

Contract Manager System

Fast – Convenient – Secure – Accurate



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Overview

Request, manage and track the progress of your contracts from one location. Seamlessly integrated with the ePayment System

Memorandum of Understanding (MOU)

Independent Contractor's Agreement under \$5,000.

Legally binding agreement based on the project director's acknowledgment that the Contractor qualifies as an independent contractor.

Services sought are allowable by the sponsoring agency.

Contractor is not an RFCUNY employee.

[learn more](#)

[Request New](#)

[View Pending](#)

[View / Amend Processed](#)

Independent Contractor Agreement (ICA)

Independent Contractor's Agreement \$5,000 and above

Contractor controls when, how, and where services are performed.

Contractor maintains a separate business with its own premises, materials and equipment.

Individuals cannot be issued both a W-2 Form and 1099 Form by the Research Foundation in the same calendar year.

Contractor is not an RFCUNY employee.

[learn more](#)

[Request New](#)

[View Pending](#)

[View / Amend Processed](#)

Subaward

Subawards are awarded to third-party organizations to perform a clearly separable part of the prime award.

Work performed is integral to overall success of the project and is done in compliance with prime award guidelines.

Generally involve greater performance expectations including formal milestones and deliverables.

[learn more](#)

[Request New](#)

[View Pending](#)

[View / Amend Processed](#)

Contract Manager is the Research Foundation's electronic document request and processing system, which offers users a centralized and streamlined process for requesting MOU's, ICA's, and Subawards. This manual will show you the following:

1. How to create MOU, ICA and Subaward requests in the Contract Manager System.
2. How transactions proceed through the Contract Manager System, and how to track the status of MOU, ICA and Sub-Award requests in real time.
3. How to create requests for amendments to MOUs, ICAs and Subawards in the Contract Manager System.
4. How the Contract Manager System integrates seamlessly with the RF's E-payment system, to create a streamlined and simplified payment process.

Contract Manager Home Screen

Below are the full qualifications for each, **Memorandum (MOU)**, **Independeant Contractor (ICA)** and **Subward**.

Memorandum of Understanding (MOU) Contracts under \$4,999

1. The Memorandum of Understanding (MOU) is an Independent Contractor Agreement used when the total cost of services from a contractor is under \$5,000 for the calendar year. It is a legally binding contract entered into by the Research Foundation on behalf of the associated CUNY College/Office and an Independent Contractor.
2. MOUs are reviewed and executed by the Research Foundation's Procurement and Payables Department.
3. MOUs must be fully executed before the commencement of any services.
4. Requests for payments must be submitted after the MOU is fully executed.
5. If a request for an MOU brings the total compensation to the Independent Contractor across all MOUs issued in a calendar year to \$5,000 or more, an Independent Contractor Agreement (ICA) must be requested.

Independent Contractor Agreement (ICA) Contracts over \$5,000

An Independent Contractor is an individual or firm providing specific personal services free from the direction and control of performance including the means and methods used to accomplish the work. The general test is one of control i.e. that an individual is an Independent Contractor if the entity for which the services are performed has the right to direct only the result of the work and not control the means or method of accomplishing that result.

Subaward

1. The Subrecipient must comply with the sponsor requirements of the prime award (e.g. effort reporting on federal awards).
2. The Subrecipient exercises programmatic control over how the sponsored work is performed. It makes independent decisions regarding how to implement the proposed activities, as opposed to providing goods or services to the prime award Principal Investigator.
3. The Subrecipient is responsible for substantive programmatic work or for conducting a significant portion of the project.
4. A Principal Investigator has been identified at the Subrecipient who functions as a "Co-PI." Publications may be created or co-authored.

Accessing the Contract Manager System/Features

To access Contract Manager, log into the RF's website, and hover over the **Electronic Tools** tab ❶ and select **Contract Manager** ❷ from the drop-down menu. This will take you to the Contract Manager Home Screen as seen in figure 2 on page 4.

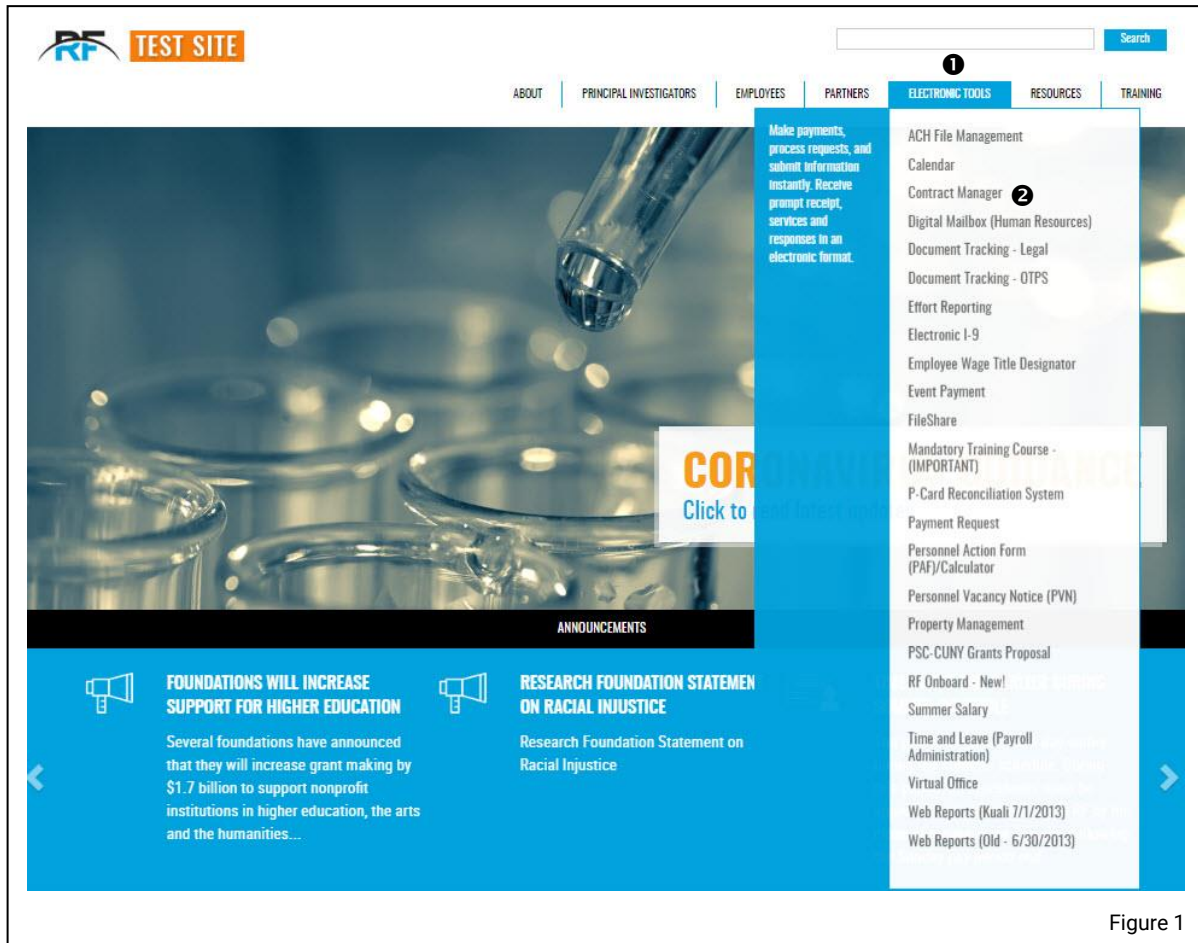


Figure 1

Contract Manager Home Screen Features

The MOU, ICA, and Subaward portals each include the following features:

The **learn more** ① blue icon ⓘ gives you detail information regarding MOU, ICA, and Subawards; By hovering over the icon, users can access helpful information for that item.

The **Request New** ② portal, for creating a new contract request.

The **View Pending** ③ portal, which allows users to see the status of all pending transactions, including real time status updates. Pending transactions are those which have not yet completed all necessary approvals in Contract Manager.

The **View/Amend Processed** ④ portal, which allows users to view and/or create amendments to processed agreements. Transactions move from Pending to Processed once they have completed all the necessary approvals in Contract Manager.

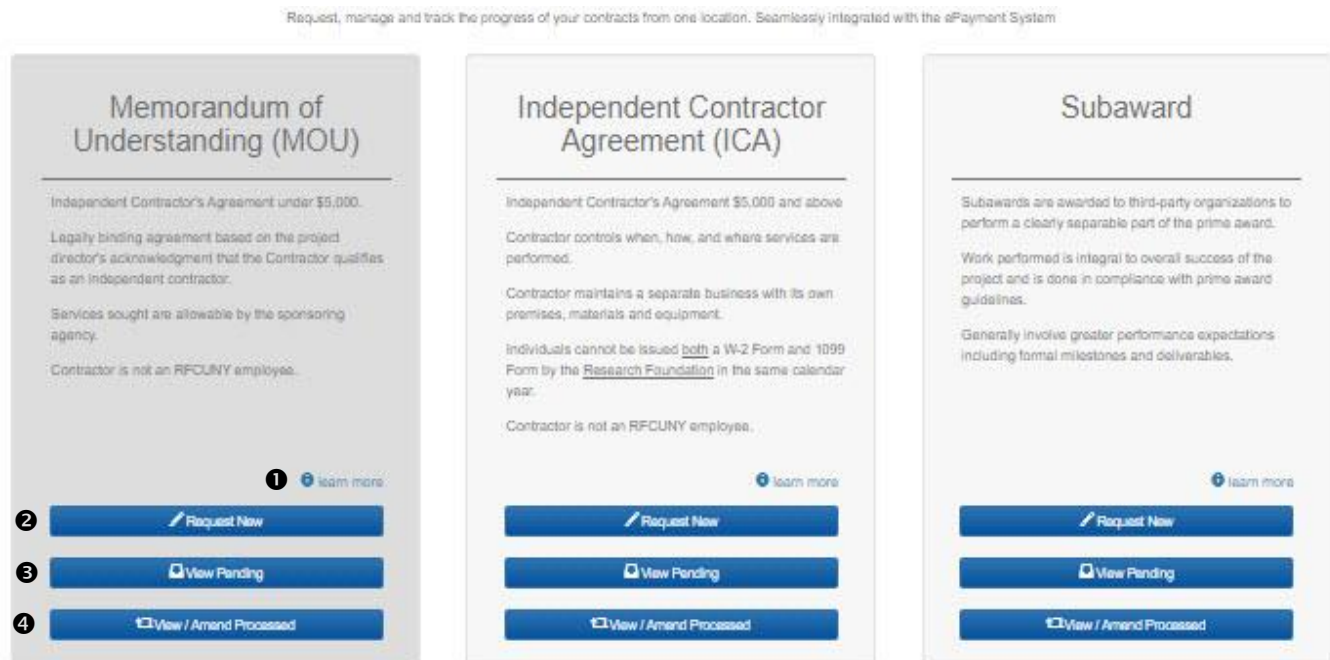


Figure 2

Creating an MOU Contract Request

Under the MOU portal on the Contract Manager home screen, click **Request New** ❶. This will take you to the first screen, **Classification** ❷. **Home** ❸, this will return you to the Contract Manager home page. **MOUs** ❹, which is outlined to show that this is the section you are currently accessing. **Pending** ❺, is where you can view and access all pending MOU transactions. **Processed** ❻, is where you can access all processed MOU transactions.

This is where you will indicate if the requested Contractor is **An Individual** ❷ or **A Company** ❸. If you select **Individual** ❷, a drop-down list of twenty questions will appear, which you will be required to answer before you can proceed. If you do not answer all the questions, the system will prompt you to answer the question by providing red text ❹ under the unanswered question(s). After answering the questions, click the **Initiate Request** button ❺ and continue to the next step.

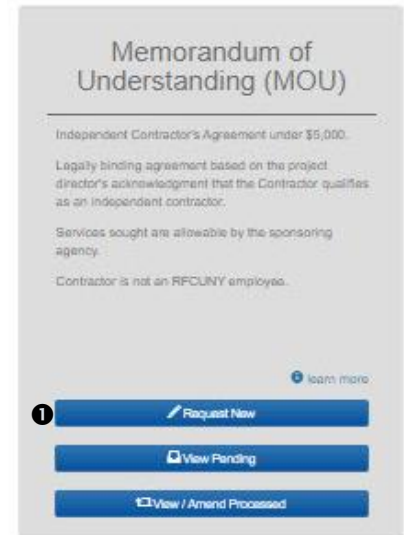


Figure 3

Please Note: For MOU requests for individuals, you may receive a warning that the proposed contractor may not meet the IRS requirements to be classified as an Independent Contractor, depending upon the answers. The warning will not stop you from submitting the request. The RF staff will closely review the request to ensure proper classification under the IRS guidelines.

Classification ❷

❸ Home ❹ **MOUs** ❺ Pending ❻ Processed

Please answer the questions below. Be aware that the Federal Department of Labor has advised that "most workers are employees". The misclassification of an employee as an independent contractor can have serious legal and economic consequences. The IRS developed this 20-Factor test to determine if a business controls and directs a worker, or has a right to do so. The factors (questions), applied to each individual circumstance under which services are to be performed, help to determine the individual's classification. The Research Foundation will use your answers to determine the individual's correct status. If the services will be provided by an individual and you answer "yes" to most of the 20 questions, the individual is most likely an employee and not an independent contractor. If you answer "no" to most of the questions, the individual may be an independent contractor.

This MOU request is for services that will be provided by

❷ **An Individual** ❸ **A Company**

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

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

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

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

❹ This question has not been answered

❺ **Initiate Request** ❻

Warning

The answers to the classification questionnaire indicate that the contractor may not meet the IRS Independent Contractor requirements. This request will be closely reviewed to determine the individual's appropriate classification.

Figure 4

Contract Manager Steps/Features

After clicking on **Initiate Request**, a green success banner ❶ will appear in the figure 5 below stating you have moved to the next step successfully. If the system indicates the requirements are not met for an MOU contract, a warning sign ❷ will appear. The system will allow you proceed, and the RF staff will review this closer to assist you.

There are three steps in completing a contract. The first is **Agreement Details** ❸. This is where the contract details like the Agreement Amount, Performance Place and Dates are required prompting the Project Account number and other details to be filled in. To know which section you are in, this will be indicated by the bold bars on both sides of the section name. This is shown with the two arrows below in the **Agreement Details** title ❸. **Contractor** ❺ section, this is where you first search to see if the RF has established a business relationship with the contractor. If the contractor has an established business relationship with the RF, they will have an existing vendor profile. The contractor's name will appear in the system when you search for it. If the contractor is not in the RF system, you can create a new contractor profile in this section. **Supporting Information** ❻ page which allows you to upload all supporting documents required and add notes.

The **Classification Type** ❷ indicates which type of contract you have, Individual or Company to initiate the application process.

The **Audit** ❸ feature maintains an audit trail which allows users to track the progress of requests, and provides users with the up-to-the-minute status of all pending requests submitted, including who has worked on the request and the last action performed upon it.

The **Help** ❹ link provides telephone numbers and emails for assistance regarding your chosen contract, MOU, ICA, and Subaward.

The screenshot shows the 'Agreement Details' page in the Contract Manager system. A green success banner at the top states 'Success' and 'Classification questionnaire saved successfully'. The page has a navigation bar with tabs for 'Agreement Details', 'Contractor', and 'Supporting Information'. The 'Agreement Details' tab is active. Below the banner, there is a section for 'Agreement Amount' with a text input field containing '\$ e.g. 4000' and a link to '+ Add Travel Expenses'. A green 'Save & Continue' button is at the bottom. On the right side, there are links for 'Classification Type: Individual', 'Audit Trail', and 'Help'. A callout box with the number ❷ points to the 'Classification Type' link.

Figure 5

The screenshot shows the 'Agreement Details' page in the Contract Manager system. A yellow warning banner at the top states 'Warning' and 'The answers to the classification questionnaire indicate that the contractor may not meet the IRS Independent Contractor requirements. This request will be closely reviewed to determine the individual's appropriate classification.' The page has a navigation bar with tabs for 'Agreement Details', 'Contractor', and 'Supporting Information'. The 'Agreement Details' tab is active. On the right side, there are links for 'Classification Type: Individual', 'Audit Trail', and 'Help'. A callout box with the number ❷ points to the 'Warning' banner.

Figure 6

Agreement Details

The first step is to enter the **Agreement Amount ❶**. If, in addition to payment for services, the contractor will also be reimbursed for travel expenses, those travel expenses should be you can add an amount for travel expense by clicking the **+ Add Travel Expense** link ❷ below. A Consultant **Travel** box ❸ will appear, where you can enter the amount for travel. If you choose not to add travel expenses once the Consultant Travel box is open, you can collapse it by simply clicking the red **x Remove Travel Expense** ❹.

Once you complete the Agreement Amount section, the **Performance** ❺ section will appear, prompting you to enter the **Performance Place**, which is the country where services will be performed. Next, select the **Performance Start** date and **End** date, using the drop-down calendar for each field. Once you have completed this section, the **Agreement Amount Allocation** ❻ section will appear.

You will begin by entering the **Project Number** and selecting the project from which you will fund the MOU. Once you select the project, the Project Number, Project Name and availability will be displayed on the transaction ❼. If you wish to change the Project, click on **Change Project** ❽, which will return you back to the Project Number search box ❻. Once you have selected the Project Number, you must enter the amount of funding you wish to allocate to that Project in the **Agreement Amount** ❿ box.

Contract Manager allows users to allocate the total agreement amount to one or more Project Numbers, so you must enter the amount allocated on each Project Account. If you are going to be funding the MOU from more than one Project Number, allocate the amount to the first Project Account selected, and then click **+ Add Another Project** ⓫, select the next Project Number, and enter the allocation amount for that Project. Continue this process until you have distributed the entire agreement amount.

Once the entire agreement amount has distributed to the applicable RF account(s), the **Principal Investigator's** ⓪ Name, **Email**, **College** and **Phone Number** will appear. If the PI displayed is not the correct PI for this MOU, click the **Change Principal Investigator** link ⓫, and **Select Box** ⓬ will appear. Click the arrow ⓭ to access a drop-down menu of all available PIs for the selected project account(s). Select the applicable PI for this request. If you wish to cancel the change of PI, click on the **Cancel** ⓮ link. Once you select the PI, scroll down and click **Save & Continue** ⓯. The system will now proceed to the Contractor section.

Memorandum Of Understanding

Home

MOUs

Pending

Processed

\$ Agreement Details

Contractor

Supporting Information

Classification Type : Company

Audit Trail

Help

Agreement Amount

Agreement Amount

\$ 2000.00

Consultant Travel

\$ 0.00

+ Add Travel Expenses

* Remove Travel Expenses

Performance

Performance Place

United States

Performance Start

07/23/2021

Performance End

07/29/2021

Agreement Amount Allocation

Project Number: 40G25-00 12

Forward Funding

Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00

Budget Period: 03/01/2020 - 09/30/2021

Project Number

55001-00 01

Agreement Amount

\$ e.g. 4000

+ Add Another Project

Change Project

Save & Continue

Principal Investigator

Name: PI TesterPI | BC6

Email: yiciana_rodriguez@rfcuny.org

College: BROOKLYN COLLEGE

Change Principal Investigator

Principal Investigator

PI Name

Cancel

Select

Angela TesterGO (GBC)

GO TesterGO (TS1)

Judith Mandel (MYG)

Nick TesterGO (GBZ)

PI TesterPI (BC6)

Sabrina Cerezo (CSG)

Sean TesterGO (GDC)

Yong TesterGO (GBG)

Figure 7

Agreement Amount Allocation Details

The **Agreement Amount Allocation** ❶ section provides three blue information circles. The first, **Project Number** ❷. When you hover over the blue information circle, all the RF Project Administrators contact information will display. Second, the **Availability** ❸. When you hover over the blue information circle, it displays **Fund Amount**, **Pending Amount** and **Total Amount**. There is also a link titled **Project Budget & Expense Report** ❹ to view **Object Code**, **Description**, **Budget**, **Encumbrance**, **PTD Activity** and **Available Balance** in detail, click on the link and a pop-up **Project Budget & Expense Report** ❺ will display. The third is **Agreement Amount** ❻. This explains the portion you are allocating is part of a larger budget amount.

You have the ability to **Change Project** ❼ by clicking the link, the current information closes, and the Agreement Amount request box appears where you can re-enter a Project Number to locate the new one. If you choose to Cancel, just click on the Cancel link ❸ in figure 9. You can choose to **+ Add Another Project** ❾ by clicking on the link. This will open a section where you can enter a new Project Number. If you wish to Cancel, click on the red **Remove Project** link ❿ as seen in figure 10.

❶ Agreement Amount Allocation

❷ Project Number: 40G25-00 12 **Forward Funding** ❸ [Change Project](#) ❼

Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

❸ Availability: \$991,000.00 Budget Period: 03/01/2020 - 09/30/2021

❻ Agreement Amount ❶ [Add Another Project](#) ❾

Agreement Amount

\$ 5000.00

The Agreement Amount is the portion of the agreement that will be encumbered on this project.

Contact Information

For questions regarding fiscal approval or budget allocation please contact:

Linda Chung (PA) | (212) 417 8423
Xiaoming Wu (APA)

Project Funding Availability

Fund Amount	\$991,000.00
Pending Amount	\$0.00
Total Amount	\$991,000.00

[Project Budget & Expense Report](#) ❹

Project Budget & Expense Report ❺

Object Code	Description	Budget	Encumbrance	PTD Activity	Available Bal
7000	Consultants	\$0.00	\$14,000.00	\$0.00	-\$14,000.00
8102	Guarantee By RFCUNY - Brooklyn	\$1,005,000.00	\$0.00	\$0.00	\$1,005,000.00
	Total Personnel Cost:	\$0.00	\$0.00	\$0.00	\$0.00
	Total PSP Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Direct Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Indirect Cost:	\$0.00	\$0.00	\$0.00	\$0.00
	Total Net Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00

Close

Figure 8

Agreement Amount Allocation

Project Number [Cancel](#) ❸

e.g. 55001-00 01

Agreement Amount ❶

\$ e.g. 4000

Figure 9

Agreement Amount Allocation

Project Number [Remove Project](#) ❿

e.g. 55001-00 01

Agreement Amount ❶

\$ e.g. 4000

Figure 10

Please Note: Yellow warning banners may appear to inform you of issues/errors. In the example to the right, the warning banner is alerting us that the amount requested/allocated to the Project Account exceeds the total Agreement Amount requested.

Warning: The amount allocated is greater than the Agreement Amount.

Contractor Section

This is where you first search to see if the RF already has established a business relationship with the contractor. If the contractor has an established business relationship with the RF, and already has an existing vendor profile, the contractor's name will appear. If the contractor is not in the RF system, you can create a new contractor profile in this section.

For this example, we are using an existing contractor. The next step is to locate the contractor by typing in the **Contractors** name ❶. By typing in a few letters, a list of contractors will automatically appear under the name to choose from. Once you have located the vendor, check the **Vendor ID** ❷ to make sure it is the correct vendor. You then click on the blue **Select** ❸ button to proceed. If you need to add a Contractor, click on **+ Enter New Contractor** ❹ and it will bring you to the Contractors Details Information section on page 11 where you can enter the new Contractors information.

