similar to a checking account from which the researcher can pay staff and students and purchase materials and supplies as needed within the period of performance awarded by the sponsor. All expenses charged to the sponsored program account must support the specific project funded by the sponsor. In accordance with federal law, each sponsored program is given a separate account. As part of their financial oversight responsibility, the Research Foundation checks every expense request to make sure that it is allocable, allowable, and reasonable for the project as required by federal law and CUNY policies. The Research Foundation web site contains a wealth of information about the federal and CUNY policies and practices that affect sponsored program spending.

The Research Foundation also has other fiscal responsibilities for each project. These include assisting the researcher with financial reporting, the required financial auditing of the project, and with all aspects of spending funds on a sponsored project. As the employer of all staff and students that researchers hire the RF also provides extensive resources for human resource issues.

At the end of the project, the sponsor usually requires some version of a final report that covers the expenditure of funds and the results of the project. For research, results may be the confirmation or denial of expected results to an experiment; the publication of studies, art, or music; or simply the written assurance from the researcher that the project progressed. For sponsored programs that support training, programs, or the availability of resources the reporting may be based on services rendered or tangible deliverables. If the project has been successful and the sponsor feels that the project has been well
run, the researcher has a higher chance of receiving additional and increased funding in the future from the same and other sponsors.

Finding Funding

Intramural Funding

a. Lehman Opportunities

The Office of Academic Affairs at Lehman College supports research by its full time faculty and teaching staff by allocating a portion of recovered indirect costs to support the following intramural research opportunities.

Lehman Bridge Grants

Lehman College Bridge grants are designed to meet the short-term and absolutely essential needs of researchers who have an established record of external funding. The college will make up to 3 bridge grants a year. The maximum amount of an individual bridge grant is $15,000. (The award amount may not exceed one third of the indirect cost generated by the applicant during the previous three years.) Only faculty with a strong record of external funding and a proposal approved for funding or a proposal submitted which has a reasonable chance of getting funded are eligible. No individual or research group may receive more than 2 such grants within 5 consecutive academic years. (There must be at least 12 months between the termination of the first Bridge Grant and the start of the second.) Bridge grants will be awarded based upon a formal application to the Research and Scholarship Committee. Bridge grants awarded in a single year will not total more than 20% of the entire sum awarded for research support in that year.

Lehman Faculty Development Program

The purpose of this program is to foster research by tenured and tenure-track faculty by providing released time from teaching. This program provides 3 hours of released time for faculty to pursue a piece of research/scholarship. Funds are available to fund approximately 10-15 proposals per academic year.

All research must be conducted in compliance with applicable Federal, State, CUNY and Lehman College regulations and policies with respect to human participants, animal subjects and
bio hazardous materials. Recipients are encouraged to submit an application for external funding within one year after the end of the award.

All tenured and tenure-track faculty appointed prior to September 1, 2003 as well as all faculty who were appointed with tenure more recently are encouraged to apply. Preference will be given to tenured and tenure-track faculty who do not have released time from any other sources. Faculty who previously received an award must submit a progress or final report for the previously supported work. Please note that proposals creating an overload or multiple will not be funded.

George N. Shuster Fellowship

The George N. Shuster Fellowship Fund makes available modest grants to support scholarly work in progress, particularly work nearing completion by full-time members of the Instructional Staff. These grants may not be used for research connected with the completion of advanced degrees. The work should be scholarly, not commercial, and evidence of progress should be available.

b. CUNY Opportunities

The Office of the Vice Chancellor for Research at the City University of New York also has programs dedicated to supporting and encouraging research on its campuses.

Travel Grants to Visit Funding Agencies

Requests for a grant to visit a funding agency, or to discuss a prospective grant application, contact Stephanie Endy. Faculty must lay out the money and then request reimbursement on a Research Foundation Travel Expense Voucher/Request for Payment.

PSC-CUNY Research Awards
The Board of Trustees of The City University of New York, the members of the Professional Staff Congress, and City and State Budget officials have recognized the importance of encouraging the scholarly and creative activities of the University's faculty, the junior members of its faculty in particular. In order to enhance the University's role as a research institution, to further the professional growth and development of its faculty, and to provide support for both the established and the younger scholar, the Professional Staff Congress City University of New York (PSC-CUNY) Research Award Program has been established as a major vehicle for the University's encouragement and support of faculty research.