Located on bottom of the screen are the amount of screen pages ❺ with vendors listed to search from. The **Save & Continue** ❻ button functions later in the process. You can **Delete** ❼ the contract at this point if required. The **Submit** ❸ button will function once the steps are completed. If you try and submit the contract before completion, a **Submit Request** ❾ window will appear as part of the normal procedure. You can close out and it will keep you in the same section. If you click proceed, the **Error** ❿ banner will appear with instructions preventing you from submitting. The **Print** ⓫ option at the stage will print out the following: Transaction Number, Transaction Type, Contractor Type, Agreement Amount, Performance Period, Project Number, Project name, Budget Period, Remaining Agreement Amount, and the PIs information.

Memorandum Of Understanding (CM00003088-00)
Status : Pending PI Approval

Home **MOUs** Pending Processed

Agreement Details **Contractor** Supporting Information

Classification Type : Individual Audit Trail Help

Contractor Search

Enter your contractor's name in text box below. If we cannot locate your contractor, please enter his/her information by clicking the "Enter New Contractor" link.

❶ John D

[+ Enter New Contractor](#) ❹

Contractor Name	Vendor Id	
Aderounmu, John Oluwadamilare	57502-0	❸ Select
ALMACY, JOHN DAVID	76004-0	❸ Select
ANTHONY JOHNSON dba A.G. JOHNSON CONSULTING	97432-0	❸ Select
CLARO, JOHN DAREL B.	54817-0	❸ Select
COLEY, JOHN D	95758-0	❸ Select
COLWELL JR, JOHN DAVID	77591-0	❸ Select
JOHN K BAINBRIDGE	19739-0	❸ Select
JOHN A REISENBACH FOUNDATION	30072-0	
JOHN A. VAN DEUSEN & ASSOCIATES, INC.	77821-0	
JOHN ARNOLD GARGANI	95178-0	

❺

❻ Save & Continue ❼ Delete ❸ Submit ⓫ Print

Figure 11

Submit Request ❾

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation conflict of interest policy.
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

Close Proceed

Figure 11 A

Contractor Details

After you have selected the Contractor, the Contractor Details will appear.

Please Note: there are two tabs in this section, the **Contractor Details ❶** and **Contractor Official ❷**. The tab highlighted in blue ❶ informs you which tab you are viewing.

Any required information will be marked with a red asterisk. If you need to select a different contractor, click the **Change Contractor ❸** link, which return you to the **Contractor Search screen ❶** in figure 11 on page 10.

If you do not complete any required fields or fail to answer any required questions, the system will highlight those fields in red ❹ and those questions will be indicated by red text ❺ when you click the **Save & Continue ❻** button. Once you have completed all required areas, click **Save & Continue ❻** to proceed to the Contractor Official tab.

Please Note: The steps in the Contractor Details section will be the same whether you select an existing contractor or if you enter a new Contractor.

Memorandum Of Understanding (CM00003091-00)
Status : Pending PI Approval

Home **MOUs** Pending Processed

Agreement Details **Contractor** Supporting Information

Classification Type : Individual Audit Trail Help

Contractor Details Contractor Official

Contractor Details
Field marked with * are required.

Change Contractor

Contractor's Name: * Adamski, John K

Entity Type: * Individual/Sole Proprietor/Honorarium/IC(Srv)

Tax ID Type: * Select **This field is required**

Non-Resident Alien: * No Yes

Current/Past RFCUNY/CUNY Employee: * No Yes, Past Yes, Current **This is required**

Past RFCUNY MOU Recipient: * No Yes **This is required**

Address: * 230 west 41st street
e.g. Suite 102

City: * new york

State: * NEW YORK

Zip: * 10036

Country: * United States

Website: e.g. www.mywebsite.com

Save & Continue Delete Submit Print

Figure 12

Contractor Official

Once you have completed all required information in the Contractor Details section a green **Success** banner ❶ will appear, and the system will proceed to the **Contractor Official** ❷ tab. The red asterisks indicate all required information and a **blue information icon** ❸ to explain what information is required for that field. Here you will provide the following information:

1. **Authorized Official Name** ❹ which is the name of the person authorized to sign the Agreement on behalf of the Contractor. The Authorized Official should be a person who has the legal authority to sign the agreement on the Contractor's behalf.
2. **Authorized Official's Email** ❺ should be the Authorized Individual's direct email address, not a general email inbox (such as "questions@" or "info@", as these inboxes are often accessible by multiple people. The RF utilizes DocuSign, a third-party electronic document signing platform, to electronically sign agreements. DocuSign validates the identity of the signer by only allowing signature access through the direct email address for the signer.
3. **Authorized Official's Phone** number ❻ and extension if applicable.

Once you have completed all required areas, click **Save & Continue** ❼ to move onto the next section, **Supporting Information**.

Please Note: If you are missing any information, that section will be highlighted in red as shown in ❺, and you will not be able to proceed until you provide that information.

Memorandum Of Understanding (CM00003094-00)
Status : Pending PI Approval

Home **MOUs** Pending Processed

\$ Agreement Details **Contractor** Supporting Information

✓ Classification Type : Individual Audit Trail Help

✓ **Success** ❶
Contractor Details saved successfully

Contractor Details **Contractor Official** ❷

Authorized Official Name
The Authorized Official is the person who is authorized to sign the agreement on behalf of the Contractor.

Contractor's Authorized Official
Field marked with * are required.

Authorized Official Name: ❸ ❹

Email: * ❺
This field is required
The MOU will be sent to this email address for signature.

Phone: * - ❻

❼ **Save & Continue** Delete Submit Print

Figure 13

Supporting Information//Uploading Documents

Once you have provided all required information in the Contractor section and click Save & Continue, you will see the green **Success banner ❶**, and the system will proceed to the final section of the request creation process, **Supporting Information**. Here, you will provide supporting information and documents. First, answer the questions in the **Additional Details ❷** section. As you answer each question, they are saved, and green Success banner will appear.

Next, upload all required documents in the **Attachments ❸** section. Required documents are marked with a red asterisk, and you also can upload additional optional documents you wish.

In the example below, the following documents are required, and are thus marked with a red asterisk:

1. Appendix A Scope of Work and Deliverables
2. Contractor's Dated Client List or Advertisements
3. CV or Resume
4. RFCUNY/CUNY Employment Details

To upload a document(s) click on the **Upload** button ❹. That will bring you to figure 15 on page 14.

Figure 14

Uploading Supporting Documents

To upload an attachment, click the **Browse button ①** to search your computer ② for the applicable attachment. Once you locate and select the document ③, click the **Open button ④** to attach the document. You will then have the option to **Remove ⑤** the selected file, **Upload ⑥** the file, or **Browse ⑦** to select a different file. Once you have located and attached the file, click **Upload**. When a document is uploaded successfully, you will receive a green **Success banner**, as shown in figure 18 on page 15.

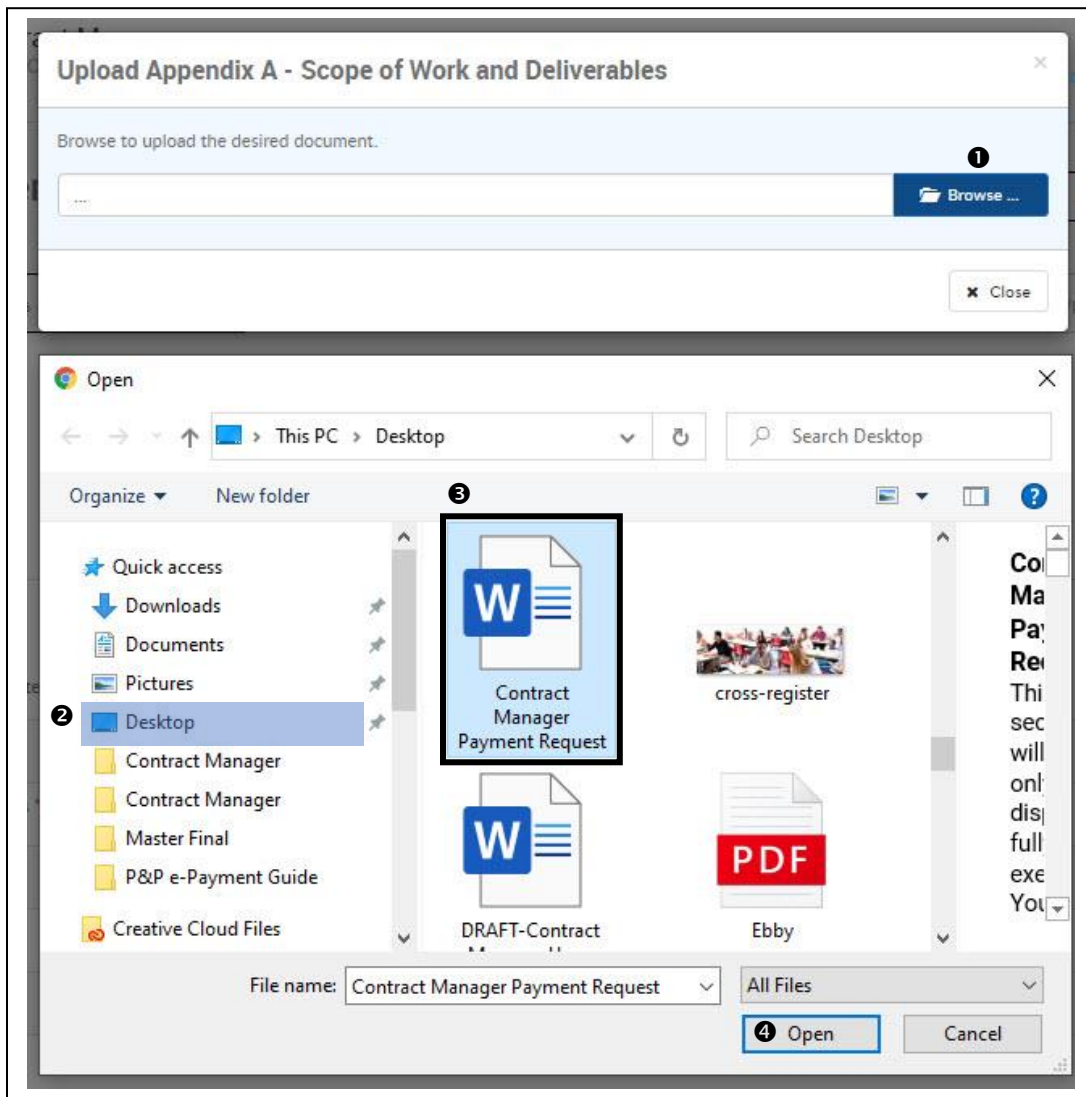


Figure 15

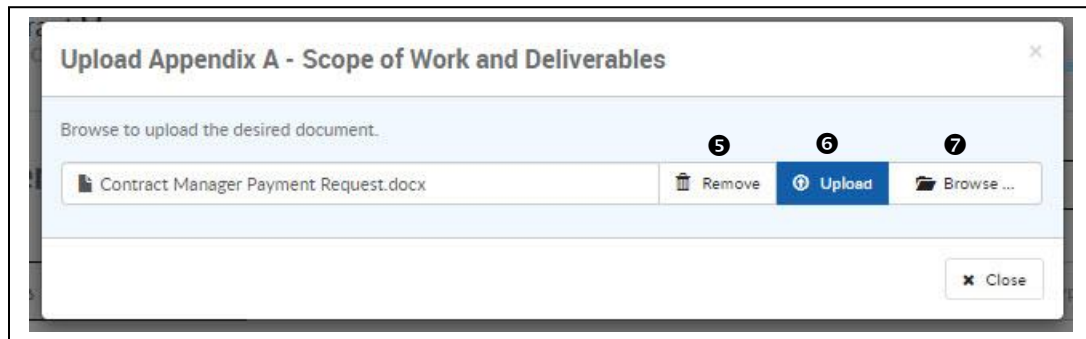


Figure 16

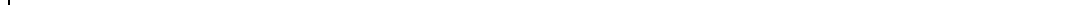


Figure 17

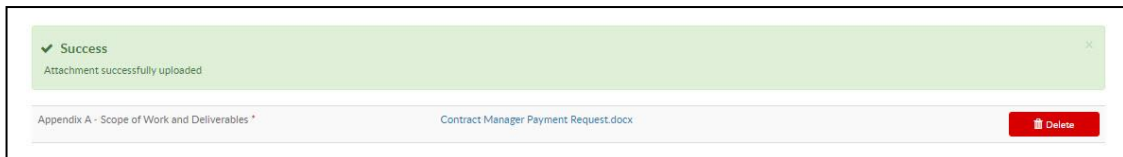


Figure 18

After you have uploaded a document, the document name will appear ❶ and the Upload button will be replaced by a red **Delete** button ❷. If you wish to replace that attachment, click the Delete button. Once you delete the attachment, the Upload button will return, and you can search and upload a different document.

If you wish to add a note, click on the **+Add Notes button** ❸. See Notes section on page 17 for more details on adding notes.

After you have uploaded all documentation and added any note(s) as necessary, you can submit your request, by clicking on the **Submit** button ❹. A pop-up **Submit Request** window ❺ will appear, with some certification statements. Once you have reviewed the certification statements, and wish to submit the request, click Proceed ❻.

Please Note: If you try submitting the request without attaching all required documents, an **Error message** will appear.

Additional Details

Is this contract for lobbying services? *

Is this contract for fundraising services? *

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Document Name	File Name	Action
Appendix A - Scope of Work and Deliverables *	ScopeofWorkandDeliverables.docx	Delete
Contractor's Dated Client List or Advertisements *	Contractor'sDatedClientListorAdvertisements.docx	Delete
Sole Source Justification or Bidding Documentation *	SoleSourceJustification.docx	Delete
Form W-9		Upload
Past RPCUNY ICA Details		Upload
Reporting Schedule		Upload
Sponsor Approval		Upload
Other		+ Add New

Notes

Use this section if you need to submit additional information with your request.

+ Add Note

Delete Submit Print

Submit Request

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation conflict of Interest policy.
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

Close Proceed

Figure 19

After submitting the request successfully, a green **Success ❶** banner will appear. The request has now entered the next step in the workflow. In this section you will see details such as **Status ❷** will appear indicating the next step in the process for the contract. All pending definitions are located on page 18 under Pending Detail Information. Not all transaction will follow the same workflow. The information below describes all the pending statues in detail. You will also see the name of the required documents **❸** that are attached to the contract submission. If you have written any Notes **❹**, you will see them at the bottom.

After the request had been submitted, you will see **Recall ❺** button appear. This recall button will appear in different sections of the process. Anytime you see the recall button, you can go back into the request to make changes with the information, delete or attach documents depending on the section you are in. If the request has been approved and moved into the next step in the process, it cannot be recalled. You would need to locate the status in the system and contact the RF. When you recall the request, it will go into the **My Action List** section described in the next Pending MOUs Section.

The recall function is only available while the request resides in the next step of the workflow, and once the RF has advanced the request into the next step in the process, it cannot be recalled. You would need to locate the contact person based upon the current status in the system and contact that person if any changes or corrections are required.

Memorandum Of Understanding (CM00003094-00)

Status: Pending FP Approval ❷

Home MOUs Pending Processed

Agreement Details Contractor Supporting Information

Classification Type: Individual Audit Trail Help

❶ Success
Contract successfully submitted.

Additional Details

Is this contract for lobbying services? * Yes No

Is this contract for fundraising services? * Yes No

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work and Deliverables * ❸ ContractManagerPaymentRequest.docx

Contractor's Dated Client List or Advertisements * c-payment.docx

CV or Resume * c-payment.docx

RFCUNY/CUNY Employment Details * ContractManagerPaymentRequest.docx

Form W-9

Past RFCUNY MOU Details

Reporting Schedule

Sponsor Approval

Other

Notes ❹

Use this section if you need to submit additional information with your request

09/18/2020 01:11:36 PM Note Type: General Role: Principal Investigator PI TesterPI (BC6)

Please Call

❺ Recall Print

Figure 20

Once you have successfully submitted your request, no further action is required. You can monitor the progress of your request by viewing the status under the **View Pending** section under the MOU portal on the **Contract Manager Home Screen**.

Notes

On the bottom left-hand side of is the **Supporting Information** page, you will see the **Notes ❶** Section. To add a note, simply click on the **Add Note ❷** button, which opens the note window ❸, and enter your note, and click **Add General Note ❹** to post your note. Once posted, the note details will be displayed ❺, and you have the option to add an additional note ❻ button. If you wish to edit or delete your original note, click on the highlighted note ❼ to open the note, make any necessary edits, and click **Update Note ❸**. To delete the note, click the red **Delete ❹** button.

After you finalize your note(s), your request is ready to be submitted. To do so, click on the green **Submit** button ❿.

The figure consists of four sequential screenshots of a web application's 'Notes' section, illustrating the workflow for adding and managing notes.

- Top Screenshot:** Shows the 'Notes' header with a sub-header 'Use this section if you need to submit additional information with your request'. A blue button labeled '+ Add Note' with a circled ❷ is visible.
- Second Screenshot:** Shows the 'Notes' header and a large text input area labeled 'Write a note' with a circled ❸. Below the input area are two buttons: 'Cancel' and '+ Add General Note' with a circled ❹.
- Third Screenshot:** Shows the 'Notes' header and a list of notes. The first note is highlighted with a light blue background and contains the text '09/18/2020 11:06:03 AM Note Type: General Role: Principal Investigator PI TesterPI (BC6)'. A circled ❺ is next to the note. Below the list is a blue button labeled '+ Add Note' with a circled ❻.
- Bottom Screenshot:** Shows the 'Notes' header and the same list of notes. The first note is highlighted. To the right of the note are two buttons: 'Update Note' (blue) with a circled ❸ and 'Delete' (red) with a circled ❹. At the bottom of the page are three buttons: 'Delete' (red), 'Submit' (green) with a circled ❿, and 'Print' (grey).

Figure 21

Pending Details Definition

Pending PI Approval

A Preparer has created the transaction, and it is now in the PI's action list for PI approval.

Pending GO Approval

PI has created or approved a transaction at a GO-driven school, and the transaction is now in the Grants Officer's action list awaiting approval. If a GO creates a transaction but has not yet submitted it to the RF, the status will also show as Pending GO Approval.

Pending FF Approval

The MOU was requested on an RF forward funded account and is with the RF's finance department pending approval to use forward funding for this transaction.

Pending Budget Review

The MOU amount requested exceeds the available balance of the account selected. Transaction is with the account's Project Administrator, who must first resolve any budget issues before the transaction is processed.

Pending P&P Approval

The MOU is undergoing review with the RF's P&P department.

Pending PA Approval

The transaction is with the RF Project Administrator, awaiting fiscal approval/encumbrance of the funding. This is the last step in the approval process for all CM transactions. After PA approval, the request moves from the pending to the processed section.

Pending MOU

Section Details

Next to the **Pending MOUs ❶** banner at the top, the user's total number of MOUs pending in the system will appear in parenthesis.

Users can quickly switch between the different CM portals by hovering over the **Pending MOUs ❶** banner. The blue drop-down menu will appear, where users can access the Request New MOU, View Pending MOUS, and the View/Amend Processed portals.

The system displays the different pending statues ❷. The number of pending requests in that particular status is displayed in the grey circle next to each status. To view all requests in a particular status, simply click on that status. The total numbers in each section will equal the number indicated in the parenthesis next to the section title.

Find Transaction By ❸ is where you locate your pending MOU.

My Action List ❹, which displays the MOUs that are in your queue awaiting your action. This list will consist of the following:

1. transactions created and submitted by a Preparer to the user for approval.
2. transactions the user has initiated that have not yet submitted to the RF for processing.
3. transactions that were submitted by user but were returned to the user for some action by the next person in the workflow. Returned transactions will include a note under the Supporting Information tab, explaining the reason for the return.

You can also view all pending transactions by clicking the **All ❺** option. You can also locate your request by clicking on **Transaction Details ❻**. See Transaction Details section on page 21.

The following action buttons appear above the list of pending transactions: **Submit, Return, Recall** and **Delete ❼**. By clicking the check box ❸ next to a transaction, the available actions will become active. It is important to note that in some cases, users may have no available actions on a transaction, so these action buttons may remain inactive. See the section titled **Action Buttons** on page 21.

For each transaction, the system will display the following information:

- **Transaction Number**
- **PI Name**
- **Submitted:** which indicates the date the transaction was submitted
- **Performance Period**
- **Remaining Amount**
- **Type:** which indicates if it is a New MOU or an Amendment to an existing MOU
- **Contractor Name**
- **Status:** If you have a question regarding the current status, you can see the appropriate person to contact by hovering over the **contact icon ❾** next to the status. A pop-up box will appear with the contact information for who at the RF can advise you on the current status.

The **Audit Trail icon ❿** will give you the full Audit details, including all actions taken upon the request and who performed those action. See figure 25 on page 20 for an example of the audit trail.

[Request New MOU](#)
[View Pending MOUs](#)
[View / Amend Processed](#)

Pending MOUs (6) Home MOUs ICAs Subawards

1 Pending Submission to RF
0 Submitted to RF
5 FF Approval
0 P&P Processing
0 PA Approval

Hide Filter

3 Find Transactions By:
Action List
Transaction Details 6

☐ My Action List 4
☒ All 5

Filter by: All
Results Found: 0

7 ☒ Submit
☐ Return
☐ Recall
☐ Delete

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
8 <input type="checkbox"/> CM00003170-00	PI TesterPI	-	12/12/2020 - 12/12/2020	\$4,000.00	New		Pending PI Approval	<input type="checkbox"/>
<input type="checkbox"/> CM00003110-00	PI TesterPI	09/22/2020	09/23/2020 - 09/30/2020	\$2,000.00	New	ASHKAHN PAJOOHI	Pending FF Approval 9	<input type="checkbox"/>
<input type="checkbox"/> CM00003109-00	PI TesterPI	09/22/2020	09/23/2020 - 09/29/2020	\$2,000.00	New	ALMACY, JOHN DAVID	Pending FF	<input type="checkbox"/>
<input type="checkbox"/> CM00003108-00	PI TesterPI	09/30/2020	09/23/2020 - 09/30/2020	\$2,000.00	New	ADAMSKI, JOHN K	Pending FF	<input type="checkbox"/>
<input type="checkbox"/> CM00003094-00	PI TesterPI	09/24/2020	09/17/2020 - 09/23/2020	\$2,000.00	New	ADAMSKI, JOHN K	Pending FF Approval 10	<input type="checkbox"/>
<input type="checkbox"/> CM00003088-00	PI TesterPI	10/09/2020	09/12/2020 - 09/30/2020	\$2,000.00	New	ABLE SAFETY CONSULTING LLC	Pending FF Approval 11	<input type="checkbox"/>

Contact Information

If you have any questions about the status of this transaction, please contact:

CMFForwardFunding@fcuny.org

Figure 22

Transaction Details

the **Transaction Details** section ❶, you have the choice of searching by **Transaction Number**, **Contract Types**, **Project Number**, **Contractor** and **Contract Status** to search by ❷. Once you have filled in the area in which to search, click **Filter** ❸ and the system will locate the contract. You can collapse the **Find Transaction By** section by clicking on **Hide Filter** ❹.