To implement this Program, the University Committee on Research Awards (UCRA) nominated by the University Faculty Senate and appointed by the Chancellor; is given responsibility for the development of application and award procedures. Assisted by staff at the Research Foundation, the UCRA establishes policy, develops program guide-lines, and makes awards. Faculty appointed to the Committee are highly qualified in their disciplines and demonstrate their commit-ment to achieving excellence in research for the University by serving on the UCRA in addition to carrying a full teaching load.

Funds for research and creative projects are available without restriction to all permanent full-time members of the instructional staff, and the junior members of the faculty in particular, who are on the regular University payroll processed through the Office of the Comptroller of the City or State of New York.

Fellowship Leave Awards

Eligibility for the Fellowship Leave Awards is limited to tenured members of the permanent instructional staff and lecturers (full-time) with certificates of continuous employment, who have completed six years of continuous paid full-time service with the Board of Trustees of the City University of New York
exclusive of non-sabbatical or fellowship leave. The award is for purposes of research, including study and related travel, improvement of teaching, and creative work in literature or the arts.

CUNY Faculty Development Grants

Proposals are accepted for seminars or colloquia that encourage and promote innovation in teaching, research and learning among CUNY faculty. Past programs have focused on employing new digital technology to enhance classroom instruction; pedagogical innovation; interdisciplinary approaches to teaching and research; collaborations between and among CUNY faculty. Colloquia are one-day or several day events, seminars are one- or two-semester long courses to address an issue in depth. Conferences may also be proposed. Full-time CUNY faculty are eligible. Grants are up to $10,000 for full academic year. Proposals are accepted twice a year in April and October. For information or application materials, go to Program Home Page

CUNY Bridge Fund Program

The CUNY Bridge Fund Program will support faculty who run externally funded research programs and who run into a funding crisis due to a competitive renewal of their grant not being funded. Faculty may apply for bridge funds under specific circumstances as outlined in the attached guidelines. Note: six previous years of funding are prerequisite for eligibility. Lehman College will forward fund the required match for up to $15,000 (see above). The CUNY program has a 50% payback provision within 6 months of the faculty member receiving external funding. Lehman will provide $3,750 or one half the payback and the faculty member must agree to provide $3,750 via a reduction in anticipated recovery returns.

CUNY Equipment Grant Competition
This program supports the purchase of an item of laboratory equipment that will strengthen the research programs of 2 or more collaborating faculty. Cost-sharing of at least 50% is required. Maximum request is $40,000; maximum equipment cost is $80,000. Funds must be spent within one year of the award. Only full-time faculty are eligible to apply. Faculty who received an equipment grant in the prior round are ineligible to the current round. For information and application materials click here.

This program is particularly appropriate for new faculty who can use their start-up funds as the required match. Deadline for receipt by CUNY Central Office for round 4 was November 17, 2006.

Note: The deadline for 2006 has passed. Please check here in the fall of 2007 for updated information about the program.

CUNY Diversity Projects Development Fund

The University Office of Faculty and Staff Relations is accepting proposal for the 2007-08 Diversity Projects Development Fund. Proposals will be accepted by the Office of Recruitment & Diversity, 535 East 80th Street, 4th Floor, New York, NY 10021 until November 2, 2007, 5:00pm. General inquiries can be made via email at: OCDP@CUNY.edu. For program information on the CUNY portal: http://www1.cuny.edu/portal_ur/content/ofsr/dpdf.html

Please bring a copy of your proposal to the OGC. A blue Internal Routing Sheet is necessary only if you are requesting release time (an e-mail from your Chair will also suffice).

PURPOSE OF THE FUND: The Diversity Projects Development Fund was established by Office of the Vice Chancellor for Faculty and Staff Relations to support scholarly research projects and other educational activities for or about populations that are traditionally under-represented within higher education. More specifically, the purpose of the Fund is to assist in the development of educational projects, scholarly
research, creative endeavors, and professional activities, which promote diversity, multiculturalism, and non-discrimination.

CUNY Collaborative Research Incentive Grants

The Collaborative Incentive Research Grants Program seeks to raise the prominence of the University to a national and international audience by funding multi-campus or interdisciplinary collaborations. The program is administered by a review committee chaired by the Vice Chancellor for Research and senior faculty at the colleges. Since its inception in 1994, the University has encourages faculty to address problems that will lead to new and future areas of multi-campus or interdisciplinary research strengths. The primary goal is to seed research that will become the basis of new external grant proposals.

Scholar Incentive Awards

The Office of the Provost invites applications for 2007-08 Scholar Incentive Awards. Awards are made for one semester or one year and cannot be held concurrently with a Fellowship Leave. The purpose of the Award is to facilitate scholarly research by members of the faculty who are on leaves of absence supported by funds other than University funds during the period that this research is conducted. Other projects or proposals (e.g., the meeting of degree requirements, study, service outside of the University) or reasons (e.g., professional, career, or personal) are not considered for these awards. The amount of the Award may be up to 25% of annual salary, and the effect of the award is to place its recipient on leave of absence without pay for at least the 75% of annual salary for which the recipient does not receive University compensation. The common use of the award is to mediate the difference between a research grant or fellowship and annual salary. Accordingly, persons planning leaves and holding outside research grants providing less than full salary are candidates for Scholar Incentive Awards. (In the absence of such outside grant or fellowship support, the faculty member would need to be able and willing to provide self-support for the remaining 75%
or more of salary, and the research proposed by the faculty member would also have to be evaluated and endorsed, in letters solicited by the College, by two "outside experts").

Eligibility is limited to full-time members of the Instructional Staff in the titles of Distinguished Professor, Professor, Associate Professor, Assistant Professor, or Lecturer (full-time), who have completed one full year or more of continuous paid full-time service before becoming eligible for the Award (or who have completed six years of creditable service with The City University since completion of the last Scholar Incentive Award).

The application must include a detailed plan for the research to be conducted during the period of the Award. It should also demonstrate a direct relationship between the proposed research or creative work and the applicant's preparation and achievements, and it should be accompanied by a complete standardized curriculum vitae. Completed applications for the Scholar Incentive Awards as well as the written confirmation of eligibility must be returned by the department chair to the Office of the Provost no later than December 4, 2007. Recipients of the Awards will be notified later in the Spring.

CUNY Faculty Fellowship Publications Program

This program is sponsored by the University Office for Compliance and Diversity Programs in the Office of the Vice Chancellor for Faculty and Staff Relations and is part of the University's commitment to increasing diversity in the faculty ranks. CUNY protected class members are particularly encouraged to apply. The program is designed to assist full-time, untenured CUNY faculty in the design and execution of scholarly writing projects in their discipline. These may include articles for juried journals as well as books for scholarly presses. The goal of the program is the successful completion of a scholarly work to assist in meeting requirements for tenure. To be eligible a faculty member must be an untenured Assistant or Associate Professor hired on or after September, 2004 and must be employed full-time for at least one academic year in the Humanities, Social Sciences, Mathematics, or Computer Science and must have earned a doctorate.
NNYN/CUNY-Peer Grants

The Nurture New York's Nature/CUNY Program for Ecological/Environmental Research (PEER) in New York Award competition is open to research projects in the disciplines that constitute the traditional academic divisions of the physical sciences, biological sciences, mathematical sciences, social sciences, and the humanities. Investigators may wish to focus on a problem within a single discipline or collaborate with the intention of making a cross-disciplinary examination. The problem studied is to be defined in such a way that its potential of being subsequently supported by outside agencies is apparent. To lay the groundwork for future grant submissions, the applicant must contact a program officer at a federal or state agency or foundation to discuss with that individual whether their proposed research would fit within the guidelines of their program. Proposals may be submitted from one faculty member, however, collaborations between two or more faculty from within or between any of the CUNY campuses are encouraged.

Feliks Gross Endowment Award

The Feliks Gross Endowment Award is presented each year to an assistant professor in recognition of outstanding research, or potential for such, in the humanities or sciences, including social and life sciences. Any faculty member who is an assistant professor at any unit of CUNY and whose field of expertise covers an area of the humanities or sciences is eligible to be considered for this award. The recipient receives an honorarium and a plaque. Please email questions to cunyufs@gmail.com.

Faculty Development in Research

1. A workshop series for junior faculty, open to all tenure-track but untenured faculty (men and women) in the natural and social sciences, mathematics and engineering.
2. A grant writing assistance program for women faculty in the natural and social sciences, mathematics and engineering who intend to write a grant application to a federal funding agency during Fall, 2008.