Find Transactions By: Action List Transaction Details ❶

❷ Transaction Number: Enter Trans# Contract Type: Select Type Project Number: Project# e.g. 51001-22 00 Contractor: Enter Contractor Contract Status: Select Status Filter ❸

Filter by: My Action List Results Found: 3

❹ Hide Filter

Figure 23

Action Buttons

Next to each transaction, you will see a check box ❶, which corresponds to a list of actions above. When you click the check box next to a transaction, the system will activate the available actions you can take upon that transaction. In figure 24 below, the available actions on the selected transaction are to **Submit** ❷ or **Delete** ❸ the transaction, which can be done by clicking the applicable action. The available actions on a transaction will vary depending upon where it resides in the workflow, and in some cases, users may have no available actions they can take. In these instances, the user should check the status and contact person, as show in figure 22 on page 20, and reach out to the applicable contact person for assistance with any changes or corrections they may need.

If you wish to make changes within the request, click on the **Transaction Number** ❹, and you will be taken to the **Memorandum of Understanding** section where you can make any necessary changes before submitting the request on page 8 in figure 7.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
CM00003170-00	PI TesterPI	-	12/12/2020 - 12/12/2020	\$4,000.00	New		Pending PI Approval	
CM00003110-00 ❹	PI TesterPI	09/22/2020	09/23/2020 - 09/30/2020	\$2,000.00	New	ASHKAHN PAJOHI	Pending FF Approval	
CM00003109-00	PI TesterPI	09/22/2020	09/23/2020 - 09/29/2020	\$2,000.00	New	ALMACY, JOHN DAVID	Pending FF Approval	

❶ Submit Return Recall Delete ❸

Figure 24

Please Note: Project administrator approval is the last step in the Contract Manager review process. Upon PA approval, an encumbrance is created to fund the MOU, and the request moves from Pending MOUs to Processed MOUs. At this time, the DocuSign workflow is initiated, where the MOU agreement is generated and circulated via email for electronic signature.

Audit Trail

Contract Manager maintains a detailed audit trail for each transaction, including details of the agreement amounts and PRSs associated with each transaction. The audit trail allows users to see not only “who” made changes and “when” they were made, but also “what” was changed. Additionally, changes continue to be documented in the audit trail after transactions are fully executed, allowing users to easily access encumbrance details, payments, adjustments, and other actions that impact the total value and remaining balance of the MOU right from the audit trail. The audit trail provides users with a clear breakdown of the expenditures for each transaction and allows users to easily understand how a transaction came to be in a specific state. It also allows users access to this great level of detail all within Contract Manager, without the need to seek information from other RF systems, such as Quali, Web Reports or the Payment Request system. Figure 25 displays who created the transaction, the amount, and the date and time of creation ❶. You can expand the to see additional transaction details by clicking the arrow to the left ❷, which opens a dropdown display with further details. The most recent action taken on the transaction (including the current status) will appear at the bottom of the list ❸. To exit the Audit Trail, click the **Close** ❹ button.

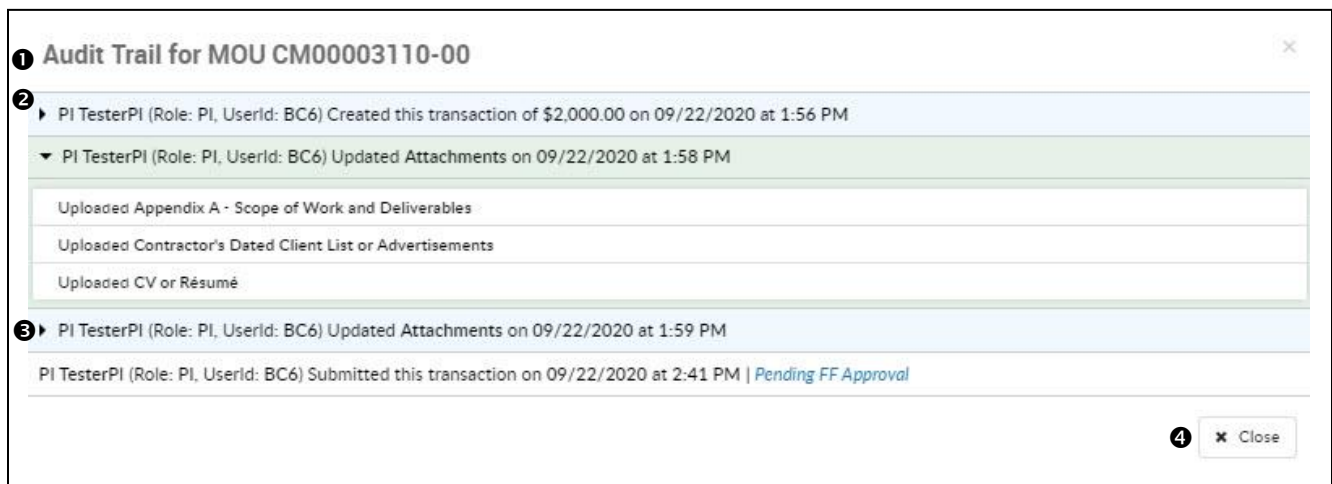


Figure 25

Incomplete/Complete Submission Messages

The system will not allow users to submit incomplete requests. If a user tries to submit an incomplete request, the system will prompt users with a red banner ❶, which will detail all missing required information. Once you have provided all required information and submit the request successfully, you will receive a green **Submitted Successfully** ❷ banner. You also have the option to **Undo Submission** ❸.

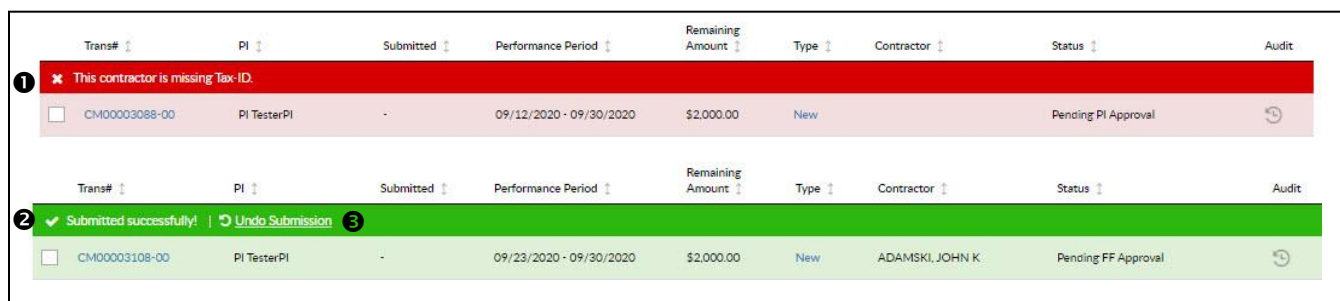


Figure 26

Processed MOU

Once an MOU has completed it will move from the **Pending** portal to the Processed portal. From the Contract Manager Home screen, if you click the **View/Amend Processed** portal under MOUs, you will be able to view all processed MOUs, and create an amendment request to an MOU, if required.

The user's total number of **Processed MOUs** in the system are displayed next to the Processed MOUs header ❶. Users can quickly switch between the different CM portals by hovering over the Processed MOUs banner. The blue drop-down menu will appear, where users can access the Request New MOU, View Pending MOUS, and the View/Amend Processed portals.

Number ❷ is the **Search** feature. You can search by Transaction Number, College, Project Number, Contractor, Performance Start Date and Performance End Date. Each MOU request is assigned a **Transaction Number** ❸. The Processed MOUs screen displays the following information for each transaction, ❹: **PI, Submitted date, Performance Period, Remaining Amount, Type**, the **Contractors** name, and **Completion Status**. If an agreement has been fully executed, a green check mark and the executed date will be displayed ❺. Agreements that were sent out for signature but are not yet signed will display a **Sent** ❻ icon. See Sent Details on page 24.

Users can access the Audit Trail by clicking the icon under the **Audit Column** ❷. Users can create an amendment to an MOU by clicking the **Amend Icon** ❸ which is explained in further detail in the MOU Amendment section below.

Please Note: When an MOU has been signed by all and is fully executed, Contract Manager will send a notification to all approvers in the MOU request's workflow.

The screenshot shows the 'Processed MOUs (7)' interface. At the top, a blue dropdown menu contains 'Request New MOU', 'View Pending MOUs', and 'View / Amend Processed'. Below this is a search bar with fields for Transaction Number, College, Project Number, Contractor, Performance Start Date, and Performance End Date, followed by a 'Filter' button. The main table lists MOUs with columns: Trans#, PI, Submitted, Performance Period, Remaining Amount, Type, Contractor, Executed Date, Audit, and Amend. The table contains seven rows of data. The last row shows a 'Fully Executed' status with a green checkmark and a date. A callout box points to this status, stating 'Fully Executed' and 'Contract is Fully Executed.'.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Executed Date	Audit	Amend
CM00003166-00	PI TesterPI	12/08/2020	10/01/2020 - 12/31/2020	\$4,000.00	New	A SHOT IN THE DARK MEDIA GROUP LLC	Sent ❻	⌚	✎
CM00003164-00	PI TesterPI	12/08/2020	10/01/2020 - 12/31/2020	\$3,500.00	New	BRIGHT VIEW TECHNOLOGIES CORPORATION	Sent	⌚	✎
CM00003163-00	PI TesterPI	12/08/2020	11/01/2020 - 12/31/2020	\$2,500.00	New	ARCHIVAL MICROFILMING SERVICES	Sent	⌚	✎
CM00003162-00	PI TesterPI	12/08/2020	12/01/2020 - 12/31/2020	\$1,800.00	New	ALLAN HUNTER SHOEMAKE PHOTOGRAPHY INC	Sent	⌚	✎
CM00003160-00	PI TesterPI	12/08/2020	12/08/2020 - 01/08/2021	\$2,500.00	New	ADVANCED LOCKSMITH, INC.	Sent	⌚	✎
CM00003072-01	PI TesterPI	10/14/2020	09/10/2020 - 06/30/2021	\$4,000.00	Amnd	GAFNEY, LEO J	10/23/2020 ✓ ❺	⌚	✎ ❸
CM00003147-00	PI TesterPI	10/09/2020	10/01/2020 - 11/18/2020	\$3,500.00	New	TEK CONTROL CONSULTING, LLC	10/23/2020 ✓ ❺	⌚	✎

Figure 27

Sent Details

In the **Contract Status ①** pop-up window, you have the **DocuSign Workflow Summary ②**, which shows the signature workflow details, including all signers in the workflow and the signing order, which signer(s) have completed their signing role (including date and time when they signed), who is next to sign, and the email address where the DocuSign email was sent ③.

The **History ④** section provides a more detailed audit trail for the DocuSign envelope, including the **Time, Action, Description, and Status ⑤**. The History provides all details from the creation of the envelope to full execution of the MOU. Once you have completed viewing the Contract Status, you may exit by clicking on the **Close button ⑥**.

Contract Status ①
CM00003166 - Sent

Summary ②

1. Signed by Elizabeth Gonzalez(Elizabeth_Gonzalez@rfcuny.org) | 12/8/2020 12:53 PM ③
2. Next to sign Daniel Rhodes(daniel_rhodes@rfcuny.org)
3. Awaiting signature from Elizabeth Gonzalez(Elizabeth_Gonzalez@rfcuny.org)

History ④

Time ⑤	Action	Description	Status
12/08/2020 12:48 PM	Registered	The envelope was created by Contract Manager	Created
12/08/2020 12:48 PM	Sent Invitations	Contract Manager sent an invitation to Elizabeth Gonzalez [Elizabeth_Gonzalez@rfcuny.org Procurement]	Sent
12/08/2020 12:53 PM	Opened	Elizabeth Gonzalez opened the envelope [documents:(MOU Original Template; APPENDIXASCOPEOFWORKANDELIVERABLES.docx; MOUAppendixB-revised-1.docx)]	Sent
12/08/2020 12:53 PM	Viewed	Elizabeth Gonzalez viewed the envelope [documents:(MOU Original Template; APPENDIXASCOPEOFWORKANDELIVERABLES.docx; MOUAppendixB-revised-1.docx)]	Sent
12/08/2020 12:53 PM	Approved	Elizabeth Gonzalez approved:Approve eb0ae63d-b5a1-4624-8a86-bc7007c08a71	Sent
12/08/2020 12:53 PM	Signed	Elizabeth Gonzalez signed the envelope	Sent
12/08/2020	Sent	Contract Manager sent an invitation to Daniel Rhodes [daniel_rhodes@rfcuny.org Contractor]	Sent

⑥ X Close

Figure 28

MOU Contract Amendment

To create an amendment, click **View/Amend Processed ①** under the MOU portal on the Contract Manager Home screen, which will take you to a list of all your **Processed MOUs ②**. To the right side of each MOU, you will see the **Amend** icon ③. To create an amendment to an MOU, click the **Amend** icon ③. This will bring you to the Amendment Details screen presented in Figure 31 on page 26.

Please Note: If the Amend icon is not active, it means that the MOU cannot be amended. If you hover over the icon, the system will display the reason(s) why the MOU cannot be amended. There are two primary reasons why an MOU cannot be amended, which are as follows:

1. The original agreement is not yet signed. You will need to wait until the original has been signed before you can submit an amendment request.
2. A Payment Request has been created in the RF's E-Payment System and is still pending. Since payment requests place a hold on the encumbrance, amendments requests cannot be created when there is an unprocessed payment request in the system. Users should either wait until a payment request has been processed or delete any pending payment requests in order to submit an amendment request.

Memorandum of Understanding (MOU)

Independent Contractor's Agreement under \$5,000.

Legally binding agreement based on the project director's acknowledgment that the Contractor qualifies as an independent contractor.

Services sought are allowable by the sponsoring agency.

Contractor is not an RFCUNY employee.

[learn more](#)

Request New

View Pending

① View / Amend Processed

Figure 29

② Processed MOUs (1) ▾ Home **MOUs** ICAs Subawards

Transaction Number: Enter Trans# College: Select College Project Number: Project# e.g. 51001-22 00 Contractor: Select Contractor Performance Start Date: mm/dd/yyyy Performance End Date: mm/dd/yyyy **Filter**

Results Found: 1

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Executed Date	Audit	Amend
CM00003072-00	PI TesterPI	09/30/2020	09/10/2020 - 09/30/2020	\$2,000.00	New	GAFNEY, LEO J	09/30/2020		

1

Figure 30

MOU Amendment Details

In this section we can start to Amend the agreement. Notice that the number **01 ①** has been added to the end of your reference number. That states the number of times the agreement has been amended. The current agreement **Status ②** appears at the top of the page.

The first screen in the amendment creation process is the **Agreement Details ③** section. Here the system will display the Project Number, Project Title, Availability of funds and **Budget Period ④** for the Project. There is a blue Information circle next to the project number. By hovering over the information icon, you can view the contact information. If you hover over the information icon next to Availability, the system will display the Project Funding Availability and a link to view the Project Budget & Expense Report. By clicking the **Previous Contracts ⑤** link, users can view a list and access all previous contracts as seen in figure 33 on page 27. The **Amendment ⑥** amount is where users can increase or decrease the amount being allocated. When you add or subtract an amount, the Subtotal and New Agreement Balance will reflect the change in amount. If travel expenses need to be added, click the **Add Travel Expense link ⑦**, and enter the travel amount in the box that appears. To allocate the additional funding to a different project account, click **Add Project ⑧**, enter the Project Number in the Project Number box as show in figure 32 below, select the Project Account, and click **Save & Continue ⑪**. If required, you can modify the **Performance Period ⑨** If necessary, you can select a different **Principal Investigator ⑩** for the amendment. Once you have made all necessary changes to these sections, click **Save & Continue ⑪** at the bottom of the screen. The system will then proceed to the Contractor details tab, which is discussed in detail on page 27.

Figure 31

Figure 32

All Previous Contracts

You will have the **Transaction Number, Type, Processed Date, Adjustment Agreement Amount, Encumbrance Amount** and **Adjusted Consultant Travel** ❶ information listed in the top row. If you click on the **Transaction Number** ❷, it will bring into the Memorandum of Understanding section where you can view the details but cannot make any changes.

Transaction #	Type	Processed Date	Adjusted Agreement Amount	Encumbrance Amount	Adjusted Consultant Travel
❶ CM00003072-00	New	10/23/2020	\$2,000.00	\$2,000.00	\$0.00
❷ CM00003072-01	Amendment	10/23/2020	\$2,000.00	\$4,000.00	\$0.00

Figure 33

Contractor Details

In the **Contractor** ❶ section you can click on **Save & Continue** ❷ if there are no changes to be made with the information previously filled. The same applies to Contractor Official section. **Contractor Details** ❸ tab is linked to the RF's established vendor profile information, changes to that information must be made by the RF's Procurement & Payables Department. Please contact the RF's Procurement & Payables Department at CM-Inquires-P&P@rfcuny.org to request corrections or updates. The information in the **Contractor Official** ❹ can be updated if needed. Make any necessary corrections here and click **Save & Continue** ❷. A green **Success** banner ❺ will appear. The system will proceed to the **Supporting Information** ❻ section, where you can upload any supporting documents, such as a revised Scope of Work if necessary, or add a note if you wish. If no new documents or notes are necessary, you can simply click on the **Submit** ❼ button. The **Submit Request** ❽ pop-up window will appear, prompting the user to certify the information listed in figure 36 on page 28. Click the **Proceed** ❾ button to submit the amendment request.

Figure 34

Figure 35

8 Submit Request

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation [conflict of Interest policy](#).
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

Close
Proceed 9

Figure 36

After clicking the **Proceed** button, you will receive the green **Success banner 1**, letting you know that your request has been successfully submitted. If you need to make any changes or corrections to the submission, you can use the **Recall button 2** to recall the transaction back into your queue. You will then be able to make any necessary changes and re-submit the request.

Agreement Details
Contractor
Supporting Information

Classification Type : Company
Audit Trail
Help

Success 1
Contract successfully submitted

Additional Details

Is this contract for lobbying services? *

Is this contract for fundraising services? *

Attachments

Appendix A - Scope of Work and Deliverables

Contractor's Dated Client List or Advertisements

Retroactive Justification

Form W-9

Past RFQ/CUNY MOU Details

Reporting Schedule

Sponsor Approval

Other

Notes

Use this section if you need to submit additional information with your request

+ Add Note

2
Recall
Print

Figure 37

Amending an MOU which Converts into an ICA

An MOU is an independent contractor agreement for an amount under \$5,000.00. If an amendment increase causes the MOU amount to surpass the \$4,999.99 maximum MOU threshold, or if the contractor has already had combined agreement amounts which exceed the threshold amount, the system will require the user to convert the agreement to an Independent Contract Agreement (ICA), which is a contractor's agreement for amounts of \$5,000 or above. In the forthcoming example, we will demonstrate the process of creating an MOU amendment, which requires the user to convert the MOU into an ICA.

From the **Processed MOU** section ❶, locate the MOU you wish to amend then click the Amend icon to the right ❷. This will open the Agreement Details section as seen in figure 39 on page 30.

❶ Processed MOUs (8) ▾

[Home](#)
[MOUs](#)
[ICAs](#)
[Subawards](#)

Transaction Number

Enter Trans# ▾

College

Select College ▾

Project Number

Project# e.g. 51001-22 00

Contractor

Select Contractor ▾

Performance Start Date

mm/dd/yyyy

Performance End Date

mm/dd/yyyy

Filter

Results Found: 8

Trans# ▾	PI ▾	Submitted ▾	Performance Period ▾	Remaining Amount ▾	Type ▾	Contractor ▾	Executed Date	Audit	Amend
CM00003166-00	PI TesterPI	12/08/2020	10/01/2020 - 12/31/2020	\$4,000.00	New	A SHOT IN THE DARK MEDIA GROUP LLC			
CM00003164-00	PI TesterPI	12/08/2020	10/01/2020 - 12/31/2020	\$3,300.00	New	BRIGHT VIEW TECHNOLOGIES CORPORATION			
CM00003163-00	PI TesterPI	12/08/2020	11/01/2020 - 12/31/2020	\$2,500.00	New	ARCHIVAL MICROFILMING SERVICES			
CM00003162-00	PI TesterPI	12/08/2020	12/01/2020 - 12/31/2020	\$1,800.00	New	ALLAN HUNTER SHOEMAKE PHOTOGRAPHY INC			
CM00003160-00	PI TesterPI	12/08/2020	12/08/2020 - 01/08/2021	\$2,500.00	New	ADVANCED LOCKSMITH, INC.			
CM00003072-01	PI TesterPI	10/14/2020	09/10/2020 - 06/30/2021	\$4,000.00	Amnd	GAFNEY, LEO J	10/23/2020 ✓		❷
CM00003147-00	PI TesterPI	10/09/2020	10/01/2020 - 11/18/2020	\$3,300.00	New	TEK CONTROL CONSULTING, LLC	10/23/2020 ✓		
CM0000693-00	Fern Chan	01/23/2018	07/01/2017 - 12/31/2017	\$0.00	New	LAW OFFICES OF ANDREW L FAIR	01/29/2018 ✓		

Figure 38

Once the Amendment window is open, you can add or subtract funding in the **Amendment ①** section. In the example below, we are increasing the agreement amount by an additional \$1,000, which is causing the agreement amount to exceed the \$4,999.99 MOU threshold amount. For this reason, the system will prompt the user to convert this Agreement from an MOU to an ICA. After you have entered the increase amount and made any other necessary changes to the Agreement Details page, click on the **Save & Continue** button ②. At that time, a pop-up window will appear, prompting the user to **Convert to ICA ③**. Click on the **Convert to ICA** button ④, and system will convert the MOU to an ICA, and the transaction will move from the MOU portal into the **ICA** portal ⑤, as seen in figure 41 on page 31.

Memorandum Of Understanding (CM00003072-02)

Status: Pending PI Approval

Home MOUs Pending Processed

\$ Agreement Details Contractor Supporting Information Classification Type: Individual Audit Trail Help

Amount Allocation [Previous Contracts](#)

Project: 40G25-00 12 **Forward Funding** ① MRI: ACQUISITION OF MOBILE ROBOTS
Availability: \$0.00 Budget Period: 03/01/2020 - 09/30/2021

Warning: The available balance is being exceeded.

Starting Agreement Balance: \$4,000.00 [+ Add Travel Expenses](#)

Amendment (+/-): \$ 1,000.00 ①

Subtotal: \$5,000.00

New Agreement Balance: \$5,000.00 [+ Add Project](#)

Performance

Performance Place Performance Start Performance End

United States 09/10/2020 06/30/2021

Principal Investigator [Change Principal Investigator](#)

Name: PI TesterPI (BC6) | Email: yiciana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

② [Save & Continue](#) [Submit](#)

Figure 39

Convert to ICA ③

This contractor has reached the MOU threshold of \$4,999.99 for calendar year 2020. If you wish to proceed, you must submit an ICA request for this contractor. If you have questions about the MOU threshold, please contact the RF Procurement department.

If you wish to proceed, your transaction will be converted to an ICA. After you submit the transaction, it will be reviewed by our Legal department. Click "Convert to ICA" to proceed or cancel to return to the previous screen.

④ [Cancel](#) [Convert To ICA](#)

Figure 40

Once the Agreement has been converted from an MOU to an ICA, make any other necessary changes to the Agreement Details, Contractor and the Supporting Documents sections.