You can read more details about the programs and the application process at: http://www1.cuny.edu/academics/research-scholarship/gep.html

Research into Outcomes of NSF STEM Education Grants at CUNY

Over the past five years, faculty at CUNY campuses have been highly successful in winning a variety of National Science Foundation (NSF) grant awards related to math and science education. This reflects well on the quality of our faculty proposals and on the collaborations within and across campuses that lead to awards. We want to help and encourage campus faculty to continue this trend and develop future proposals as NSF requests for proposals in this general area are posted.

Therefore, in order to learn from these past successes, we are seeking proposals for a study synthesizing the outcomes and impact of past NSF funded projects in math and science education awarded to CUNY faculty. The rationale for this request for proposals is strategic. Its purpose is to strengthen the basis for future CUNY faculty submissions to NSF. Making available a synthesis of outcomes from past funded projects across the CUNY system will help identify strengths and highlight gaps in the scope and outcomes of these math and science education projects. Thus all new NSF CUNY applications will have the advantage of knowing and being able to reference in a new proposal what has been accomplished in the past as a justification and warrant for future funded work. This current request for proposals also reflects the increasing emphasis from NSF for proposals to be driven by research questions and to generate evidence-based contributions to teaching and learning in math and science so that successful strategies and practices can be disseminated.

Proposals submitted by faculty teams are preferred. Funds may cover summer salary, release time, and a small amount for local
travel to meet/interview NSF award recipients. Proposals must be received by April 24th, 2008 and will be reviewed by a committee of CUNY faculty and administrators. Proposal narratives should be limited to 2 pages (double-spaced) and should address the objective identified here and the methods by which this study will be undertaken. Proposals will be reviewed by a committee of CUNY faculty and administrators.

William Stewart Travel Awards

The William Stewart Travel Award is offered by the CUNY Academy of the Humanities and Sciences. Assistant Professors on tenure track appointments may apply for a maximum award of $300 to present or participate in a professional conference.

Extramural Funding

Finding funding is the process of matching up a researcher’s idea with the kind of things a sponsor wants to pay for. Most sponsors solicit applications in specific programmatic areas based on their mission, priorities, and budget. These solicitations go by many names, mostly variations on the same theme such as: Request for Applications, Request for Proposals, Program Announcement, Broad Agency Announcement, Program Solicitation, or Program Description. Outside of CUNY, there are three major types of organizations that fund sponsored programs. These are Government Agencies, Not-For-Profit organizations, and For Profit companies. Most For Profit companies will try to purchase results or intellectual property for their own purposes, and their grants programs are usually small or focused in the pharmaceutical industry. For the vast majority of researchers who are not interested in clinical trials, Government Agencies and Not-For-Profit organizations will be the most lucrative and diverse sources of sponsored program funding.

For federal grants, the government established a database of funding opportunities online called Grants.gov in 2002. All domestic federal agencies are required to publish their solicitations for applications in this database. Located online at www.grants.gov, this database is free to the public and may be searched in a variety of ways to locate solicitations that are suitable for your academic field and purpose. The type of not-for-profit organization most likely to provide sponsored program funding is a private foundation. Foundations are usually
created as ways for people to give away money for tax benefit. As such, the foundations usually have a mission statement and restrictions on the kinds of support that they will give. One way to help understand the ramifications of these origins is to imagine what restrictions and preferences you might put in place if you had $200 million dollars to give away very quickly. Because foundations are usually limited in resources and generous in philanthropy, they formed a separate non-profit foundation called the Foundation Center to help network and find each other. The Foundation Center not only serves this purpose for foundations that buy a membership for themselves, but also sells memberships to institutions such as Lehman College to allow us to search their database. The Foundation Directory Online is a database of not-for-profit foundations that allows researchers to search for foundations whose missions are relevant to their research ideas. To learn how to log into the database contact the Office of Research and Sponsored Programs.

Finally, the model of a subscription database has become very popular since the formation of the Foundation Directory Online, and has been applied to many areas. One such database that can be useful for the academic setting is Community of Science, www.cos.com, called COS for short. Although the title may lead one to believe that the service is for scientists only, the database is a very useful mix of public, private, and non-profit sources. The Research Foundation of CUNY has purchased a subscription to this database and a link to it is on the login page for the Research Foundation. Lehman faculty may also access COS without a subscription, but the database allows more search options, such as saving your searches, and update emails, if entered through the RF subscription with a username and password.

**Getting Started**

1. Before beginning a search in any of these three databases, it is a good idea to have written down two or three sentences about what project you would like to have funded.

2. Identify the first database you would like to search.

3. Log in if necessary, and navigate to the appropriate search screen.

4. Begin with a keyword search that you believe is descriptive of the subject of your research.
5. Browse the search results (if any) to see if the database’s results match the project ideas. If the search resulted in zero or very few results, try to imagine different ways to describe the idea or project discipline. Some databases such as COS and The Foundation Directory provide the titles of the categories to help search more effectively.

6. Narrow the search until there is a reasonable number of solicitations to look through. Generally 25-100 results is a reasonable start in the first stages of searching.

7. For each solicitation ask:
   a. Am I eligible through Lehman College, the Research Foundation, or by myself to apply to this sponsor?
   b. Does the project further the sponsor’s mission, purpose, or priorities as described on their web site or in their materials?
   c. Does this sponsor fund work in the discipline the project represents?
   d. Does this sponsor fund this kind of project activity?
   e. Has this sponsor funded similar projects in the past?
   f. When is the due date for applications, and is it far enough away to allow time to write and edit a good proposal?
   g. Does this sponsor offer enough funding to cover the costs of the project?

If the answer to any of these questions is “no”, keep looking by changing the keywords or consider ways in which the scope or context of the project can change. If the solicitations are close, but not enthusiastic, save copies of them for future ideas. When solicitations where all of the questions result in enthusiastic “yes” answers, these are the sponsors to develop proposal applications for. At this point, it is a good idea to bring the results of the search to the Office of Research and Sponsored Programs to discuss how to get started and to make sure you haven’t overlooked any of the sponsor interests or requirements that may be detrimental to your application.
Building a Budget

In order to build a budget for the project in mind, it is necessary to translate all the steps of the research into action items. Each action item identified will need resources in the form of effort, equipment, and materials and supplies. The project budget is formed by quantifying each resource needed for each action item and adding in costs that are statutory, such as fringe benefits, taxes, fees, and facilities and indirect costs. The Office of Research and Sponsored Programs offers individual meetings to help PIs develop project budgets.

Regulatory resources on campus

1. Release/Reassigned Time
   Sponsored Projects may include a commitment to “buy out” some of a faculty member’s teaching commitment with the approval of the department chair and divisional dean.

2. Summer Salary
   CUNY faculty may budget up to three months of time over the summer months on a sponsored program at the same rate of pay that they would receive over the academic year if they are not teaching during the summer months.

3. Export Control
   Projects involving sensitive equipment or hiring foreign nationals must be cleared through the Office of Research and Sponsored Programs before spending begins. In some cases, these projects may require a license to export materials or information.

4. Institutional Review Board (IRB)
   Projects involving the use of human subjects must receive approval from the Lehman College Institutional Review Board before any work is begun. The use of human subjects may include such activities interviews and surveys. The Office of Responsible Research Practices is available to answer any questions about the use of human subjects in sponsored programs.

5. Institutional Animal Care and Use Committee (IACUC)
   Projects involving the use of animals must receive approval from the Lehman College Institutional Animal Care and Use Committee before any work is begun. The Office of Responsible Research Practices is available to answer any questions about the use of animals in sponsored programs.

6. Institutional Biosafety Committee
   Projects involving hazardous materials must receive approval from the Institutional Biosafety Committee before materials are ordered or used.
The Office of Responsible Research Practices is available to answer any questions about the use of hazardous materials in sponsored programs.

7. Stem Cells
Projects involving stem cells must receive approval from the Escrow Committee before any work is begun. The Office of Responsible Research Practices is available to answer any questions about the use of stem cells in sponsored programs.

8. Responsible Conduct of Research
Lehman College participates in and is subject to the CUNY policies on the Responsible Conduct of Research. According to the federal government and the 2007 Research Misconduct Policy of CUNY, Research misconduct is defined as fabrication, falsification or plagiarism.

Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit in proposing, performing or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.

Responsible Conduct of Research, however, is much broader than simple research misconduct. Responsible Conduct of Research also includes many areas such as data acquisition, management, sharing and ownership, Conflict of Interest whether financial, commitment, or institutional, Human Subject protection, Animal Welfare, Publication Practices and responsibilities, Mentor/Trainee responsibilities, Peer Review and Collaborative Research.