In figure 41 below, the **Warning** banner ⑥ appears, to inform you that the available balance is being exceeded. The next step is fiscal approval by an RF Project Administrator. In cases where this warning banner appears, RF Project Administrator budget review will be the first step upon submission of the request.

Once you have made all necessary edits for your amendment click the **Submit** button ⑦. The **Submit Request** ⑧ pop-up window will appear, where you will click **Proceed** ⑨ to complete the submission process.

Figure 41

Figure 42

A green **Success** banner ❶ will appear once the transaction submission is complete. If you need to make any changes, you can **Recall** ❷ the request and re-submit it. The transaction will now reside in the ICA portal and is no longer accessible in the MOU portal.

Independent Contractor Agreement (CM00003072-02)

[Home](#)
[ICAs](#)
[Pending](#)
[Processed](#)

Status: Pending FF Approval

This contract was converted to ICA from MOU.

[\\$ Agreement Details](#)
[Contractor](#)
[Supporting Information](#)

Classification Type: Individual

Audit Trail

Help

❶

Success

Contract successfully submitted.

Amount Allocation

[Previous Contracts](#)

Project: 40025-00 12

Forward Funding

MR. ACQUISITION OF MOBILE ROBOTS

Availability: \$0.00

Budget Period: 03/01/2020 - 09/30/2021

Warning: The available balance is being exceeded.

Starting Agreement Balance: \$4,000.00

Amendment (+/-): \$1,000.00

Subtotal: \$5,000.00

New Agreement Balance: \$5,000.00

Performance

Performance Place

Performance Start

Performance End

United States

09/10/2020

06/30/2021

Principal Investigator

Name: PI Tester PI (BC6)

Email: ykiana_rodriguez@rfcuny.org

Phone: 212-417-8367

College: BROOKLYN COLLEGE

❷

Recall

Print

Figure 43

Allocating Funds from Two or More Project Accounts

Contract Manager provides users with the ability to split the total agreement amount among two or more RF project accounts. The option to split funding among two or more RF project accounts is available when creating a new agreement request or when creating an amendment to an existing agreement.

Allocating Funds when Creating a New Contract

When creating a new MOU request, on the **Agreement Details tab ❶**, enter the **Agreement Amount ❷**. The example in figure 44 on page 34 will display the total amount of the funding is \$4000.00, which we are going to evenly split between two project accounts. After entering the Agreement Amount and Place of Performance, scroll down to the **Agreement Amount Allocation section ❸**.

Here is where you will allocate funding to the applicable project accounts. You will begin by entering the first **Project Number** from which you will fund the agreement. Since we will be splitting the amount evenly between two project accounts, after selecting the first Project Number, and then enter \$2000.00 in the **Agreement Amount box ❹**. Note that down below the system will then display the **Amount Left to Distribute ❺**.

In our example, of the \$4,000.00 total agreement amount, we have only allocated \$2,000.00 to a Project Account, so the amount left to distribute is \$2,000.00. Be aware that the entire Agreement Amount must be allocated to one or more project accounts before the transaction can be saved or submitted. After allocating \$2,000.00 to the first project account, click Add **Another Project ❻**, and another **Project Number and Agreement Amount box ❼** will open.

Enter the next Project Number and enter the remaining \$2000.00 in the Agreement Amount. This will bring the **Amount Left to Distribute ❺** to \$0.00, as the entire agreement amount has now been allocated. There are links to **Remove or Change Project a Project Number ❸**, if necessary.

Once you have fully allocated the funding to the applicable project accounts, click **Save & Continue ❹**. If all funding has been allocated and there is no missing information, a green Success banner will appear, and you will move on to the next step in the request creation process.

Please Note: When splitting funding among two or project accounts, the budget terms of the RF Total Agreement Term, the Total Agreement Dates must be always covering the Budgets Period Dates of the accounts without any gaps. If there is a gap, an error message will appear with an explanation to make adjustments.

Memorandum Of Understanding (CM00003218-00)

Home

MOUs

Pending

Processed

Status - Pending PI Approval

1 Agreement Details

Contractor

Supporting Information

Classification Type : Company

Audit Trail

Help

Agreement Amount

Agreement Amount

\$ 4000.00

+ Add Travel Expenses

Performance

Performance Place

United States

Performance Start

03/02/2021

Performance End

04/22/2021

2 Agreement Amount Allocation

Project Number: 4DE96-01 11

Change Project

Project Name: EVOLUTION OF MANDIBULAR

Availability: \$879,185.00

Budget Period: 02/01/2020 - 06/30/2021

Principal Investigator

Name: PI TestorPI | BCa

Change Principal Investigator

Email: yiciana_rodriguez@rfcuny.org

Phone: 212-417-8367

College: BROOKLYN COLLEGE

Agreement Amount

\$ 2000.00

+ Add Another Project

Project Number

e.g. 55001-00 01

Remove Project

Change Project

Agreement Amount

\$ | e: 4000

Amount Left To Distribute

\$2,000.00

Save & Continue

Delete

Submit

Print

Figure 44

Allocating Funds While in Pending/Amendment Stages

The first step is to go into the **View Pending** section ❶. Second, click on the **Transaction Number** ❷, which will open the Memorandum of Understanding section where you can allocate the funds.

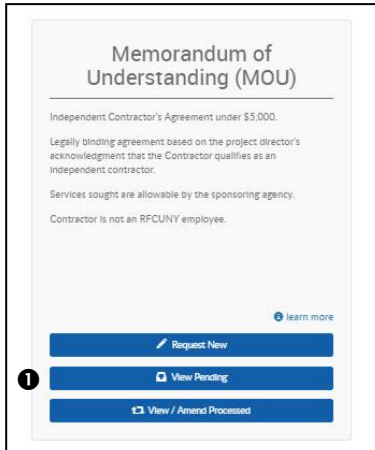


Figure 45

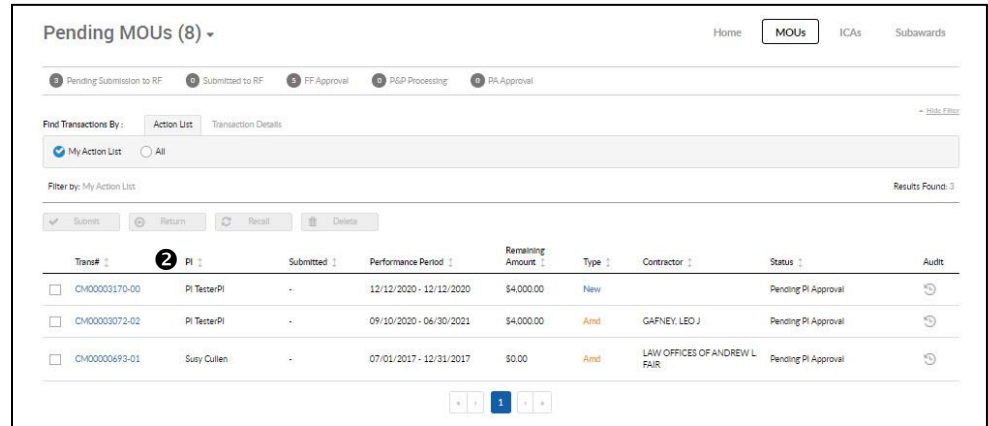


Figure 46

Users can know which amendment number they are viewing by the Transaction Number. In figure 47 below, the **number 02** ❸ at the end of the Transaction Number indicates that this is Amendment number 2 to this MOU.

In the example we will create an amendment to an MOU that was fully encumbered on one project number, to allocate an equal portion of the **Starting Agreement Balance** of \$4000.00 ❹ to a different project. The first step is to subtract \$2,000 from the original project number, by entering - \$2000.00 in the **Amendment** box ❺. This will reduce the remaining amount encumbered on that project to just \$2,000. The system will now display the remaining **Subtotal** balance of \$2,000.00 ❻, which is the amount that needs to be allocated to a different project. Next, click **Add Project** ❼ and the **Enter Project Number** box ❽ will appear. Enter the Project Number in the box and select the project you wish to allocate the remaining balance to.

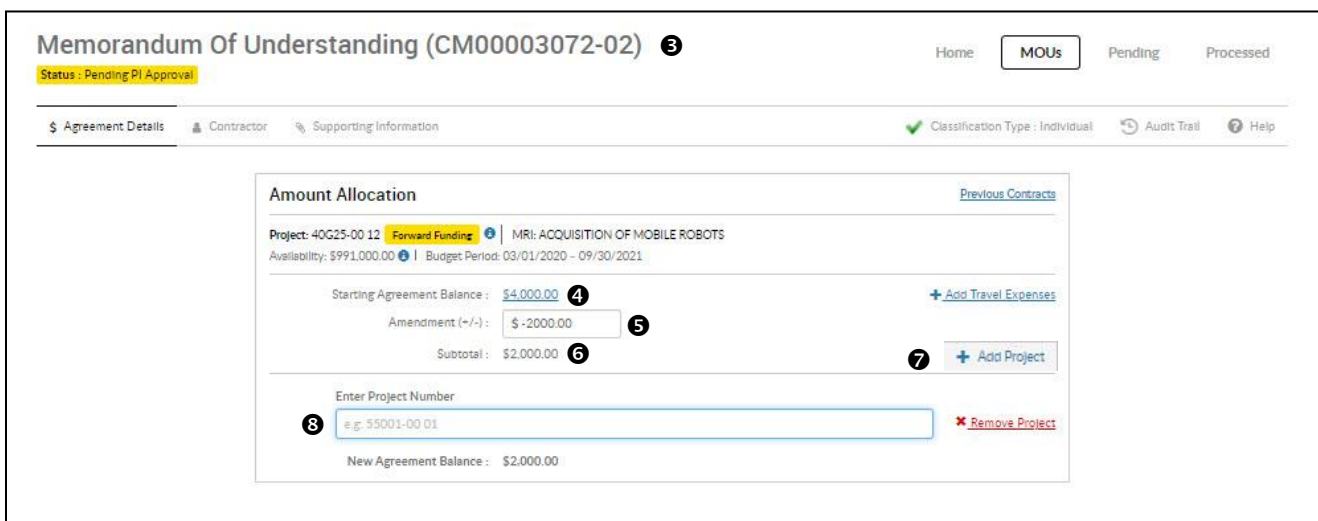


Figure 47

Once you select the Project Number, the Project information will display ❶. Enter \$2,000.00 in the Amendment box ❷. You now see **New Agreement Balance ❹** matches the **Starting Agreement Balance** of \$4000.00 ❸. Click **Save & Continue** ❺. If no other changed are required, **Submit** ❷.

Amount Allocation

[View Details](#) | [Previous Contracts](#)

Project: 40G25-00 12 **Forward Funding** ❶ | MRI: ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00 ❷ | Budget Period: 03/01/2020 - 09/30/2021

❸ Starting Agreement Balance : \$4,000.00 [+ Add Travel Expenses](#)

Amendment (+/-): \$ -2000.00

Subtotal : \$2,000.00

❶ Project: 40E96-02 11 ❷ | EVOLUTION OF MANDIBULAR [* Remove Project](#)

Availability: \$7,499,500.00 ❸ | Budget Period: 02/01/2020 - 06/30/2021

Starting Agreement Balance : \$0.00 [+ Add Travel Expenses](#)

Amendment (+/-): \$ 2000.00 ❷

Subtotal : \$2,000.00 ❸

❹ New Agreement Balance : \$4,000.00 [View Details](#)

[+ Add Project](#)

Performance

Performance Place

Performance Start

Performance End

United States ✕

09/10/2020

06/30/2021

Principal Investigator

[Change Principal Investigator](#)

Name: PI TesterPI (BC6) | Email: yiciana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

❺ Save & Continue

Delete

❷ Submit

Print

Figure 48

Creating an ICA Contract Request

The process of creating an ICA contract request is essentially the same as creating an MOU, with only minor differences in the required documentation that is required.

ICA Steps

The first step is to go to the Contract Manger home page. Locate ICA Portal ❶ and click on **Request New** ❷. This will open a screen called **Classification** ❸.

The **Classification screen** ❸ is where you will indicate if the requested Contractor is **An Individual** ❹ or a **Company** ❺. If you choose **Individual** ❹. A drop-down list of twenty questions will appear to answer before you can click on **Initiate Request** button ❸ and move to the next step. If you miss a question, red text ❷ under the question will appear prompting you to answer the question. At the end of the process by clicking on Initiate Request, the system will indicate if the contractor meets the IRS Independent Contractor qualifications. Once the questions are completed, click on **Initiate Request** button ❸ for the next step. If you choose **Company**, there are no questions to answer. Click on **Initiate Request** ❸ to move to the next section, Agreement Details.

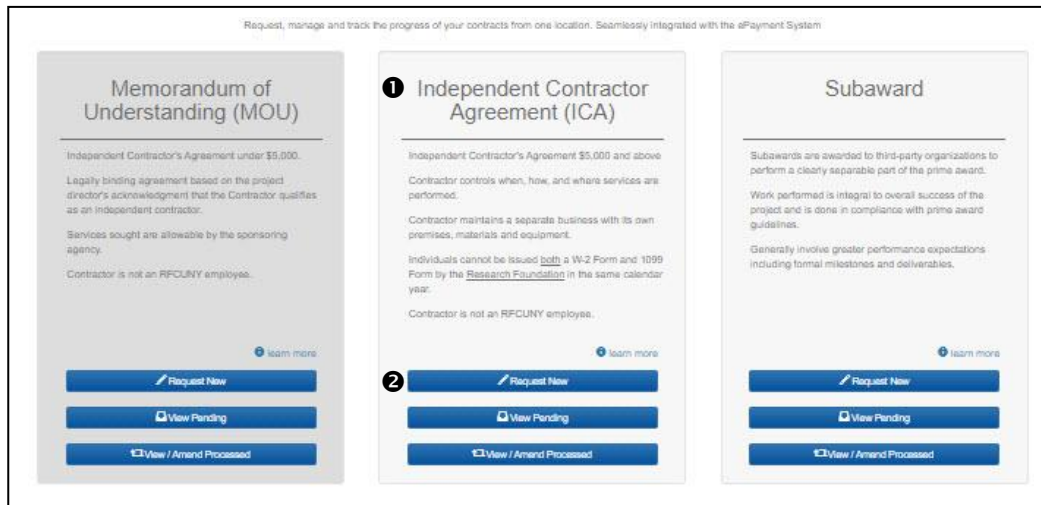


Figure 49

Classification ❸

Home ICA Pending Processed

Please answer the questions below. Be aware that the Federal Department of Labor has advised that "most workers are employees". The misclassification of an employee as an independent contractor can have serious legal and economic consequences. The IRS developed this 20-Factor test to determine if a business controls and directs a worker, or has a right to do so. The factors (questions), applied to each individual circumstance under which services are to be performed, help to determine the individual's classification. Legal Affairs staff will use your answers to determine the individual's correct status. If the services will be provided by an individual and you answer "yes" to most of the 20 questions, the individual is most likely an employee and not an independent contractor. If you answer "no" to most of the questions, the individual may be an independent contractor.

This ICA request is for services that will be provided by

❹ An Individual

❺ A Company

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

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

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

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

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

7 This question has not been answered

Yes No

Yes No

Yes No

Yes No

Yes No

Back

Initiate Request ❸

Figure 50

Agreement Details

In the **Agreement Details** section ❶, you will first enter the **Agreement Amount** ❷. If the amount entered is less than the threshold amount for an ICA, the system will mark the amount area red and state that the value must be greater than or equal to \$5000 as seen in figure 52 on page 39. You have a choice to add travel expense. By clicking on the **+ Add Travel Expense** link ❸, it will open the **Consultant Travel** box ❹ will appear to enter the amount. If you choose not to add the expense once the box is open, you can collapse it by clicking on the red **x Remove Travel Expense** under number ❸. Once completed, the **Performance** ❺ section will appear prompting you to enter the Performance Place, Performance Start and End date. You will be able to choose the dates with drop-down calendar. Once you have completed the section, the

Agreement Amount Allocation ❻ section will appear. You then enter the **Project Number** ❼ and the information located in the brackets ❽ will automatically pop-up. For the three blue information circle details, see Agreement Amount Allocation Details Section on page 39. If you wish to change the Project, click on **Change Project** ❾. This will take to back where you locate the new Project by entering a Project Number.

Once you have entered the **Agreement Amount** in ❷, the **Principal Investigator** ❾ information will automatically pop-up. It provides the Name, Email, College and Phone Number of the PI. You also have the option to **Change Principal Investigator** ❿. When you click on the link, the current PI information will disappear and a blank box ⓫ will appear to locate the PI. Click on the arrow ⓬ and a drop-down list of PI's will appear for you choose from. Once you choose a PI, there information will appear as seen in ❶. If you wish to Cancel ⓭, click on the link. If no changes are required, you are now ready to click on green **Save & Continue** button ⓮ and continue to the Contractor section.

The screenshot displays the 'Independent Contractor Agreement' form. The top navigation bar includes 'Home', 'ICAs', 'Pending', and 'Processed'. The main form is divided into several sections:

- 1 Agreement Details:** Includes 'Agreement Amount' (2) with a value of \$5000.00, 'Consultant Travel' (4) with a value of \$0.00, and links for '+ Add Travel Expenses' (3) and 'x Remove Travel Expenses'.
- 5 Performance:** Includes 'Performance Place' (United States), 'Performance Start' (07/16/2021), and 'Performance End' (07/23/2021).
- 6 Agreement Amount Allocation:** Includes 'Project Number' (7) with a value of 55001-00 01, 'Project Name' (MRI: ACQUISITION OF MOBILE ROBOTS), 'Availability' (\$991,000.00), and 'Budget Period' (03/01/2020 - 09/30/2021).
- 11 Principal Investigator:** Includes 'Name' (PI TesterPI | BC6), 'Email' (yiciana_rodriguez@rfcuny.org), 'Phone' (212-417-8367), and 'College' (BROOKLYN COLLEGE). A link for 'Change Principal Investigator' (12) is also present.

A callout box 13 shows a dropdown list of Principal Investigators with the following options:

- Angela TesterGO (GBC)
- GO TesterGO (TS1)
- Judith Mandel (MYG)
- Nick TesterGO (GBZ)
- PI TesterPI (BC6)
- Sabrina Cerezo (CSG)
- Sean TesterGO (GDC)
- Yong TesterGO (GBG)

The bottom of the form features a green 'Save & Continue' button (16).

Figure 51

Figure 52

Agreement Amount Allocation Details

The **Agreement Amount Allocation** ❶ section provides the following three information ions:

1. **Project Number** ❷: hover over this icon to view the RF Project Administrator's contact information.
2. **Availability** ❸: hover over icon to display the Project **Fund Availability** details, including a link ❹ to the **Project Budget & Expense Report** ❺
3. **Agreement Amount** ❹: this Section is where you will enter the amount you are requesting to allocate to this Project.

You have the ability to change the Project number by clicking the **Change Project** link ❷. The current information will close, and the Agreement Amount request box will appear, where you can select a different Project number. To allocate a portion of the funding to another project, click **+ Add Another Project** ❸.

Project Budget & Expense Report ❺

Object Code	Description	Budget	Encumbrance	PTD Activity	Available Bal
7000	Consultants	\$0.00	\$14,000.00	\$0.00	-\$14,000.00
8102	Guarantee By RFCUNY - Brooklyn	\$1,005,000.00	\$0.00	\$0.00	\$1,005,000.00
	Total Personnel Cost:	\$0.00	\$0.00	\$0.00	\$0.00
	Total P&P Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Direct Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Indirect Cost:	\$0.00	\$0.00	\$0.00	\$0.00
	Total Net Cost:	\$1,005,000.00	\$14,000.00	\$0.00	\$991,000.00

Figure 53

Contractor Section

In this Section, you will enter the Contractor's information in figure 55 on page 41. The first step is to search the RF's vendor list, to see if the RF has an existing vendor profile for the proposed Contractor. If the contractor has an established business relationship with the RF, you can locate the Contractor's profile by entering the Contractor's name in the **Search Box ①**. By typing in a few letters, a list of existing contractors will appear, including the RF's **Vendor ID ②** number. If your desired contractor appears as an existing vendor, click on the blue **Select ③** button to select that contractor. Once you select the contractor, the system will display the **Contractor Details** on page 41. If you need to add a Contractor, click on **+ Enter New Contractor ④** and it will bring you to the same Contractors Details Information section where you can enter the new Contractors information. When searching for a contractor, please note that your search results may be spread among multiple screen pages **⑤**.

Once you have completed the Contractor Section, the following buttons will now appear at the bottom of the screen, **Save & Continue ⑥** button, which you will click after completing all required Contractor information in order to save the information and move on to the next step. **Delete ⑦** which will delete the entire contract request, if you no longer wish to submit this request. **Submit ⑧** which you will use to submit the request to the RF for processing. Please note that you will not be able to submit the request until all required steps in the request creation process are completed. If you try and submit the request before all required steps have been completed, you will receive the **Error Message ⑩** below when you click the **Proceed** button in the **Submit Request ⑨** window.

The **Print ⑪** button will generate a PDF summary of the transaction.

Independent Contractor Agreement (CM00003209-00)

Status: Pending PI Approval

Home | ICAs | Pending | Processed

Agreement Details | Contractor | Supporting Information

Classification Type: Company | Audit Trail | Help

Contractor Search

Enter your contractor's name in text box below. If we cannot locate your contractor, please enter his/her information by clicking the "Enter New Contractor" link.

① John

+ Enter New Contractor ④

Contractor Name	Vendor ID ②	Select ③
Adamski, John K.	52144-0	Select
Andrew John Bonham	30074-0	Select
ANTHONY JOHNSON dba A.G. JOHNSON CONSULTING	97432-0	Select
BARRETT, JOHN RYAN	14104-0	Select
CALHOUN, JOHN B.	21763-0	Select
CHILDREN'S CENTER OF JOHN JAY	22733-0	Select
DAMAN JOHNSON	103209-0	Select
DEJOHNS ON LARK INC	97060-0	Select
DELTA ST JOHN'S HOTEL	74306-0	Select
DIEDRA C JOHNSON	96020-0	Select

⑤

⑥ Save & Continue ⑦ Delete ⑧ Submit ⑪ Print

Figure 54

Error ⑩

Please enter your contractor's name in text box below or enter his/her information by clicking the "Enter New Contractor" link.

Submit Request ⑨

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation conflict of interest policy.
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

Close Proceed

Contractor Details

After you have selected the Contractor, the Contractor Details will appear in figure 55. There are two tabs in this section, the **Contractor Details ①** and **Contractor Official ②**. The tab highlighted in blue ① informs you which tab you are viewing.

Any required information will be marked with a red asterisk. If you need to select a different contractor, click the **Change Contractor ③** link, which return you to the Contractor Search ① screen shown in figure 54 on page 40.

If you fail to complete a required field or fail to answer a required question, the system will highlight those fields in red ④ and those questions will be indicated by red text ⑤ when you click the **Save & Continue ⑥** button. Once you have completed all required areas, click **Save & Continue ⑥** to proceed to the Contractor Official tab ②.

Please Note: The steps in the Contractor Details section will be the same whether you select an existing contractor or if you enter a new contractor.

Independent Contractor Agreement (CM00003209-00)

Status: Pending PI Approval

Home ICA's Pending Processed

Agreement Details **Contractor** Supporting Information

Classification Type: Company Audit Trail Help

Contractor Details Contractor Official

Contractor Details
Fields marked with an * are mandatory.