In response to increasing federal regulation in the area of Responsible Conduct of Research in 2010, CUNY has put in place a plan for the training and oversight of Responsible Conduct of Research. This plan includes a requirement that all students that are supported by sponsored programs, whether graduate or undergraduate, must receive and participate in training in the Responsible Conduct of Research. The plan as instituted requires Project Directors and Principal Investigators to provide ongoing education in RCR topics to students and postdoctoral researchers participating in the project. The PD/PI must also maintain records of the training, including documentation that the students have successfully completed online training modules appropriate to the research field from CITI and shared the completion
certificates with the Office of Research and Sponsored Programs within six weeks of the beginning of the project, or the time when the student or postdoctoral researcher is hired to work on the project.

More information is available on the CUNY web site, http://www.cuny.edu/research/research-conduct.html.

9. Conflict of Interest

The City University of New York has developed guidelines for colleges to use to identify potential conflicts of interest for principal investigators based on the nature of the work and funding source. Lehman College adheres to the CUNY policies and to the sponsor policies as applicable to sponsored programs. The primary conflict of interest concern is the potential for a significant financial interest in the outcome of the research project. Definition of Significant Financial Interest as defined by CUNY policy is:

Anything of monetary value, including, but not limited to, salary or other payments for services (e.g. consulting fees or honoraria); equity interests (e.g. stocks, stock options, or other ownership interests); and intellectual property rights (e.g. patents, copyrights, and royalties from such rights).

The term does not include:

- Salary, royalties, or other remuneration from the University;
- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- Income from service on advisory committees or review panels for public or nonprofit entities;
- An equity interest that, when aggregated for the Covered Individual and the Covered Individual’s spouse and dependent children, meets both of the following tests: (i) does not exceed $10,000 in value, as determined through the reference to public prices or other reasonable measures of fair market value; and (ii) does not represent more than a five percent (5%) ownership interest in any single entity; or
- Salary, royalties, or other payments that when aggregated for the Covered Individual and the Covered Individual’s spouse and dependent children over the next twelve months, are not expected to exceed $10,000.
(Please See: http://www.cuny.edu/research/index.html and follow the link on Research Compliance for a detailed explanation of the current CUNY policy and procedures used by the University in matters of conflict of interest.)

The Policy as it Applies to Lehman College

Lehman College has a College Conflicts Officer (Dr. Robert Troy, Associate Provost, x 7825, robert.troy@lehman.cuny.edu) who reviews conflicts of interest submissions on all grant proposals. All proposals must be accompanied by the Disclosure Statement for Certain Academic Employees Upon Application for an External Grant or Contract - City University of New York form. Each Principal Investigator on a proposal must fill out this form completely and is responsible for disclosing any potential conflict of interest. All sections should be filled out with no section left blank. Please note that if a potential conflict of interest is identified, it may still be possible to conduct the research project with some modifications. Once a potential conflict of interest is identified, then the College Conflicts Officer reviews the disclosure statement and makes a determination. The PI and Conflicts Officer then discuss the conflict and it is hoped that a solution can be attained at that time. A review process has been defined by the University if there is disagreement between the PI and the Conflicts Officer. Please see the link above for further detailed information.

In addition to financial conflicts of interest, Lehman College is also required to manage apparent conflicts of interest with regard to the individual or the institution. Some sponsors (such as the National Institutes of Health), define investigators very broadly. When this is the case, the conflict of interest disclosure should cover not only the project Principal Investigator, but also her or his immediate family.

All possible care will be taken to protect the information pertaining to conflict of interest disclosures both in the Office of Research and Sponsored Programs and in the Conflict of Interest Officer’s files.

Faculty members are encouraged to disclose early and often: in the vast majority of cases, conflicts may be managed within Lehman College and research will be able to continue. Penalties at the federal level usually only arise when conflicts are not disclosed.

NIH Policy:
In addition to their published policies, for the purposes of Conflict of Interest, NIH has clarified:

The term ‘Investigator’ means the Principal Investigator (PI) and any other person who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding. The term “Investigator” includes the Investigator’s spouse and dependent children.

• An Investigator is not just the Principal Investigator or Senior/Key Personnel conducting the PHS-sponsored research.

• Recipient institutions are encouraged to broadly consider an individual’s role, rather than title, and their degree of independence when applying the definition.

NSF Policy:


10. Sexual Harassment

All sponsored programs are subject to the Research Foundation of CUNY’s sexual harassment policy, which includes mandatory training for all project personnel (including faculty). Faculty may meet the training requirement by providing the Research Foundation of CUNY with a copy of their CUNY sexual harassment training certificate. All other project personnel must pass the sexual harassment training course which is available on the Research Foundation web site.

11. Equipment

The CUNY definition of equipment is any item over $1000 in value. These items, regardless of how they were purchased, must be logged, tagged, and tracked annually through Lehman College’s equipment office. For sponsored program budgeting purposes, equipment follows the federal definition, and is defined as any item with a value of over $5,000 and a usable life span of over one year. Please consult with the Office of Research & Sponsored Programs before budgeting equipment into a proposal as additional regulations may apply.

12. Intellectual Property

CUNY has a robust intellectual property policy that applies to all faculty. If you believe your research may result in patentable intellectual property or will involve copyrightable materials, please disclose this to
13. Technology Transfer
Technology transfer (disclosure agreements, data use agreements, patenting, and copyright issues) for sponsored programs is handled by the Research Foundation in concert with the appropriate CUNY offices.

14. Cost Sharing
Cost sharing should only be included on a sponsored project if it is required by the sponsor. Projects requiring cost sharing must include letters of commitment for all costs and resources not provided by the sponsor. Cost sharing arrangements must be approved by the department chair, divisional dean, and Office of Research and Sponsored Programs.

Participant Roles and Responsibilities
The successful development, approval, and submission of an application for sponsored program funding involves many more people than the researcher alone. It is important to understand each participant’s role and responsibilities in the process to help ensure the proposal’s success even before it leaves campus.

i. Principal Investigator
Since the project will be built around the PI’s idea and the PI will be responsible to the institution and the sponsor for the fiscal and intellectual management of the project, the PI has the central role in all aspects of sponsored programs.

2. Finding Funding: It is the responsibility of the PI to find, review, and evaluate opportunities for proposal submission to make sure that the goals and mission of the sponsor are in alignment with the ideas and needs of the PI and the project in mind.

3. Understanding Sponsor Requirements & Guidelines: The PI must understand all sponsor requirements and guidelines to ensure that their application will be successful.

4. Proposal Development: The PI is responsible for writing the application, filling out all required forms, and ensuring that all parts and pieces are complete before submission.

5. Proposal Routing: The PI is responsible for discussing the proposal with their Department Chair and Divisional Dean and securing their approval before submission. The PI is also responsible for securing written documentation of any commitments being made to the project from Lehman College or other entities.

6. Proposal Approval: The PI is not legally able to commit the institution to an application for sponsored program funding. The PI is responsible for ensuring that the proposal has appropriate institutional approval from the Office of Research and Sponsored Programs before submission.
7. **Proposal Submission:** The PI is not usually responsible for the actual submission of the proposal, but requirements and processes vary from sponsor to sponsor. The PI is responsible for understanding the sponsor’s requirements for submission and communicating with the Office of Research and Sponsored Programs.

ii. **Office of Research and Sponsored Programs**

The Office of Research and Sponsored Programs has at its core several varied responsibilities. Among these are to serve as a resource to the faculty in all areas of sponsored programs, to protect the institution from undue risk in sponsored programs, and to serve as liaison to the Research Foundation.

8. **Finding Funding:** The Office of Research and Sponsored Programs produces a monthly newsletter summarizing funding opportunities with approaching due dates and offers a workshop in the Fall and Spring semesters that enables faculty and staff to learn how to identify funding sources and search for opportunities. ORSP also forwards specific announcements to faculty that may be interested.

9. **Understanding Sponsor Requirements & Guidelines:** ORSP serves as advisor to faculty who may not have had much interaction with sponsors or understand the guidelines as presented. When questions arise about the administrative portion of a proposal, ORSP is available to answer the question from experience or assist in contacting the sponsor to understand the requirements.