[Change Contractor](#)

Contractor's Name: Andrew John Bentham

Entity Type: Individual/Sole Proprietor/Honorarium/IC(Srv) *

Tax ID Type: ITIN *

ITIN: XXX-XXX-XXXX ④
This field is required

Non-Resident Alien: No Yes

Current/Past RFCUNY/CUNY Employee: No Yes, Past Yes, Current

Past RFCUNY ICA Recipient: No Yes ⑤
This is required
This is required

Address: e.g. 52 Catherine Street
This field is required
e.g. Suite 102

City: NEW YORK

State: NEW YORK *

Zip: 10011

Country: United States *

Website: e.g. www.mywebsite.com

Save & Continue **Delete** **Submit** **Print**

Figure 55

Contractor Official

Once you have completed all required information in the Contractor Details section a green **Success** banner ❶ will appear and the system will proceed to the **Contractor Official** ❷ tab. Here you will provide the following information:

1. **Authorized Official Name** ❸ which is the name of the person authorized to sign the Agreement on behalf of the Contractor. The Authorized Official should be a person who has the legal authority to sign the agreement on the Contractor's behalf. Red asterisks indicate all required information, and there are blue information icons ❹ to explain what information is required for that field.
2. The Authorized Official's **Email** ❺ should be the Authorized Individual's direct email address, not a general email inbox (such as "questions@" or "info@," as these inboxes are often accessible by multiple people. The RF utilizes DocuSign, a third-party electronic document signing platform, to electronically sign agreements. DocuSign validates the identity of the signer by only allowing signature access through the direct email address for the signer.
3. the Authorized Official's **Phone** number ❻ and extension if applicable.

Once you have completed all required areas, click **Save & Continue** ❼ to move onto the next section, Supporting Information.

Please Note: If you are missing any information, that section will be highlighted in red as shown in ❺, and you will not be able to proceed until you provide that information.

Independent Contractor Agreement (CM00003209-00)

Status: Pending PI Approval

Home ICA's Pending Processed

Agreement Details Contractor Supporting Information

Classification Type: Company Audit Trail Help

❶ Success
Contractor Details saved successfully

Contractor Details Contractor Official

Contractor's Authorized Official
Fields marked with an * are mandatory

Authorized Official Name
The Authorized Official is the person who is authorized to sign the agreement on behalf of the Contractor.

Authorized Official Name: * e.g. Smith Mike ❸

Email: * e.g. smith.mike@gmail.com ❺
This field is required
The MOU will be sent to this email address for signature

Phone: * e.g. 7128411664 - 3000 ❻

❷ Save & Continue Delete Submit Print

Figure 56

Supporting Information/Uploading Documents

Supporting Information

Once you have provided all required information in the Contractor section and click Save & Continue, you will see the green **Success** banner ❶, and the system will proceed to this final section. Here, you will provide supporting information and documents. First, answer the questions in the **Additional Details** ❷ section. As you answer each question, they are saved, and green Success banner will appear.

Next, upload all required documents in the **Attachments** section ❸. Required documents are marked with a red asterisk, and you also can upload additional optional documents you wish.

In the example below, the following documents are required, and are thus marked with a red asterisk:

1. Appendix A - Scope of Work and Deliverables
2. Contractor's Dated Client List or Advertisements
3. Sole Source Justification or Bidding Documentation

To upload a document(s) click on the **Upload** button ❹. That will bring you to figure 58 on page 44.

The screenshot displays the 'Independent Contractor Agreement (CM00003213-00)' interface. At the top, there are tabs for 'Home', 'ICAs', 'Pending', and 'Processed'. Below this, a navigation bar shows 'Agreement Details', 'Contractor', and 'Supporting Information'. A green success banner at the top left indicates 'Contractor Details saved successfully'. The 'Additional Details' section contains two questions: 'Is this contract for lobbying services?' and 'Is this contract for fundraising services?', each with 'Yes' and 'No' radio buttons. The 'Attachments' section lists several documents, some marked with a red asterisk to indicate they are mandatory. Each document has an 'Upload' button. The documents listed are: Appendix A - Scope of Work and Deliverables *, Contractor's Dated Client List or Advertisements *, Sole Source Justification or Bidding Documentation *, Form W-9, Post RFCUNY ICA Details, Reporting Schedule, Sponsor Approval, and Other. At the bottom of the attachments list is an 'Add New' button. Below the attachments section is a 'Notes' section with an 'Add Note' button. At the very bottom, there are 'Delete', 'Submit', and 'Print' buttons.

Figure 57

Uploading Documents

To upload an attachment, click the **Browse button ①** to search your computer **②** for the applicable attachment. Once you locate and select the document **③**, click the **Open button ④** to attach the document. You will then have the option to **Remove ⑤** the selected file, **Upload ⑥** the file, or **Browse ⑦** to select a different file. Once you have located and attached the file, click **Upload**. When a document is uploaded successfully, you will receive a green **Success banner**, as shown in figure 60A below.

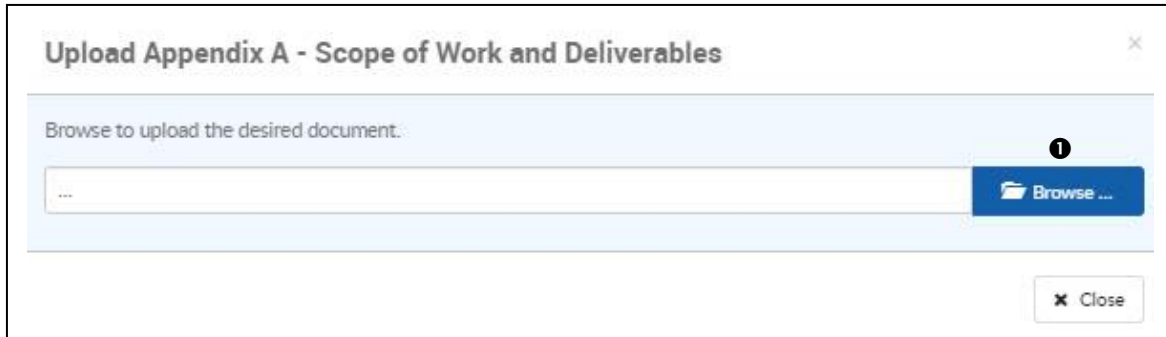


Figure 58

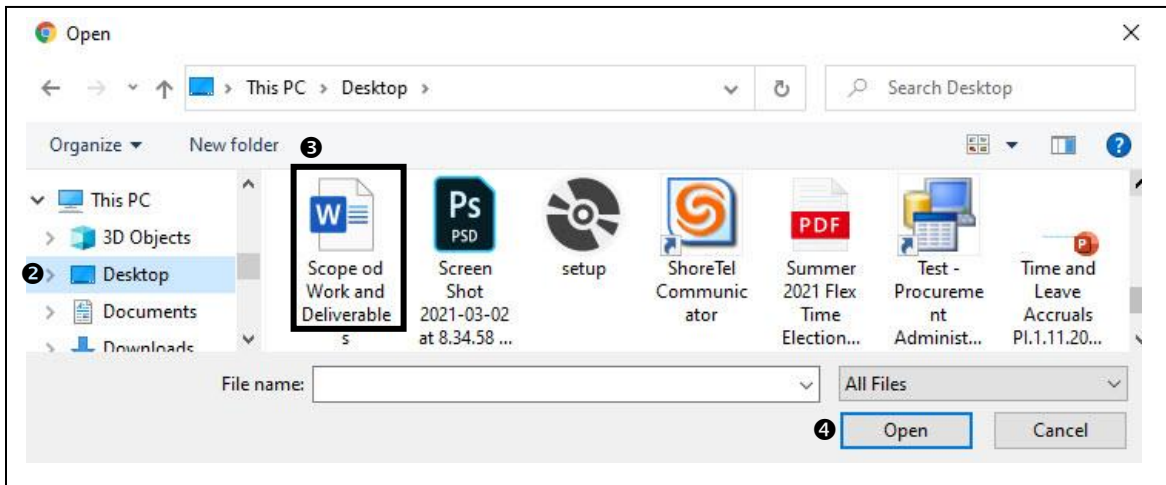


Figure 59

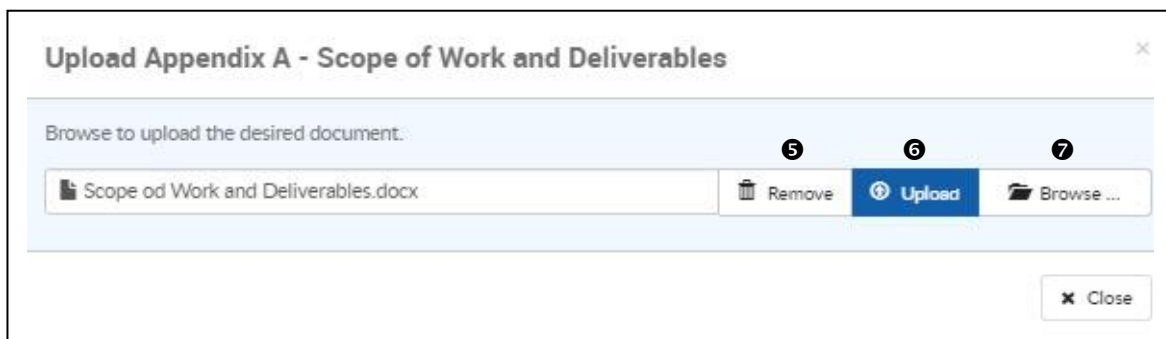


Figure 60



Figure 60A

After you have uploaded a document, the document name will appear ❶ and the Upload button will be replaced by a red **Delete** button ❷. If you wish to replace that attachment, click the **Delete** button ❷. Once you delete the attachment, the Upload button will return, and you can search and upload a different document.

If you wish to add a note, click on the **+Add Notes button** ❸. See Notes section on page 48 for more details on adding notes.

After you have uploaded all documentation and added any note(s) as necessary, you can submit your request, by clicking on the **Submit** button ❹. A pop-up **Submit Request** window ❺ will appear, with some certification statements. Once you have reviewed the certification statements, and wish to submit the request, click Proceed ❻ as seen in figure 62 on page 46.

Please Note: If you try submitting the request without attaching all required documents, an **Error message** ❼ will appear, as seen in figure 63 on page 46.

Additional Details

Is this contract for lobbying services? *

Is this contract for fundraising services? *

Yes No

Yes No

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work and Deliverables *	ScopeofWorkandDeliverables.docx	❷ Delete
Contractor's Dated Client List or Advertisements *	Contractor'sDatedClientListorAdvertisements.docx	Delete
Sole Source Justification or Bidding Documentation *	SoleSourceJustification.docx	Delete
Form W-9		Upload
Past RFCUNY ICA Details		Upload
Reporting Schedule		Upload
Sponsor Approval		Upload
Other		Add New

Notes

Use this section if you need to submit additional information with your request.

+ Add Note ❸

❹ Submit

Figure 61

Submit Request 5

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation [conflict of interest policy](#).
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

6

✕ Close

✓ Proceed

Figure 62

Error 7

Attachment for Appendix A - Scope of Work and Deliverables is required.

✕

Figure 63

Once you have completed all required steps and submit the request, the green **Success ❶** banner will appear. The current **Status ❷** of the request will appear at the top of the screen, indicating the where in the workflow the transaction resides. All pending statuses are explained in detail in the **Pending Detail Information** below. Please note that not all transactions will follow the same workflow. The information below describes all the pending statuses in detail. You will also see the name of the required documents **❸** that are attached to the contract submission. If you have written any **Notes ❹**, you will see them at the bottom.

After a request had been submitted, you have the option to **Recall ❺** the transaction if you need to correct or cancel the submission. When you recall the request, it will return to the user's **My Action List** under **Pending ICAs**. Please note that the recall function is only available while the request resides in the next step of the workflow, and once the RF has advanced the request into the next step in the process, it cannot be recalled. You would need to locate the contact person based upon the current status in the system and contact that person if any changes or corrections are required.

Independent Contractor Agreement (CM00003215-00)

Home | **ICAs** | Pending | Processed

Status : Pending: FF Approval ❷

Agreement Details | Contractor | Supporting Information

Classification Type : Company | Audit Trail | Help

❶ **Success**
Contract successfully submitted.

Additional Details

Is this contract for lobbying services? *

Is this contract for fundraising services? *

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work and Deliverables *	❸ ScopeofWorkandDeliverables.docx
Contractor's Dated Client List or Advertisements *	Contractor'sDatedClientListorAdvertisements.docx
Sole Source Justification or Bidding Documentation *	SoleSourceJustification.docx
Form W-9	
Post RF/CUNY ICA Details	
Reporting Schedule	
Sponsor Approval	
Other	

Notes ❹

Use this section if you need to submit additional information with your request.

+ Add Note

❺

Figure 64

Please Note: Once you have successfully submitted your request, no further action is required. You can monitor the progress of your request by viewing the status under the **View Pending** section under the ICA portal on the **Contract Manager Home Screen**.

Notes

In addition to uploading documents, the **Supporting Information** page also allows you to add a note, if necessary. On the bottom left-hand side of is the **Supporting Information** page, you will see the **Notes** section. To add a note, simply click on the **Add Note** ❶ button, which opens the note window ❷, and enter your note, and click **Add General Note** ❸ to post your note. Once posted, the note details will be displayed ❹, and you have the option to add an additional note ❺. button. If you wish to edit or delete your original note, click on the highlighted note ❻ to open the note, make any necessary edits, and click **Update Note** ❼. To delete the note, click the red **Delete** ❽ button.

After you finalize your note(s), your request is ready to be submitted. To do so, click on the green **Submit** button ❾.

The figure consists of four sequential screenshots of a web application's 'Notes' section, illustrating the workflow for adding and managing notes.

- Screenshot 1:** Shows the 'Notes' header with a sub-header 'Use this section if you need to submit additional information with your request'. Below this is a header bar containing the date '09/18/2020 11:06:03 AM', 'Note Type: General', 'Role: Principal Investigator', and the user 'PI TesterPI (BC6)'. A blue '+ Add Note' button is visible at the bottom left.
- Screenshot 2:** Shows the 'Add Note' modal window. It has a text area labeled 'Write a note' and a blue '+ Add General Note' button at the bottom right, along with a 'Cancel' button.
- Screenshot 3:** Shows the 'Notes' section after a note has been added. The header bar is identical to the first screenshot. The note details are displayed below the header, and a blue '+ Add Note' button is at the bottom left.
- Screenshot 4:** Shows the 'Notes' section with a note selected. The note details are highlighted. At the bottom right of the note details, there are two buttons: a blue 'Update Note' button and a red 'Delete' button. At the bottom center of the entire section, there is a green 'Submit' button, flanked by a red 'Delete' button and a grey 'Print' button.

Figure 65

Pending Details Definition

Pending PI Approval

A Preparer has created the transaction, and it is now in the PI's action list for PI approval.

Pending GO Approval

PI has created or approved a transaction at a GO-driven school, and the transaction is now in the Grants Officer's action list awaiting approval. If a GO creates a transaction but has not yet submitted it to the RF, the status will also show as Pending GO Approval.

Pending FF Approval

The ICA was requested on an RF forward funded account and is with the RF's Finance department pending approval to use forward funding for this transaction.

Pending Budget Review

The ICA amount requested exceeds the available balance of the account selected. Transaction is with the account's Project Administrator, who must first resolve any budget issues before the transaction can be processed.

Pending Legal Review

The ICA request is in the RF's legal department, undergoing legal review. Users can view which member of the legal department staff is assigned to the transaction by viewing the audit trail.

Pending P&P Approval

The ICA requests are with the RF's P&P Department, pending vendor creation.

Pending PA Approval

The transaction is with the RF Project Administrator, awaiting fiscal approval/encumbrance of the funding. This is the last step in the approval process for all CM transactions. After PA approval, the request moves from the pending to the processed section.

Pending ICA

In this section you can view the status of all your pending ICA requests.

Section Details

Next to the **Pending ICAs ❶** banner at the top, the user's total number of ICAs pending in the system will appear in parenthesis.

Users can quickly switch between the different CM portals by hovering over the **Pending ICAs ❶** banner. The blue drop-down menu will appear, where users can access the Request New MOU, View Pending MOUS, and the View/Amend Processed portals.

The system displays the different pending statues ❷. The number of pending requests is displayed in the grey circle next to each status. To view all requests in a particular status, simply click on that status. The total numbers in each section will equal the number indicated in the parenthesis next to the section title.

Find Transaction By ❸ is where you locate your pending ICA.

My Action List ❹, which displays the ICAs that are in your queue awaiting your action. This list will consist of the following:

1. transactions created and submitted by a Preparer to the user for approval.
2. transactions the user has initiated that have not yet submitted to the RF for processing.
3. transactions that were submitted by user but were returned to the user for some action by the next person in the workflow. Returned transactions will include a note under the Supporting Information tab, explaining the reason for the return.

You can also view all pending transactions by clicking the **All ❺** option.

Users can search for pending transactions that do not reside their My Action List by clicking the **Transaction Details ❻** next to Find Transaction By.

The following action buttons appear above the list of pending transactions: **Submit**, **Return**, **Recall** and **Delete ❼**. By clicking the check box ❸ next to a transaction, the available actions will become active. It is important to note that in some cases, users may have no available actions on a transaction, so these action buttons may remain inactive. See Action Buttons on page 52 for more details.

For each transaction, the system will display the following information:

- **Transaction Number**
- **PI Name**
- **Submitted**: which indicates the date the transaction was submitted
- **Performance Period**
- **Remaining Amount**
- **Type**: which indicates if it is a **New ICA** or an **Amendment to an existing ICA**
- **Contractor Name**
- **Status**: If you have a question regarding the current status, you can see the appropriate person to contact by hovering over the **contact icon ❾** next to the status. A pop-up box will appear with the contact information for who at the RF can advise you on the current status.

The **Audit Trail icon ❿** will give you the full Audit details, including all actions taken upon the request and who performed those action. See figure 69 on page 53 for Audit Trail details.

[Request New ICA](#)
[View Pending ICAs](#)
[View / Amend Processed](#)

Pending ICAs (25) Home MOUs ICAs Subawards

2 Pending Submission to RF
3 Submitted to RF
4 FF Approval
7 Legal Review
8 PSP Processing
9 PA Approval

+ Hide Filter

3 Find Transactions By:

Action List
Transaction Details 6

4 ☐ My Action List
☐ All 5

Filter by: Transaction Details
Results Found: 7

7 Submit
Return
Recall
Delete

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
8 <input type="checkbox"/> CM00003165-00	PI TesterPI	12/08/2020	12/01/2020 - 01/31/2021	\$6,000.00	New	KERMIT THE FROG CONSULTING, LLC	Pending Legal Review 9	10
<input type="checkbox"/> CM00003147-01	PI TesterPI	01/29/2021	10/01/2020 - 06/30/2021	\$7,000.00	Amid	TEK CONTROL CONSULTING, LLC	Pend	
<input type="checkbox"/> CM00003118-00	PI TesterPI	09/30/2020	09/01/2020 - 10/31/2020	\$10,000.00	New	BIG BIRD BUSINESS CONSULTING, LLC	Pend	
<input type="checkbox"/> CM00003115-00	PI TesterPI	09/30/2020	09/01/2020 - 11/30/2020	\$10,000.00	New	ADELPHI UNIVERSITY	Pending Legal Review	
<input type="checkbox"/> CM00003092-00	PI TesterPI	09/15/2020	09/01/2020 - 11/30/2020	\$12,000.00	New	ABC LANGUAGES	Pending Legal Review	

Contact Information

If you have any questions about the status of this transaction, please contact:

CMForwardFunding@rfcuny.org

Figure 66

Transaction Details

The **Transaction Details** section ❶ allows users to search for specific transactions by the **Transaction Number**, **Contract Type**, **Project Number**, **Contractor** or **Contract Status**. Users can enter the applicable search criteria into the search field ❷, and click **Filter** ❸. You can collapse the **Find Transaction By** section by clicking on **Hide Filter** ❹.

Figure 67

Action Buttons

On the **View Pending** menu under your **My Action List**, you will see a list of all your transaction pending your action. Next to each transaction, you will see a check box ❶. By clicking the check box next to a transaction, you will see the available actions that you can take upon that transaction. In the example below, the user has the option to **Submit** ❷ or **Delete** ❸ the request. The available actions will be the only ones that become active when you check the box. Please note that in some cases, there may be no available actions for you to take upon a request, so no action buttons will be activated when you click the check box.

If you wish to make changes within the request, click on the **Transaction Number** ❹, and you will be taken to the **Independent Contractor agreement** section where you can make any necessary changes before submitting the request on page 38.

<div> Submit Return Recall Delete </div>									
❷	Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
❶	CM00003170-00	PI Tester/PI	-	12/12/2020 - 12/12/2020	\$4,000.00	New		Pending PI Approval	🔍
	CM00003110-00	PI Tester/PI	09/22/2020	09/23/2020 - 09/30/2020	\$2,000.00	New	ASHKARN RAJOOHI	Pending FF Approval	🔍
	CM00003109-00	PI Tester/PI	09/22/2020	09/23/2020 - 09/29/2020	\$2,000.00	New	ALMACY, JOHN DAVID	Pending FF Approval	🔍

Figure 68

Audit Trail

Contract Manager maintains a detailed audit trail, which shows all actions taken upon the transaction, first you will see the details of who created the request ❶, followed by the **Amount, Date and Time** the transaction was created. Expanded details of each step can be viewed by clicking the arrow ❷ next to the entry. You can collapse the expanded details by clicking on the arrow. after you are done. At the bottom of the list, you can view the last step taken on the transaction ❸. To exit the audit trail, click **Close** ❹.