10. **Proposal Development:** The development of the proposal is the responsibility of the PI. However, many parts of the proposals may be unfamiliar or complex. ORSP offers workshops each semester to aid faculty members in developing their proposals. Topics currently include “Building a Budget”, “Introduction to NIH”, “Introduction to NSF”, “Introduction to NEH”, “Introduction to NIH Research Plans”, and “Introduction to NSF Project Narratives”. ORSP is available to develop additional workshops as needed. ORSP maintains PI access to sponsor electronic systems such as eRA Commons for NIH and FastLane for NSF. Workload permitting, ORSP staff will also work with individual faculty members to assist in developing the administrative parts of proposals or to give feedback on any part of the proposal. Time preference is given to new or inexperienced faculty over seasoned or funded faculty, and proposals are prioritized by due date. Regardless of any assistance given by ORSP, the responsibility for filling out all forms ultimately rests with the PI.

11. **Proposal Routing & Approval**

   a. **Paper Proposals:** All proposals should be scanned and uploaded to Cayuse and routed for approval by the PI, the Department Chair, and the Divisional Dean, before being routed to the
Office of Research and Sponsored Programs for review and signature. All proposals that include commitments of resources from the College must include letters outlining the commitment and be signed by the owner of the resources.

b. Electronic Proposals: All proposals must be routed by the PI to the Department Chair, and the Divisional Dean before sending to the Office of Research and Sponsored Programs for review and submission. All proposals that include commitments of resources from the College must include letters outlining the commitment and be signed by the owner of the resources. The routing chain in Cayuse must also include owners of all resources committed to the project.

12. Proposal Review: ORSP is responsible for reviewing all proposals to ensure that they are compliant with all Lehman College, Research Foundation of CUNY, City, State, and Federal policies and regulations. ORSP encourages researchers to discuss the project with them early to ensure that all necessary supporting documentation and explanations will be included in the proposal or routing along with the proposal.

13. Proposal Submission: Unless required by the sponsor or necessary for other reasons, ORSP prefers to submit all applications directly.

iii. Research Foundation

14. Finding Funding: The Research Foundation of CUNY maintains a paid subscription to the database COS that is accessible to all researchers and manages the internal PSC-CUNY proposal and award process. The RF does not have any formal role in finding funding.

15. Proposal Development: The Research Foundation does not have any role in proposal development, but may be consulted if you have unusual or extremely large items in your budget.

16. Proposal Routing: The Research Foundation does not have any role in proposal routing.

17. Proposal Approval: The Research Foundation does not have any role in Proposal Approval.

18. Proposal Submission: The Research Foundation does not have any role in Proposal Submission.

iv. Department Chair

The Department Chair is responsible for understanding the researcher’s request including any needs for space, reassigned time, equipment usage, staff support. In signing the paper routing form or approving an electronic proposal, the Chair
agrees to fulfill any and all Department-level commitments included in the proposal. Researchers are encouraged to discuss any commitments needed with the Chair at the beginning of proposal development and to consider including a letter of commitment from the Department Chair in the application as appropriate.

v. Divisional Dean
The Divisional Dean is responsible for understanding the impact of the proposal on the division, including any requests for space, facilities, staff, or regulated resources (such as but not limited to animals, human subjects, stem cells, or hazardous materials). In signing the paper routing form or approving an electronic proposal, the Dean agrees to support and fulfill all commitments of Dean-level resources included in the proposal. Researchers are encouraged to discuss the proposal and any commitments needed with the Dean at the beginning of proposal development and to consider including a letter of commitment from the Divisional Dean in the application as appropriate.

vi. Other Institutional Officials
Research Projects occasionally require the commitment of resources not controlled by the Department Chair or Divisional Dean such as renovation of facilities, use of regulated resources such as human or animal subjects, STEM cells, hazardous materials, or tuition waivers. The proposal should be routed to the appropriate institutional officials responsible for the needed for the resources before being routed to the Office of Research and Sponsored Programs. Researchers are encouraged to discuss the proposal and the commitments needed with the appropriate officials at the beginning of proposal development and must always include a letter of commitment from the appropriate institutional official(s) as part of the application.

vii. Sponsor
The sponsor is responsible for clearly communicating the program goals, guidelines, and submission deadline to the public. The sponsor is NOT responsible for any special consideration or communication with Lehman College, its faculty or its staff. Requests for extensions or exclusions from parts of the requirements are granted solely at the discretion of the sponsor and may harm the researcher’s chances of being funded.