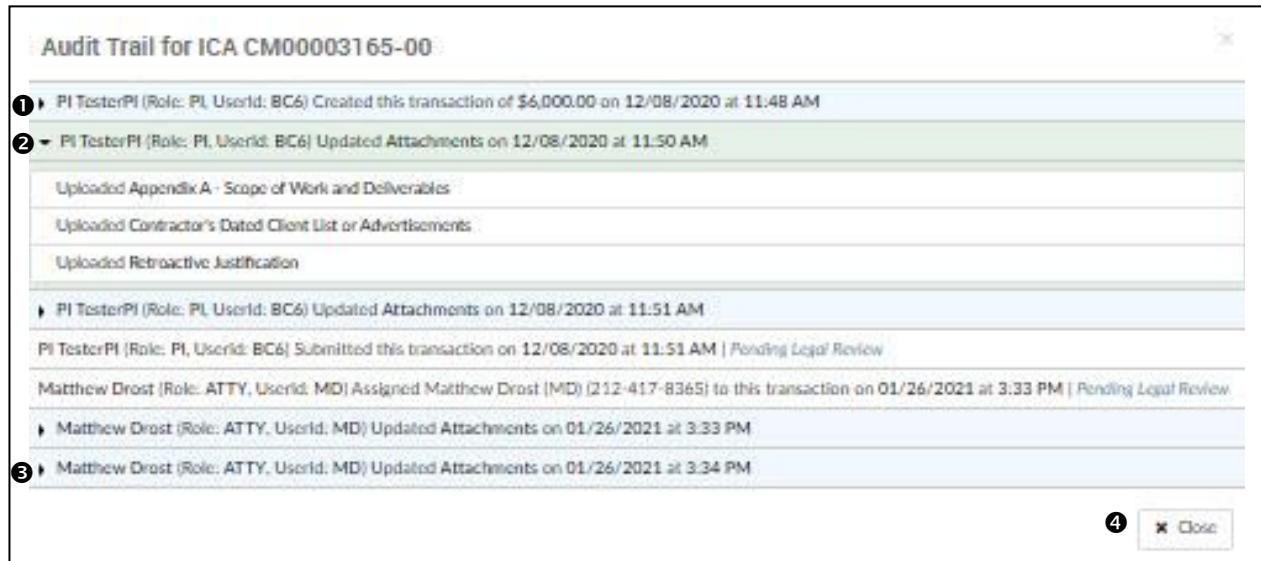


Figure 69

Incomplete/Complete Submission Messages

The system will not allow users to submit incomplete requests. If a user tries to submit an incomplete request, the system will prompt users with a red banner ❶, which will detail all missing required information. Once you have provided all required information and submit the request successfully, you will receive a green **Submitted Successfully** ❷ banner. You also have the option to **Undo Submission** ❸ if changes are required, which will recall the transaction back into your **My Action List**, which will allow you to edit/correct the request.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
❶ ✖ This contractor is missing Tax-ID.								
CM00003088-00	PI TesterPI	-	09/12/2020 - 09/30/2020	\$2,000.00	New		Pending PI Approval	
❷ ✔ Submitted successfully! Undo Submission ❸								
CM00003108-00	PI TesterPI	-	09/23/2020 - 09/30/2020	\$2,000.00	New	ADAMSKI, JOHN K	Pending FF Approval	

Figure 70

View/Amend Processed ICA

Once an ICA has completed all approvals at the RF, it will move from the Pending portal to the Processed portal. From the Contract Manager Home screen, if you click the View/Amend Processed portal under ICAs, you will be able to view all processed ICAs, and create an amendment request to an ICA, if required.

The user's total number of Processed ICAs are displayed next to the **Processed ICAs** header ❶. Users can quickly switch between the different CM portals by hovering over the Processed ICAs as well. The blue drop-down menu will appear, where users can access the Request New ICA, View Pending ICAs, and the View/Amend Processed ICA portals.

Users can apply any of the following search filters ❷ to locate specific transactions: Transaction Number, College, Project Number, Contractor, Performance Start Date and Performance End Date.

Each ICA request is assigned a **Transaction Number** ❸. The Processed ICAs screen displays the following information for each transaction, **PI**, **Submitted** date, **Performance Period**, **Remaining Amount**, **Type**, the **Contractors** name, and **Completion Status** ❹. If an agreement has been fully executed, a green check mark and the executed date will be displayed ❺. Agreements that were sent out for signature but are not yet signed will display a **Sent** ❻ icon. See Sent Details on page 55.

When an ICA has been signed by all and is fully executed, Contract Manager will send a notification to all approvers in the ICA request's workflow.

Users can access the Audit Trail by clicking the icon under the **Audit Column** ❷. Users can create an amendment to an ICA by clicking the **Amend Icon** ❸ which is explained in further detail in the ICA Amendment section on page 57.

The screenshot displays the 'Processed ICAs (7)' interface. At the top, a blue navigation menu includes 'Request New ICA', 'View Pending ICAs', and 'View / Amend Processed'. The main header shows 'Processed ICAs (7)' with a dropdown arrow ❶. Below this is a search filter section ❷ with fields for Transaction Number, College, Project Number, Contractor, Performance Start Date, and Performance End Date, along with a 'Filter' button. The table below lists transactions with columns: Trans#, PI, Submitted, Performance Period, Remaining Amount, Type, Contractor, Completion Status, Audit (with a clock icon ❷), and Amend (with a document icon ❸). The table contains seven rows of data. A callout box ❹ points to the 'Completion Status' column, showing 'Fully Executed' and 'Contract is Fully Executed.' for a specific transaction. A green checkmark ❺ is visible in the 'Completion Status' column for the transaction with ID CM00003096-00.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Completion Status	Audit	Amend
CM00003095-01	Sabrina Cerezo	12/10/2020	09/01/2020 - 12/31/2020	\$11,000.00	Amend	METIS ASSOCIATES INC	Sent ❻	⌚	📄
CM00003096-00	Sabrina Cerezo	09/16/2020	07/01/2020 - 09/30/2020	\$7,500.00	New	YCONNECT, INC.	09/16/2020 ✓ ❺	⌚	📄
CM00003062-00	PI TesterPI	08/31/2020	08/01/2020 - 09/30/2020	\$4,000.00	New	YCONNECT, INC.	11/06/2020 ✓	⌚	📄 ❸
CM00003060-00	PI TesterPI	08/31/2020	08/31/2020 - 06/30/2021	\$26,000.00	New	HORNBILL SCIENTIFIC CO.	Sent	⌚	📄
CM00003055-00	PI TesterPI	08/31/2020	06/01/2020 - 12/31/2020	\$10,000.00	New	HAPPY MEDIUM PRODUCTION INC	Sent	⌚	📄
CM00001082-01	Fern Chan	11/05/2018	01/02/2018 - 12/31/2018	\$7.00	Amend	EMERGENCY AID TRAINING, INC	11/28/2018 ✓ ❺	⌚	📄
CM00003114-00	PI TesterPI	-	09/01/2020 - 11/30/2020	\$12,000.00	New	METIS ASSOCIATES INC	Sent	⌚	📄

Figure 71

Sent Details

By clicking the Sent, the **Contract Status** ❶ pop-up window will appear, which shows you the **DocuSign Workflow Summary** ❷ for the pending agreement, including all signers in the workflow and the signing order, which signer(s) have completed their signing role (including date and time when they signed), who is next to sign, and the email address where the DocuSign email was sent ❸.

The **History** ❹ section provides a more detailed audit trail for the DocuSign envelope, including the **Time**, **Action**, **Description**, and **Status** ❺. The History provides all details from the creation of the envelope to full execution of the ICA. Once you have completed viewing the Contract Status, you may exit by clicking on the **Close** button ❻.

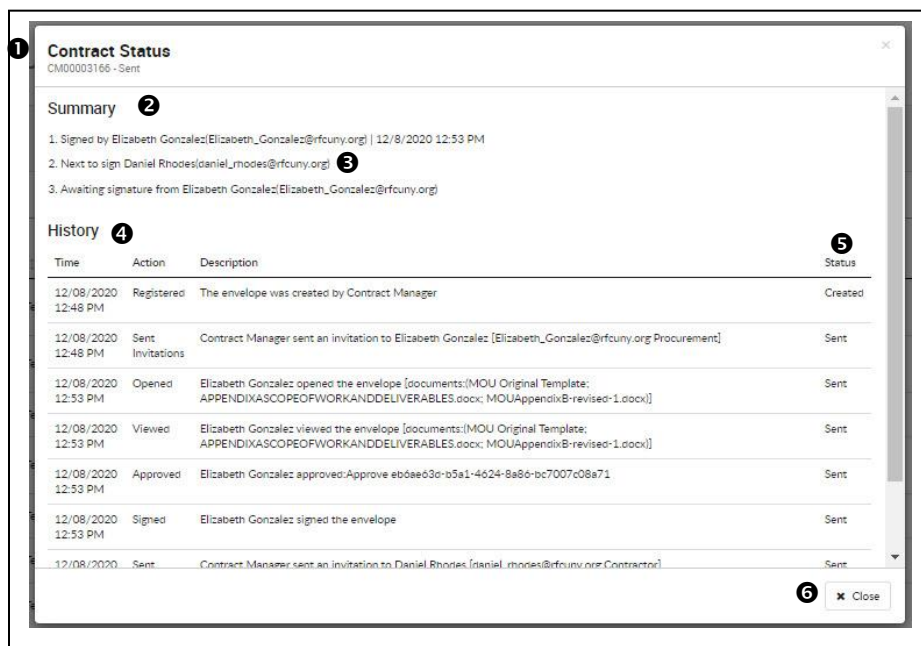


Figure 72

ICA Amendment

To create an amendment, click **View/Amend Processed** ❶ under the ICA portal on the Contract Manager Home screen, which will take you to a list of all your **Processed ICAs** ❷. To the right side of each ICA, you will see the **Amend** icon ❸. To create an amendment to an ICA, click the **Amend** icon ❸. This will bring you to the Amendment Details screen presented in figure 75 below on page 58.

Please Note: If the Amend icon is not active, it means that the ICA cannot be amended. If you hover over the icon, the system will display the reason(s) why the ICA cannot be amended. There are two primary reasons why an ICA cannot be amended, which are as follows:

1. The original agreement is not yet signed. You will need to wait until the original has been signed before you can submit an amendment request.
2. A Payment Request has been created in the RF's E-Payment System and is still pending. Since payment requests place a hold on the encumbrance, amendments requests cannot be created when there is an unprocessed payment request in the system. Users should either wait until a payment request has been processed or delete any pending payment requests in order to submit an amendment request.

Independent Contractor Agreement (ICA)

Independent Contractor's Agreement \$5,000 and above

Contractor controls when, how, and where services are performed.

Contractor maintains a separate business with its own premises, materials and equipment.

Individuals cannot be issued both a W-2 Form and 1099 Form by the Research Foundation in the same calendar year.

Contractor is not an RF/CUNY employee.

[learn more](#)

Request New

View Pending

❶ View / Amend Processed

Figure 73

❷ Processed ICAs (7)

Home MOUs ICAs Subawards

Transaction Number: Enter Trans# College: Select College Project Number: Project# e.g. 51001-22-00 Contractor: Select Contractor Performance Start Date: mm/dd/yyyy Performance End Date: mm/dd/yyyy [Filter](#)

Results Found: 7

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Completion Status	Audit	Amend
CM00003095-01	Sabrina Cerezo	12/10/2020	09/01/2020 - 12/31/2020	\$11,000.00	Amend	METIS ASSOCIATES INC	Error		
CM00003096-00	Sabrina Cerezo	09/16/2020	07/01/2020 - 09/30/2020	\$7,500.00	New	YCONNECT, INC.	09/16/2020		❸
CM00003062-00	PI TesterPI	08/31/2020	08/01/2020 - 09/30/2020	\$4,000.00	New	YCONNECT, INC.	11/06/2020		
CM00003060-00	PI TesterPI	08/31/2020	08/21/2020 - 06/30/2021	\$26,000.00	New	HORNELL SCIENTIFIC CO.	Error		
CM00003055-00	PI TesterPI	08/31/2020	06/01/2020 - 12/31/2020	\$10,000.00	New	HAPPY MEDIUM PRODUCTION INC	Error		
CM00001082-01	Fern Chan	11/05/2018	01/02/2018 - 12/31/2018	\$7.00	Amend	EMERGENCY AID TRAINING, INC	11/28/2018		
CM00003114-00	PI TesterPI	-	09/01/2020 - 11/30/2020	\$12,000.00	New	METIS ASSOCIATES INC	Error		

Figure 74

Amendment Details

The first step in the amendment creation process is to provide the amendment details. Here you will indicate any changes to the amount (increase or decrease), changes to the dates of performance, or changes to the allocation(s)/PRSY numbers. The **number 01 ❶** appears at the end of the transaction number. This means that this is Amendment # 1 to the ICA. The current agreement **Status ❷** appears at the top of the page.

Agreement Details ❸ section, here the system will display the **Project Number, Project Title, Availability** of funds and **Budget Period ❹** for the Project. There is a blue Information circle next to the project number. By hovering over the information icon, you can view the contact information for the RF Project Administrators who administer the account.

If you hover over the information icon next to **Availability ❸**, the system will display the link to view the **Project Budget & Expense Report ❺**.

By clicking the **Previous Contracts ❷** link, users can view a list and access all previous contracts, as seen in figure 77 on page 58. The system will display Transaction Number, Type, Processed Date, Adjustment Agreement Amount, Encumbrance Amount and Adjusted Consultant Travel information for all previous contracts under that transaction. If you click on the Transaction Number, it will bring into the Independent Contractors Agreement section where you can view the details of that transaction.

The **Amendment amount ❸** is where users can increase or decrease the amount being allocated. When you add or subtract an amount, the **Subtotal** and **New Agreement Balance** will reflect the change in amount.

If travel expenses need to be added, click the **Add Travel Expense** link ❹, and enter the travel amount in the box that appears. To allocate the additional funding to a different project account, click **Add Project ❺**, enter the Project Number in the Project Number box as seen in Figure 76 on page 58.

You can modify the **Performance Period ❾** if necessary. You can select a different **Principal Investigator ❿** for the amendment. Once you have made all necessary changes to these sections, click **"Save & Continue" ❻** at the bottom of the screen. The system will then proceed to the Contractor details tab, which is discussed in detail below.

Independent Contractor Agreement (CM00003062-01) ①

② **Status: Pending PI Approval** This contract was converted to ICA from MOU.

③ **Agreement Details** Contractor Supporting Information Classification Type: Company Audit Trail Help

Contact Information
For questions regarding fiscal approval or budget allocation please contact:
Linda Chung (88) | (212) 417 8423

Project Funding Availability
Fund Amount: \$879,185.0
Pending Amount: \$0.0
Total Amount: \$879,185.0
⑥ **Project Budget & Expense Report**

Amount Allocation ⑦ [Previous Contracts](#)
④ Project: 40E76-01 11 | EVOLUTION OF MANDIBULAR
Availability: \$879,185.00 | Budget Period: 02/01/2020 - 06/30/2021
⑤ Starting Agreement Balance: \$4,000.00
Amendment (+/-): \$-2000.00 ⑧
Subtotal: \$2,000.00
New Agreement Balance: \$2,000.00
⑨ [+ Add Travel Expenses](#)
⑩ [+ Add Project](#)

Performance ⑪
Performance Place: United States
Performance Start: 08/01/2020
Performance End: 09/30/2020

Principal Investigator ⑫ [Change Principal Investigator](#)
Name: PI TesterPI (BC6) | Email: ycliana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

⑬ [Save & Continue](#) [Delete](#) [Submit](#) [Print](#)

Travel Expense Summary
Starting Travel Balance: \$0.00
Amendment (+/-): \$400.00
Subtotal: \$400.00
New Travel Balance: \$400.00
[Remove Travel Expense](#)

Figure 75

Enter Project Number
e.g. 55001-00 01 [Remove Project](#)

New Agreement Balance: \$4,000.00

Figure 76

All Previous Contracts

Transaction #	Type	Processed Date	Adjusted Agreement Amount	Encumbrance Amount	Adjusted Consultant Travel
CM00003072-00	New	10/23/2020	\$2,000.00	\$2,000.00	\$0.00
CM00003072-01	Amendment	10/23/2020	\$2,000.00	\$4,000.00	\$0.00

[Close](#)

Figure 77

Contractor Details

In the **Contractor ①** section, the system will carry over the Contractor details from the original transaction. If there are no changes required to the **Contractor Official ④**, you can click on **Save & Continue ②**. If any changes are required to the Contractor Official information, please make any necessary updates and click **Save & Continue ②**.

If any changes are needed to the **Contractor Details ③**, please contact the RF's Procurement & Payables Department at CM-Inquires-P&P@rfcuny.org.

After verifying the **Contractor Details ③** and the **Contractor Official ④** information, click **Save & Continue ②**. A green **Success** banner ⑥ will appear, and the system will then proceed to the Supporting **Information ⑤** section. Here you will upload any additional documentation, such as a revised Scope of Work. If you have no additional documents, you wish to upload click on the **Submit ⑦** button. At that time, the **Submit Request ⑧** pop-up window will appear asking you to certify the information detailed in figure 80 on page 60. Click the **Proceed ⑨** button to move forward with submitting the amendment.

① Success
Agreement Details saved successfully

③ Contractor Details
Fields marked with an * are mandatory

Contractor's Name: * LAW OFFICES OF ANDREW L. FAIR

Entity Type: * Individual/Sole Proprietor/Monoratum/ICSNV

Tax ID Type: * FEIN

FEIN: * 20-2284374

Non-Resident Alien: * No Yes

Current/Past RFCUNY/CUNY Employees: * No Yes, Past Yes, Current

Past RFCUNY MOU Recipient: * No Yes

Address: * 299 BROADWAY STE1320
e.g. Suite 100

City: * NEW YORK

State: * NEW YORK

Zip: * 10007

Country: * United States

Website: e.g. www.mywebsite.com

② Save & Continue Delete Submit Print

Figure 78

⑤ Supporting Information

⑥ Success
Contractor Details saved successfully

Additional Details

Is this contract for lobbying services? * Yes No

Is this contract for fundraising services? * Yes No

Attachments

Appendix A - Scope of Work and Deliverables Upload

Contractor's Dated Client List or Advertisements Upload

Retraction Justification Upload

Form W-9 Upload

Past RFCUNY MOU Details Upload

Reporting Schedule Upload

Sponsor Approval Upload

Other Add new

Notes

One this section if you need to submit additional information with your request

Add note

⑦ Submit

Figure 79

8 Submit Request

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation [conflict of interest policy](#).
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

9

Close

Proceed

Figure 80

After clicking the Proceed button, you will receive the green **Success banner 1**, letting you know that your request has been successfully submitted. If you need to make any changes or corrections to the submission, you can use the **Recall button 2** to recall the transaction back into your queue. You will then be able to make any necessary changes and re-submit the request.

Agreement Details

Contractor

Supporting Information

Classification Type: Company

Audit Trail

Help

Success 1

Contract successfully submitted.

Additional Details

Is this contract for lobbying services? *

Yes No

Is this contract for fundraising services? *

Yes No

Attachments

Appendix A - Scope of Work and Deliverables

Contractor's Dated Client List or Advertisements

Retroactive Justification

Form W-9

Past RF/CUNY MOU Details

Reporting Schedule

Sponsor Approval

Other

Notes

Use this section if you need to submit additional information with your request

Add Note

2

Recall

Print

Figure 81

Allocating Funds from Two or More Project Accounts

Contract Manager provides users with the ability to split the total agreement amount among two or more RF project accounts. The option to split funding among two or more RF project accounts is available when creating a new agreement request or when creating an amendment to an existing agreement.

Allocating Funds when Creating a New Contract

When creating a new ICA request, on the **Agreement Details tab ❶**, first enter the **Agreement Amount ❷**. In the example in figure 82 on page 62, the total amount of the funding is \$5,000.00, which we are going to evenly split between two project accounts. After entering the Agreement Amount and Place of Performance, scroll down to the **Agreement Amount Allocation section ❸**. Here is where you will allocate funding to the applicable project accounts. You will begin by entering the first **Project Number** from which you will fund the agreement. Since we will be splitting the amount evenly between two project accounts, after selecting the first Project Number, and then enter \$2500.00 in the **Agreement Amount box ❹**. Note that down below the system will then display the **Amount Left to Distribute ❺**. In our example below, of the \$5,000.00 total agreement amount, we have only allocated \$2,500.00 to a Project Account, so the amount left to distribute is \$2,500.00. Be aware that the entire Agreement Amount must be allocated to one or more project accounts before the transaction can be saved or submitted. After allocating \$2,500.00 to the first project account, click **Add Another Project ❻**, and another **Project Number and Agreement Amount box ❼** will open. Enter the next Project Number and enter the remaining \$2,500.00 in the Agreement Amount. This will bring the **Amount Left to Distribute ❺** to \$0.00, as the entire agreement amount has now been allocated. There are links to **Remove or Change Project a Project Number ❽**, if necessary. Once you have fully allocated the funding to the applicable project accounts, click **Save & Continue ❾**. If all funding has been allocated and there is no missing information, a green Success banner will appear, and you will move on to the next step in the request creation process.

Please Note: When splitting funding among two or project accounts, the budget terms of the RF Total Agreement Term, the Total Agreement Dates must be always covering the Budgets Period Dates of the accounts without any gaps. If there is a gap, an error message will appear with an explanation to make adjustments.

Independent Contractor Agreement (CM00003214-00)

[Home](#)
[ICAs](#)
[Pending](#)
[Processed](#)

Status: Pending PI Approval

[1 Agreement Details](#)
[Contractor](#)
[Supporting Information](#)

Classification Type: Company

Audit Trail

Help

3 Agreement Amount

Agreement Amount

\$ 5000.00

+ Add Travel Expenses

Performance

Performance Place

United States

Performance Start

07/20/2021

Performance End

07/27/2021

2 Agreement Amount Allocation

Project Number: 40G25-00 12

Forward Funding

Change Project

Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00

Budget Period: 03/01/2020 - 09/30/2021

Agreement Amount

\$ 2500.00

+ Add Another Project

Project Number

e.g. 55001-00 01

Agreement Amount

\$ e.g. 5000

8 Remove Project

Change Project

5 Amount Left To Distribute

\$2,500.00

Principal Investigator

Name: PI TesterPI | BC6

Change Principal Investigator

Email: yiciana_rodriguez@rfcuny.org

Phone: 212-417-8367

College: BROOKLYN COLLEGE

9

Save & Continue

Delete

Submit

Print

Figure 82

Allocating Funds While in Pending/Amendment Stages

The first step is to go into the **View Pending** section ❶. Second, click on the **Transaction Number** ❷, which will open the Independent Contractors Agreement section where you can allocate the funds.

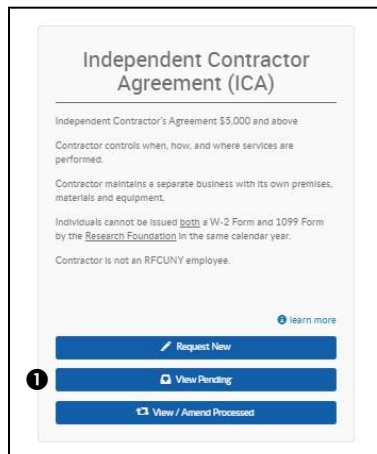


Figure 83

Pending ICAs (26) ▾

Home MOUs ICAs Subawards

❶ Pending Submission to RF ❷ Submitted to RF ❸ FF Approval ❹ Legal Review ❺ PGP Processing ❻ PI Approval

Find Transactions By: Action List Transaction Details

❶ My Action List ❷ All

Filter by: My Action List Results Found: 9

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
CM00003214-00	PI TesterPI	-	07/20/2021 - 07/27/2021	\$5,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	🔍
CM00003213-00	PI TesterPI	-	07/20/2021 - 07/27/2021	\$5,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	🔍
CM00003209-00	PI TesterPI	-	07/16/2021 - 07/30/2021	\$5,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	🔍
CM00003159-00	PI TesterPI	-	12/04/2020 - 12/31/2020	\$5,000.00	New		Pending PI Approval	🔍
CM00003122-00	PI TesterPI	-	10/06/2020 - 10/13/2020	\$5,000.00	New	ADAMSKI, JOHN K.	Pending PI Approval	🔍
CM00003117-00	PI TesterPI	-	09/10/2020 - 10/21/2020	\$5,000.00	New	Adamski, John K.	Pending PI Approval	🔍
CM00003116-00	PI TesterPI	-	09/01/2020 - 10/31/2020	\$15,000.00	New	NEW WORLD NOW LLC	Pending PI Approval	🔍
CM00003096-01 ❷	Sabrina Cerezo	-	07/01/2020 - 12/31/2020	\$7,500.00	Amend	YCONNECT, INC.	Pending PI Approval	🔍
CM00003062-01	PI TesterPI	-	08/01/2020 - 09/30/2020	\$4,000.00	Amend	YCONNECT, INC.	Pending PI Approval	🔍

Figure 84

Users can know which amendment number they are viewing by the **Transaction Number** ❸. In figure 85 below, the number 01 at the end of the Transaction Number indicates that this is Amendment number 1 to this ICA.

In this example, we will create an amendment to an ICA that was fully encumbered on one project number, to allocate an equal portion of the **Starting Agreement Balance** of \$4000.00 ❹ to a different project. The first step is to subtract \$2,000 from the original project number, by entering - \$2000.00 in the **Amendment** box ❺. This will reduce the remaining amount encumbered on that project to just \$2,000. The system will now display the remaining **Subtotal** balance of \$2,000.00 ❻, which is the amount that needs to be allocated to a different project. Next, click Add **Project** ❼ and the **Enter Project Number** box ❸ will appear. Enter the Project Number in the box and select the project you wish to allocate the remaining balance to.

Independent Contractor Agreement (CM00003062-01) ❸

Status: Pending PI Approval This contract was converted to ICA from MOU.

Home ICAs Pending Processed

🔍 Agreement Details 🧑 Contractor 📄 Supporting Information

✔ Classification Type: Company 🔄 Audit Trail 🆘 Help

Amount Allocation Previous Contracts

Project: 40E96-01 11 ❶ EVOLUTION OF MANDIBULAR
Availability: \$879,165.00 ❷ | Budget Period: 02/01/2020 - 06/30/2021

Starting Agreement Balance: \$4,000.00 ❹

Amendment (+/-): \$ -2000.00 ❺

Subtotal: \$2,000.00 ❻

❼ Add Project

Enter Project Number ❸
e.g. 35001-00 01

New Agreement Balance: \$2,000.00

✖ Remove Project

Figure 85

Once you select the Project Number, the Project information will display ❶. Enter \$2,000.00 in the Amendment box ❷. The Subtotal is now \$2,000.00 ❸. You now see **New Agreement Balance** ❹ matches the **Starting Agreement Balance** of \$4000.00 ❺. Click **Save & Continue** ❻. If no other changed are required, **Submit** ❼.

Amount Allocation

[View Details](#) | [Previous Contracts](#)

Project: 40G25-00 12 Forward Funding ❶ | MRI: ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00 ❷ | Budget Period: 03/01/2020 - 09/30/2021

❺ Starting Agreement Balance : \$4,000.00 [+ Add Travel Expenses](#)

Amendment (+/-) : \$ -2000.00

Subtotal : \$2,000.00

❶ Project: 40E96-02 11 ❷ | EVOLUTION OF MANDIBULAR [Remove Project](#)

Availability: \$7,499,500.00 ❸ | Budget Period: 02/01/2020 - 06/30/2021

Starting Agreement Balance : \$0.00 [+ Add Travel Expenses](#)

Amendment (+/-) : \$ 2000.00 ❷

Subtotal : \$2,000.00 ❸

❹ New Agreement Balance : \$4,000.00 [View Details](#)

[+ Add Project](#)

Performance

Performance Place	Performance Start	Performance End
United States	09/10/2020	06/30/2021

Principal Investigator

[Change Principal Investigator](#)

Name: PI Tesser PI (BC6) | Email: ytciana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

❻ [Save & Continue](#) [Delete](#) [Submit](#) [Print](#)

Figure 86

Please Note: If you click on the same Project Number to distribute funding from, a banner will appear informing you “Duplicate distribution for the same Project”, meaning, you must choose another Project Number allocate the funds from.

Creating a Subaward Contract Request

The steps in creating a Subaward contract request are the similar to an MOU and an ICA. In creating a Subaward, there are no questions to answer for qualification.

Subaward Steps

The first step is to go to the Contract Manager home page. Locate Subaward Portal ❶ and click on **Request New** ❷. This will open a screen called **Agreements Details** section as see on the next page.

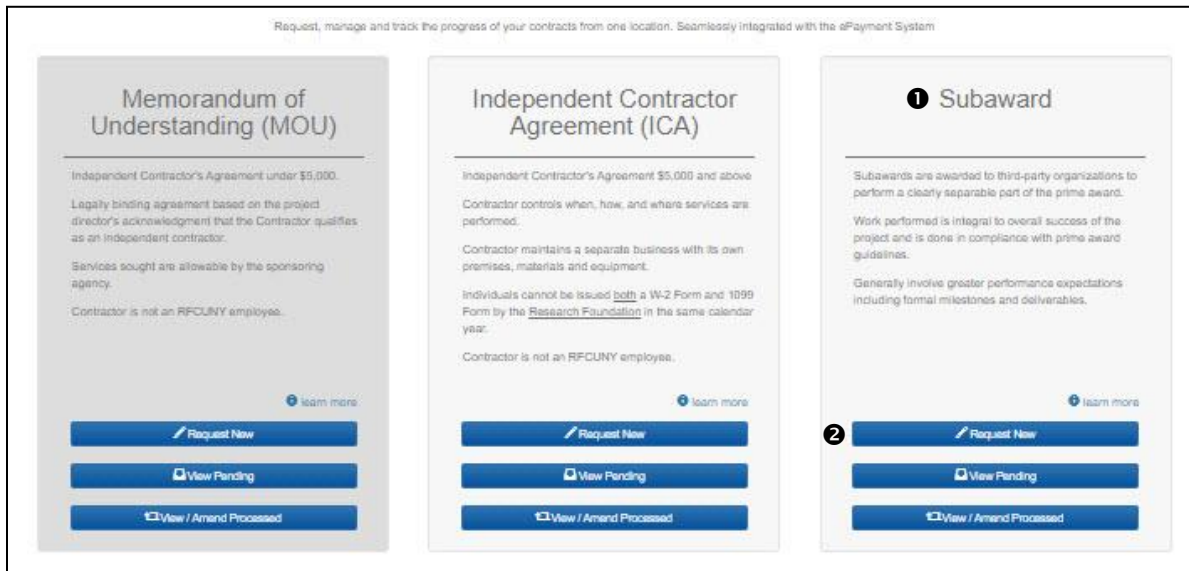


Figure 87

Agreement Details

In the **Agreement Details** section ❶, you will enter the **Agreement Amount** ❷. After entering the Agreement Amount, the **Performance** ❸ section will appear prompting you to enter the **Performance Place, Performance Start** and **End** date. You will be able to choose the dates with drop-down calendar. Once you have completed the section, the **Agreement Amount Allocation** ❹ section will appear. For the six blue information circle details in this section see figure 89 on page 67.

You then enter the **Project Number** ❺. The information located in the brackets ❻ will automatically appear after you have entered the Project Number. You also have a choice to **Add Another Project** ❸. By clicking on the Add Another Project, it opens another Project Number ❹ where you can enter the Project. If you wish to remove the project, click on **Remove Project** ❿.

The next step is to enter the **Agreement Amount** ❷. Once you have entered the Agreement Amount, the **Principal Investigator** ❾ information will automatically pop-up. It provides the **Name, Email, College** and **Phone Number** of the PI. You have the option to **Change Principal Investigator** ❿. When you click on the link, the current PI information will disappear and a blank box ❿ will appear to locate the new PI. Click on the arrow ❿ and a drop-down list of PI's will appear for you choose from. Once you choose a PI, there information will appear as seen in ❾. If you wish to **Cancel** ❿, click on the link. Once you have chosen the PI and if there are no changes to be made, you are now ready to click **Save & Continue** ⓫. You will then be in the Subrecipient Search section where you need to locate the Subrecipient.

Subaward Home Subawards Pending Processed

❶ **Agreement Details** Subrecipient Supporting Information Audit Trail Help

Agreement Amount

❷ Agreement Amount \$ 4000.00

❸ Performance

Performance Place: United States Performance Start: 08/16/2021 Performance End: 08/24/2021

❹ Agreement Amount Allocation

Project Number: 40G25-00 12 Forward Funding Change Project

Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00 Budget Period: 03/01/2020 - 09/30/2021

❺ Project Number: e.g. 55001-00 01

❻ Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

❼ Agreement Amount: \$ e.g. 4000

❸ + Add Another Project

❹ Project Number: e.g. 55001-00 01

❿ Remove Project

❾ Principal Investigator

Name: PI TesterPI | BC6 Email: yliciana_rodriguez@rfcuny.org Phone: 212-417-8367

❿ Change Principal Investigator

❿ Principal Investigator

PI Name: Select

Angela TesterGO (GBG)

GO TesterGO (TS1)

Judith Mandel (MYG)

Nick TesterGO (GBZ)

PI TesterPI (BC6)

Sabrina Cerezo (CSG)

Sean TesterGO (GDC)

Yong TesterGO (GBG)

⓫ Save & Continue

Figure 88

Agreement Amount Allocation Details

The **Agreement Amount Allocation** ❶ section provides four blue information circles. The first, **Project Number** ❷. When you hover over the blue information circle, all the RF Project Administrators contact information will display. Second, the **Availability** ❸. When you hover over the blue information circle, it displays Fund Amount, Pending Amount and Total Amount. There is also a link titled **Project Budget & Expense Report** ❹ to view Object Code, Description, Budget, Encumbrance, PTD Activity and Available Balance in detail, click on the link and a pop-up **Project Budget & Expense Report** ❺ will display. The third is **Agreement Amount** ❻. This explains that the portion you are allocating is part of a larger budget amount. The fourth is the **FAIN Number** ❼, Federal Award Identification Number comprised of numbers and letters assigned by each federal agency to every financial assistance award.

You have the ability to **Change Project** ❸ by clicking the link, the current information closes, and the Agreement Amount request box appears where you can re-enter a Project Number to locate the new one. If you wish to Cancel, just click on the Cancel link. You can choose to **+ Add Another Project** ❹ by clicking on the link. This will open a section where you can enter a new **Project Number** ❷. If you wish to Cancel, click on the red **x Remove Project** ❾.

❶ Agreement Amount Allocation

❷ Project Number: 40G25-00 12 **Forward Funding** ❸ [Change Project](#)

Project Name: MRI: ACQUISITION OF MOBILE ROBOTS

❸ Availability: \$991,000.00 Budget Period: 03/01/2020 – 09/30/2021

❹ [+ Add Another Project](#)

❻ Agreement Amount ❷ FAIN Number ❸

\$ 4000.00 e.g. K22NS091312

❹ [+ Add Another Project](#)

Project Number ❸ [x Remove Project](#)

e.g. 55001-00 01

Agreement Amount ❷ FAIN Number ❸

\$ e.g. 1000 e.g. K22NS091312

Agreement Amount

Amount Left To Distribute \$0.00

Contact Information

For questions regarding fiscal approval or budget allocation please contact:

Bruce Rubinstein (PA) | (212) 417 8412
 Nicholas Jones (APA) | (212) 417 8445
 Millicent Liang (APA) | (212) 417 8440
 Gary Liang (APA) | (212) 417 8433
 Daniela Vidal (APA)

Project Funding Availability

Fund Amount	\$991,000.00
Pending Amount	\$0.00
Total Amount	\$991,000.00

[Project Budget & Expense Report](#) ❹

Project Budget & Expense Report ❺

Object Code	Description	Budget	Encumbrance	PTD Activity	Available Bal
7000	Consultants	\$0.00	\$14,000.00	\$0.00	-\$14,000.00
8002	Grants/fee by RF/CUNY - Brooklyn	\$1,000,000.00	\$0.00	\$0.00	\$1,000,000.00
	Total Personnel Cost	\$0.00	\$0.00	\$0.00	\$0.00
	Total PDP Cost	\$1,000,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Direct Cost	\$1,000,000.00	\$14,000.00	\$0.00	\$991,000.00
	Total Indirect Cost	\$0.00	\$0.00	\$0.00	\$0.00
	Total Net Cost	\$1,000,000.00	\$14,000.00	\$0.00	\$991,000.00

Agreement Amount

The Agreement Amount is the portion of the agreement that will be encumbered on this project.

Federal Award Identification Number

FAIN is a unique identifier comprised of numbers and letters assigned by each federal agency to every financial assistance award. An example is K22NS091312.

Figure 89

Agreement Amount Allocation

Project Number [Cancel](#)

e.g. 55001-00 01

Agreement Amount ❷

\$ e.g. 4000

Figure 90

Subrecipient Section

This is where you first search to see if the RF already has established a business relationship with the subrecipient. If the subrecipient has an established business relationship with the RF, and already has an existing profile, the subrecipient's name will appear. If the subrecipient is not in the RF system, you can create a new subrecipient profile in this section.

For the purpose of this example, we are using an existing Subrecipient. The next step is to locate the Subrecipient by typing in the ❶ name. By typing in a few letters, a drop-down list of Subrecipient will automatically appear under the name to choose from. Once you have located the subrecipient, check the **Vendor ID** ❷ to make sure it is the correct Subrecipient. You then click on the blue **Select** button ❸ to proceed. If you need to add a Subrecipient, click on **+ Enter New Subrecipient** ❹ and it will bring you to the Subrecipient Details Information section where you can enter the new Subrecipient information into the RF system.

Located on bottom are the amount of screen pages ❺ with vendors listed to search from. The **Save & Continue** ❻ button functions later in the process. You can **Delete** ❼ the contract at this point if required. The **Submit** ❸ button will function once the steps are completed. If you try and submit the contract before completion, a **Submit Request** ❾ window will appear. Close out and continue the process. If you click proceed, the **Error** ❿ banner will appear with instructions preventing you from submitting. The **Print** ⓫ option at the stage will print out the following: Transaction Number, Transaction Type, Contractor Type, Agreement Amount, Performance Period, Project Number, Project name, Budget Period, Remaining Agreement Amount and the PI information. Once you click on **Save & Continue** ❻ and it will bring you to Subrecipient Details section.

Subaward (CM00003221-00) Home Subawards Pending Processed

Status: Pending PI Approval

Agreement Details Subrecipient Supporting Information Audit Trail Help

Subrecipient Search

Enter your subrecipient's name in search box below. If we cannot locate your subrecipient, please enter his/her information by clicking the "Enter New Subrecipient" link.

❶ John

➔ Enter New Subrecipient ❹

Subrecipient Name	Vendor ID ❷	Select ❸
Adamski, John K	52144-0	Select
Andrew John Bonham	30074-0	Select
ANTHONY JOHNSON dba A.G. JOHNSON CONSULTING	97432-0	Select
BARRETT, JOHN RYAN	14104-0	Select
CALHOUN, JOHN B	21763-0	Select
CHILDREN'S CENTER OF JOHN JAY	22735-0	Select
DAMAN JOHNSON	103209-0	Select
DEJOHNS ON LARK INC	97060-0	Select
DELTA ST JOHN'S HOTEL	74306-0	Select
DIEDRA C JOHNSON	96020-0	Select

❺

❻ Save & Continue ❼ Delete ❸ Submit ⓫ Print

Submit Request ❾

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation conflict of interest policy.
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

Close Proceed

Error ❿

Please enter your contractor's name in text box below or enter his/her information by clicking the "Enter New Contractor" link.

Figure 91

Subrecipient Details

After you have selected the Subrecipient, details of the Subrecipient will appear. There are two areas in this section, **Subrecipient Details ①** and **Subrecipient Official ②**. The tab highlighted in blue informs you which section you are in.

You have a choice to change Subrecipient by clicking on the link **Change Subrecipient ③**. That will bring you to the number one in figure 91 on page 68 where you can locate and change Subrecipient. The next step is to verify that the information is correct and fill in the information where the **red asterisk ④** indicates. By hovering over **blue information circle ⑤**, a pop-up box appears stating the Subrecipients name is the main company or individual performing the services. With the **Entry Type, Tax ID Type, State and Country**, you have drop-down menu's ⑥ to choose the answer.

If you are missing information in a field, it will be indicated by the red filled area ⑦. The **Foreign Entry ⑧** is if the Subrecipient is a company, answer "Yes" if the company is based outside the United States. If the Subrecipient is an individual, answer "Yes" if the individual is not a U.S. Citizen/Resident Alien. The **DUNS Number ⑨** is the Data Universal Numbering System run by Dun and Bradstreet (D&B) that assigns each business entity a unique number to identify it. The Federal Government requires that all Subrecipients have a DUNS Number as a condition of receiving Federal funding. Once you have completed all required areas, click on **Save & Continue ⑩** which takes you to the next tab **Subrecipient Official ②** to complete.

Please Note: Follow these same procedures if you were adding a new Subrecipient that is not in the RF system.

Subaward (CM00003222-00)
Status: Pending PI Approval

Home Subawards Pending Processed

Agreement Details Subrecipient Supporting Information Audit Trail Help

① Subrecipient Details **② Subrecipient Official**

Subrecipient Details
Fields marked with an * are mandatory.

③ Change Subrecipient

Subrecipient's Name: **⑤** Andrew John Bontham

Entity Type: Individual/Sole Proprietor/Honorarium/IC(Srv) * **⑥**

Tax ID Type: Select * **⑦**
This field is required

Address: 230 West 40th Street **④**
e.g. Suite 102

City: NEW YORK

State: NEW YORK * **⑥**

Zip: 10011

Country: United States * **⑥**

Foreign Entity: No Yes **⑧**
If the Subrecipient is a company, answer "Yes" if the company is based outside the United States. If the Subrecipient is an individual, answer "Yes" if the individual is not a U.S. Citizen/Resident Alien.

Website: e.g. www.mywebsite.com * **⑦**
This field is required

DUNS Number: e.g. 00-000-0000 * **⑨**
This field is required

⑩ Save & Continue Delete Submit Print

Subrecipient's Name
The Subrecipient's Name is the name of the company or individual performing the services.

Foreign Entity
If the Subrecipient is a company, answer "Yes" if the company is based outside the United States. If the Subrecipient is an individual, answer "Yes" if the individual is not a U.S. Citizen/Resident Alien.

Data Universal Numbering System (DUNS)
The Data Universal Numbering System (DUNS) is a system run by Dun and Bradstreet (D & B) that assigns each business entity a unique number to identify it. The Federal Government requires that all Subrecipients have a DUNS number as a condition of receiving Federal funding.

Figure 92

Subrecipient Official

You are now in the **Subrecipient Official** section ❶, the next step is to fill in all the information where the **red asterisks** ❷ are located. In this case, all the information below needs to be filled in. The first part is the Subrecipient's PI's ❸ information. The next section is the **Subrecipient's Authorized Official** information section ❹. The Authorized Official name ❺ is the individual who is authorized to sign the agreement on behalf of the contractor. The email listed here is where the Subrecipient will be sent an email for signature ❻. Once you have completed all required areas, you then press **Save & Continue** ❼ to move onto the next step, Supporting Information.

Please Note: The Authorized Official's **Email** ❻ should be the Authorized Individual's direct email address, not a general email inbox (such as "questions@" or "info@," as these inboxes are often accessible by multiple people. The RF utilizes DocuSign, a third-party electronic document signing platform, to electronically sign agreements. DocuSign validates the identity of the signer by only allowing signature access through the direct email address for the signer.

Subaward (CM00003223-00)

Home Subawards Pending Processed

Status: Pending PI Approval

Agreement Details Subrecipient Supporting Information Audit Trail Help

Subrecipient Details Subrecipient Officials

Subrecipient's PI

Fields marked with an * are mandatory

PI Name: e.g. Smith Mike

Department*: e.g. Physics

Email*: e.g. smith.mike@gmail.com

Business Phone*: e.g. 2128451664 - XXXX

Contractor's Name

The Authorized Official is the person who is authorized to sign the agreement on behalf of the Contractor.

Subrecipient's Authorized Official

Authorized Official Name*: e.g. Smith Mike

Department*: e.g. Physics

Email*: e.g. smith.mike@gmail.com

The Subaward will be sent to this email address for signature

Business Phone*: e.g. 2128451664 - XXXX

Save & Continue Delete Submit Print

Figure 93

Supporting Information/Uploading Documents

Supporting Information

Once you have completed the Contractor section successfully, the next step is to add supporting information and documents. You start off by answering all three questions in **Additional Detail ①** section. With the first question **Does the subaward support a clinical trial? ②**, if the answer is Yes, a drop-down box will appear asking if the clinical trial is **Traditional** or **Non-Traditional ③**.

After answering the three questions, you will need to upload the following four documents in the **Attachments ④** section. They are marked with a red asterisk. Other documents are optional if applicable. Additional documentation may be required, such as "3. Sponsor Approval." In cases where sponsor approval is required on a project, the Project Administrator will set the PRSY attribute to Y1 on the project account. When the PRSY attribute Y1 is selected, Contract Manager will require that sponsor approval as a required attachment before the request can be submitted to the RF.

1. Appendix A Scope of Work
2. Appendix B Budge
3. Sponsor Approval
4. Subrecipient Commitment Form

To upload a document(s) click on the **Upload** button ⑤. That will bring you to figure 95 on page 72.

Subaward (CM00003400-00) Home Subawards Pending Processed

Status: Pending GO Approval

Agreement Details Subrecipient Supporting Information Audit Trail Help

① Additional Details

Does this subaward support a clinical trial? *

Yes No ③

Will human subjects be used, during the research, at the subrecipient's institution? *

Yes No

Will animals be used, during the research, at the subrecipient's institution? *

Yes No

④ Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work *	Upload ⑤
Appendix B - Budget *	Upload
Sponsor Approval *	Upload
Subrecipient Commitment Form *	Upload
Certificate of Insurance for General Liability	Upload
Form W-9	Upload
IACUC Approval	Upload
IRB Approval	Upload
Other	+ Add New

Notes

Use this section if you need to submit additional information with your request

+ Add Note

Delete Submit Print

Figure 94

Uploading Documents

Click on the **Browse** button ❶ to locate the document(s) on your computer. In this case I saved it on my Desktop ❷ to make it easy to locate. Once you have located and clicked on the document(s) ❸, click on the **Open** ❹ button to attach the document(s). You have uploaded successfully when you see the document(s) name in the box ❺. You then have the option where you can **Remove** ❻, attach other required document(s) by clicking on the **Browse** button ❼. When you are complete uploading document(s), click on the **Upload** button ❽ to finalize the document(s) upload. Repeat the process for the rest of the required document(s).

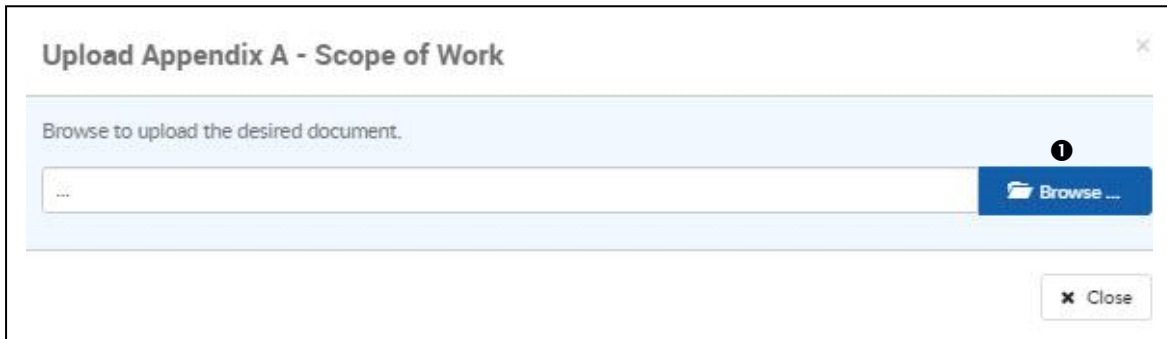


Figure 95

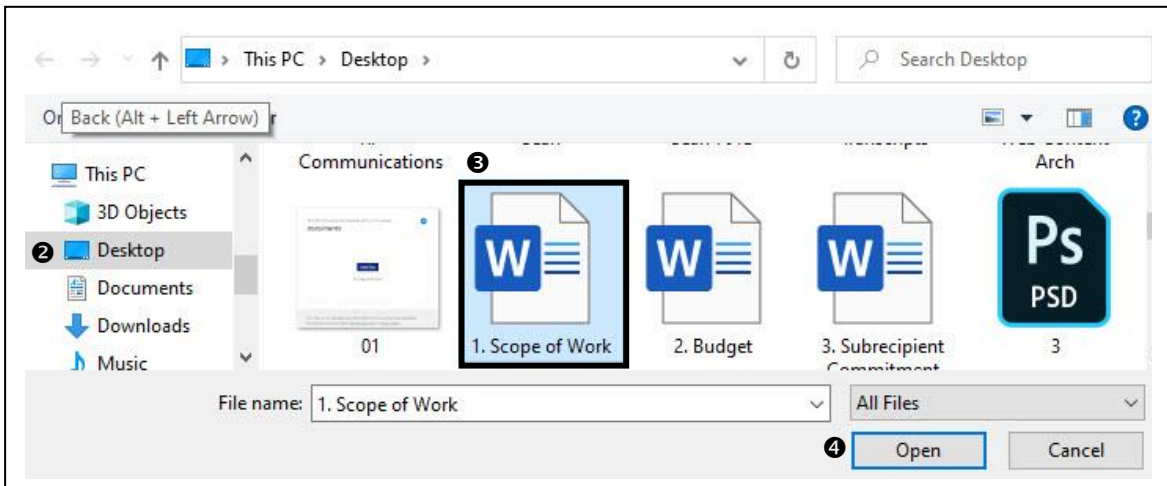


Figure 96

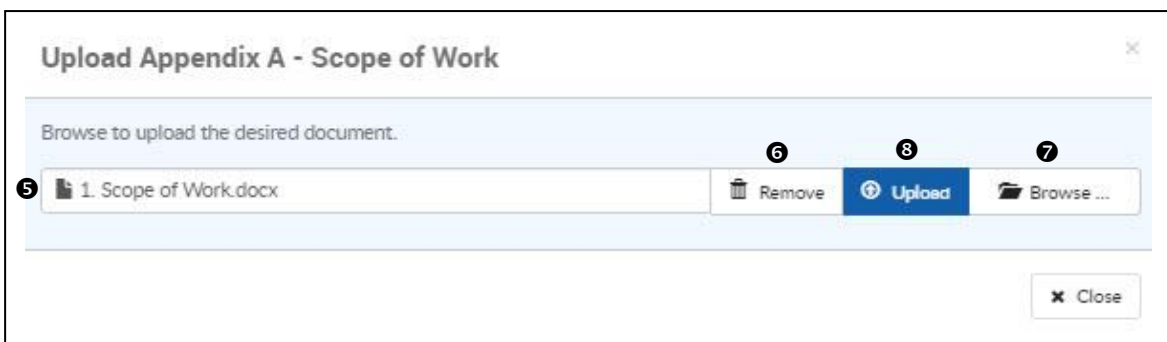


Figure 97

After you have uploaded the required documents, you will see the documents name in the center ❶. You now have the choice to **Delete** ❷ the document if it's incorrect and replace it.

Before Submitting the request, if you have any notes to add click on the **+Add Notes** button ❸. See Notes section on page 75 for details.

After adding Notes, you are ready to proceed, click on the **Submit** button ❹. A pop-up **Submit Request** window ❺ will appear, click Proceed ❻.

Please Note: If you try Submitting the request without adding the required documents, an Error message will appear as seen in figure 100 below.

Subaward (CM00003226-00) Home Subawards Pending Processed

Status: Pending PI Approval

Agreement Details Subrecipient Supporting Information Audit Trail Help

Additional Details

Does this subaward support a clinical trial? *

Which type of clinical trial does this subaward support? * ☒ Traditional ☐ Non Traditional

Will human subjects be used, during the research, at the subrecipient's institution? *

Will animals be used, during the research, at the subrecipient's institution? *

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work *	1. ScopeOfWork.docx	❶	❷	<input type="button" value="Delete"/>
Appendix B - Budget *	2. Budget.docx			<input type="button" value="Delete"/>
Subrecipient Commitment Form *	3. SubrecipientCommitmentForm.docx			<input type="button" value="Delete"/>
Certificate of Insurance for General Liability				<input type="button" value="Upload"/>
Form W-9				<input type="button" value="Upload"/>
IACUC Approval				<input type="button" value="Upload"/>
IRB Approval				<input type="button" value="Upload"/>
Other				<input type="button" value="Add New"/>

Notes

Use this section if you need to submit additional information with your request.

❸

❹

Figure 98

Submit Request ❺

By submitting this request you certify that:

- The charges to be incurred are appropriate and authorized against the project(s) selected and are consistent with sponsor policy.
- The services are essential and cannot be provided by persons receiving salary support under this award or otherwise compensated for their services.
- Said selection does not constitute a violation of the Research Foundation [conflict of interest policy](#).
- The terms of this arrangement have been confirmed with the Contractor, including the fee to be paid, frequency of payment, insurance requirements, if any, instructions for providing invoices and supporting documentation, all technical and financial requirements.

❻

Figure 99

Error

Attachment for Appendix A - Scope of Work and Deliverables is required.

Figure 100

After submitting the request successfully, a green **Success ❶** banner will appear. The request has now entered the next step in the workflow. In this section you will see details such as **Status ❷**, indicating the next step in the process for the contract. Not all transactions will follow the same workflow. The information below describes all the pending statuses in detail. You will also see the name of the required documents **❸** that are attached to the contract submission. If you have written any **Notes ❹**, you will see them at the bottom.

After the request had been submitted, you will see **Recall ❺** button appear. This recall button will appear in different sections of the process. Anytime you see the recall button, you can go back into the request to make changes with the information, delete or attach documents depending on the section you are in. If the request has been approved and moved into the next step in the process, it cannot be recalled. You would need to locate the status in the system and contact the RF. When you recall the request, it will go into the My Action List section. You can view details of this in figure 103 on page 77.

Independent Contractor Agreement (CM00003215-00)

Home | **ICAs** | Pending | Processed

❷ **Status: Pending FF Approval**

Agreement Details | Contractor | Supporting Information | Classification Type: Company | Audit Trail | Help

❶ **Success**
Contract successfully submitted.

Additional Details

Is this contract for lobbying services? *

Is this contract for fundraising services? *

Attachments

Please attach the following documents to complete your request. Documents marked with an asterisk (*) are mandatory.

Appendix A - Scope of Work and Deliverables *	❸ ScopeOfWorkandDeliverables.docx
Contractor's Dated Client List or Advertisements *	Contractor'sDatedClientListorAdvertisements.docx
Sole Source Justification or Bidding Documentation *	SoleSourceJustification.docx
Form W-9:	
Past RF/CUNY ICA Details:	
Reporting Schedule:	
Sponsor Approval:	
Other:	

Notes ❹

Use this section if you need to submit additional information with your request.

❺

Figure 101

Notes

If you need to add a note, click on the **+ Add Notes ❶** button. When you click on the button, it opens this note window **❷** where you can type in your note. After you have completed the note, click on **Add General Note ❸** to finalize the note. You are then able to see the note details at number **❹**. You then have the option of adding an additional note by repeating the process by click on the **Add Note ❺** button. If you wish to edit the note, click on the highlighted note **❻** and it will open to make changes. Once you are complete with the changes, click on **Update Note ❼** to finalize. You also have the option to **Delete ❽** the note.

The next step is to **Submit ❾** the contract and follow the given procedures from figure 98 and 99 on page 73.

The figure consists of four sequential screenshots of a web application's 'Notes' section, illustrating the workflow for adding and managing notes.

- First Screenshot:** Shows the 'Notes' header and a sub-header 'Use this section if you need to submit additional information with your request'. A blue button labeled '+ Add Note' is highlighted with a circled ❶.
- Second Screenshot:** Shows the 'Add Note' modal window. It has a text area for 'Write a note' (labeled ❷), a 'Cancel' button, and a blue button labeled '+ Add General Note' (labeled ❸).
- Third Screenshot:** Shows the 'Notes' list. A note entry is displayed with details: '09/18/2020 11:06:03 AM', 'Note Type: General', 'Role: Principal Investigator', and 'PI TesterPI (BC6)'. This entry is highlighted with a circled ❹. A blue button labeled '+ Add Note' is highlighted with a circled ❺.
- Fourth Screenshot:** Shows the 'Edit Note' modal window. The note details are at the top. The text area contains 'Thank you for all your assistance.' (labeled ❻). At the bottom right are two buttons: 'Update Note' (labeled ❼) and 'Delete' (labeled ❽). At the bottom center are three buttons: 'Delete' (labeled ❽), 'Submit' (labeled ❾), and 'Print'.

Figure 102

Pending Details Definition

Pending PI Approval

A Preparer has created the transaction, and it is now in the PI's action list for PI approval.

Pending GO Approval

PI has created or approved a transaction at a GO-driven school, and the transaction is now in the Grants Officer's action list awaiting approval. If a GO creates a transaction but has not yet submitted it to the RF, the status will also show as Pending GO Approval.

Pending FF Approval

The MOU was requested on an RF forward funded account and is with the RF's finance department pending approval to use forward funding for this transaction.

Pending Budget Review

The MOU amount requested exceeds the available balance of the account selected. Transaction is with the account's Project Administrator, who must first resolve any budget issues before the transaction is processed.

Pending P&P Approval

The MOU is undergoing review with the RF's P&P department.

Pending PA Approval

The transaction is with the RF Project Administrator, awaiting fiscal approval/encumbrance of the funding. This is the last step in the approval process for all CM transactions. After PA approval, the request moves from the pending to the processed section.

Pending Subawards

In the Pending Subawards section, you can check the status of all your submitted requests or submit a request.

Pending Details

When you hover over **Pending Subawards** ❶, the blue square with Request New Subaward, View Pending Subawards, and View/Amend Processed box will appear under the Pending Subaward title. Here you can choose any of the three sections you wish to enter. The number twenty-two in parenthesis indicates how many Pending Subawards you have in the system.

Next you will see different pending statuses ❷. The number in the grey circle next to each status indicates how many you have pending in each section. The total numbers in each section will equal the number indicated in the parenthesis next to the section title ❶. To go into a section, simply scroll over the name and the two bold bars shown on **Pending Submission to RF** will indicate that the section is live. Then click on the name and you will enter the section. The Pending Details Definition are located on page 76.

Find Transaction By ❸ is where you locate your pending Subaward. If you check **My Action List** circle ❹, it will only display the contract(s) that need actions taken by the user in order to be submitted. If you check the **All** ❺, all twenty-two pending Subawards will appear as seen below. You can also locate your request by clicking on **Transaction Details** ❻. For details, see Transaction Details in figure 104 on page 78.

There are four greyed out action buttons ❼. **Submit, Return, Recall** and **Delete**, which become active depending on the transaction once you click in the box ❸ next to the Transaction Number of the request. See figure 105 on page 78 for details. Next to the box you have the Transaction Number, PI's name, submitted: which indicates the date this transaction was submitted, Performance Period, Remaining Amount, Type: which indicates if its New or Amended, Subrecipients name, Status: here you can see the pending status of your Subaward. If you have a question regarding the status, hover over the contact icon ❾ and a pop-up box will appear with the person you need to contact. The **Audit** ❿ icon will give you the request process details. To view full Audit details, click on the icon and a pop-up window will appear as seen in figure 106 on page 79. Once you have completed the submitting process, the transaction moves into the Processed Subaward section.

Pending Subawards (22)

Request New Subaward
View Pending Subawards
View / Amend Processed

Home MOUs ICAs Subawards

❶ Pending Submission to RF ❷ Submitted to RF ❸ Processing ❹ PA Approval

❸ Find Transactions By: Action List Transaction Details ❻

❹ My Action List ❺ All

Filter by: All Results Found: 22

❼ Submit Return Recall Delete

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Subrecipient	Status	Audit
CM00003227-00	PI Tester/PI	-	08/25/2021 - 08/31/2021	\$4,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	❾
CM00003226-00	PI Tester/PI	-	08/24/2021 - 08/31/2021	\$4,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	❾
CM00003225-00	PI Tester/PI	-	08/24/2021 - 08/31/2021	\$4,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	❾
CM00003224-00	PI Tester/PI	-	08/20/2021 - 08/27/2021	\$4,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval	❾
CM00003223-00	PI Tester/PI	-	08/20/2021 - 08/26/2021	\$4,000.00	New	Andrew John Bentham	Pending PI Approval	❾
CM00003222-00	PI Tester/PI	-	08/18/2021 - 08/25/2021	\$4,000.00	New	Andrew John Bentham	Pending PI Approval	❾
CM00003221-00	PI Tester/PI	-	08/18/2021 - 08/25/2021	\$4,000.00	New		Pending PI Approval	❾
CM00003203-00	PI Tester/PI	-	04/30/2021 - 05/12/2021	\$2,000.00	New		Pending PI Approval	❾
CM00003189-00	PI Tester/PI	02/22/2021	02/24/2021 - 04/29/2021	\$20,000.00	New	CHERYL MONACO	Pending Legal Review	❾ ❿
CM00003184-00	PI Tester/PI	02/22/2021	03/01/2021 - 06/30/2021	\$10,000.00	New	PRESIDENT & FELLOWS OF HARVARD COLLEGE	Pending Budget Review	❾

Contact Information
If you have any questions about the status of this transaction, please contact:
CMForwardFunding@rfcuny.org

Figure 103

Transaction Details

In the Transaction Details section ❶, you now have the choices of searching by **Transaction Number**, **Contract Types**, **Project Number**, **Contractor** and **Contract Status** to search by ❷. Once you have filled in the area in which to search, click **Filter** ❸ and the system will locate the contract. You can collapse the Find Transaction By section by clicking on **Hide Filter** ❹.

Figure 104

Action Buttons

Once you have checked a box ❶, you will see the available actions that can be taken in order to submit the request. You can choose **Submit** ❷ or **Delete** ❸. Your choices will appear in color. In this example you can Submit or Delete the request.

If you wish to make changes within the request, click on the **Transaction Number** ❹ and it will take you to the **Subaward** section as seen in figure 88 on page 66 where you can make the changes then move forward in the request process.

<div> ❶ <input checked="" type="checkbox"/> </div> <div> ❷ Submit <input type="button" value="Return"/> <input type="button" value="Recall"/> ❸ Delete </div>									
Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit	
❶ <input checked="" type="checkbox"/> C400003214-00	PI TesterPI	+	07/20/2021 - 07/27/2021	\$5,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval		
<input type="checkbox"/> C400003213-00 ❹	PI TesterPI	+	07/20/2021 - 07/27/2021	\$5,000.00	New	ANDREW JOHN BENTHAM	Pending PI Approval		

Figure 105

Audit Trail

Below are the details of the transaction from start to the last step taken. First you have the **PI's** name ❶, the **Amount** and **Date** the transaction started followed by the time. You can expand the to see transaction details by clicking on the triangle ❷. This will open downward to display a list. You can collapse the list by clicking on the triangle after you are done. At the bottom of the list, you can view the latest step that needs to take place ❸. At the end of the sentence, you can see that this next step is ❹. To exit, click on **Close** ❺.

Audit Trail for Subaward CM00003227-00

❶ PI TesterPI (Role: PI, UserId: BC6) Created this transaction of \$4,000.00 on 08/24/2021 at 9:09 AM

▶ PI TesterPI (Role: PI, UserId: BC6) Updated Additional Details on 08/24/2021 at 9:11 AM

❷ ▶ PI TesterPI (Role: PI, UserId: BC6) Updated Attachments on 08/24/2021 at 9:11 AM

Uploaded Appendix A - Scope of Work

Uploaded Appendix B - Budget

▶ PI TesterPI (Role: PI, UserId: BC6) Updated Attachments on 08/24/2021 at 9:14 AM

PI TesterPI (Role: PI, UserId: BC6) Submitted this transaction on 08/24/2021 at 9:18 AM | Pending FF Approval

PI TesterPI (Role: PI, UserId: BC6) Recalled this transaction on 08/24/2021 at 9:19 AM | Pending PI Approval

PI TesterPI (Role: PI, UserId: BC6) Submitted this transaction on 08/24/2021 at 9:19 AM | Pending FF Approval

PI TesterPI (Role: PI, UserId: BC6) Recalled this transaction on 08/24/2021 at 9:19 AM | Pending PI Approval

PI TesterPI (Role: PI, UserId: BC6) Submitted this transaction on 08/24/2021 at 9:20 AM | Pending FF Approval

❸ PI TesterPI (Role: PI, UserId: BC6) Recalled this transaction on 08/24/2021 at 9:43 AM | Pending PI Approval ❹

❺ Close

Figure 106

Incomplete/Complete Submission Messages

If you submit a request and its incomplete, the system will notify you with a red banner ❶ and the require information as seen below. Once you have submitted the request successfully, a green **Submitted Successfully** ❷ banner will appear. You also have the choice to **Undo Submission** ❸ if changes are required. Once complete, the transaction has now moved into the Processed ICA section.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Status	Audit
❶ ✖ This contractor is missing Tax-ID.								
<input type="checkbox"/> CM00003088-00	PI TesterPI	-	09/12/2020 - 09/30/2020	\$2,000.00	New		Pending PI Approval	
❷ ✔ Submitted successfully! Undo Submission ❸								
<input type="checkbox"/> CM00003108-00	PI TesterPI	-	09/23/2020 - 09/30/2020	\$2,000.00	New	ADAMSKI, JOHN K	Pending FF Approval	

Figure 107

Processed Subaward

In this section you will be able to view the Status, Audit Trail and Amend an Subaward if required.

The user's total number of Processed Subawards are displayed next to the **Processed Subawards** header ❶. Users can quickly switch between the different CM portals by hovering over the Processed Subawards as well. The blue drop-down menu will appear, where users can access the Request New Subaward, View Pending Subawards, and the View/Amend Processed Subawards portals.

Users can apply any of the following search filters ❷ to locate specific transactions: Transaction Number, College, Project Number, Contractor, Performance Start Date and Performance End Date.

Each Subaward request is assigned a **Transaction Number** ❸. The Processed Subaward screen displays the following information for each transaction, **PI**, **Submitted** date, **Performance Period**, **Remaining Amount**, **Type**, the **Contractors** name, and **Completion Status** ❹. If an agreement has been fully executed, a green check mark and the executed date will be displayed ❺.

Users can access the Audit Trail by clicking the icon under the **Audit Column** ❻. Users can create an amendment to a Subaward by clicking the **Amend Icon** ❼ which is explained in further detail in the Subaward Contract Amendment section on page 81.

The screenshot shows the 'Processed Subawards' interface. At the top, a blue dropdown menu is open, showing options: 'Request New Subaward', 'View Pending Subawards', and 'View / Amend Processed'. The main header is 'Processed Subawards (4) ❶'. Below this is a search bar with filters for Transaction Number, College, Project Number, Contractor, Performance Start Date, and Performance End Date, with a 'Filter' button. The table below has columns: Trans#, PI, Submitted, Performance Period, Remaining Amount, Type, Contractor, Completion Status, Audit, and Amend. The first row shows a transaction for 'PI TesterPI' with a completion status of 'Fully Executed' (green checkmark) and a date of '02/12/2021'. A tooltip for the 'Fully Executed' status shows 'Fully Executed' and 'Contract is Fully Executed.'. The second row shows a transaction for 'PI TesterPI' with a completion status of 'Pending Full Execution'. The third row shows a transaction for 'PI TesterPI' with a completion status of 'Fully Executed' (green checkmark) and a date of '09/16/2020'. The fourth row shows a transaction for 'Angela TesterGO' with a completion status of 'Pending Full Execution'. The bottom of the table has a pagination bar showing '1'.

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Completion Status	Audit	Amend
CM00003059-01	PI TesterPI	02/10/2021	09/01/2020 - 03/31/2021	\$0.00	Amd	UNIVERSITY OF RHODE ISLAND	02/12/2021 ✓ ❺	⌚ ❻	✎ ❼
CM00003053-01	PI TesterPI	09/16/2020	10/01/2020 - 06/01/2021	\$20,000.00	Amd	CONNECTICUT COLLEGE	Pending Full Execution		
CM00003054-00	PI TesterPI	08/31/2020	07/01/2020 - 06/30/2021	\$48,000.00	New	COLUMBIA UNIVERSITY	09/16/2020 ✓		
CM00003208-00	Angela TesterGO	-	06/01/2021 - 06/03/2021	\$15.00	New	STAPLES, DOREEN D.	Pending Full Execution		

Figure 108

Subaward Contract Amendment

Once you are on the Contract Manager home page, click **View/Amend Processed ①**. This will bring you to all your **Processed Subawards ②** agreements. On the right side of the screen, you will see the **Amend** icon ③. After clicking on the Amend icon, it will bring you to the Amend Details screen in figure 111 on page 83.

Please Note: If the Amend icon is not active when you click on it, this means there something incomplete in the process. By hovering over the icon, you will see the reason(s). There are two primary reasons why, one is the original agreement is not signed, second, the Payment Request is still pending which places a hold on the encumbrance.

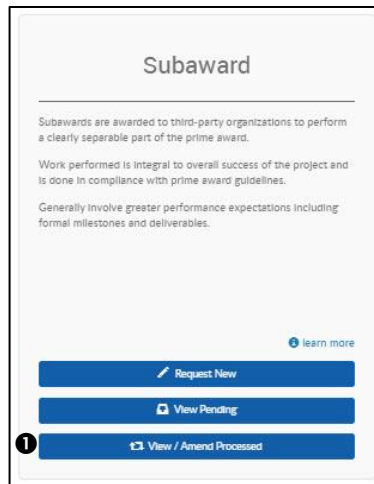


Figure 109

Trans#	PI	Submitted	Performance Period	Remaining Amount	Type	Contractor	Completion Status	Audit	Amend
CH00003059-01	PI TectorPI	02/10/2021	09/01/2020 - 03/31/2021	\$0.00	Amend	UNIVERSITY OF RHODE ISLAND	02/12/2021	🔄	🔗
CH00003053-01	PI TectorPI	09/16/2020	10/01/2020 - 06/01/2021	\$20,000.00	Amend	CONNECTICUT COLLEGE	Pending Full Execution	🔄	🔗
CH00003054-00	PI TectorPI	08/31/2020	07/01/2020 - 06/30/2021	\$48,000.00	New	COLUMBIA UNIVERSITY	09/16/2020	🔄	🔗 ③
CH00003208-00	Angela TectorGO	-	06/01/2021 - 06/03/2021	\$15.00	New	STAPLES DOREEN D.	Pending Full Execution	🔄	🔗

Figure 110

Amendment Details

The first step in the amendment creation process is to provide the amendment details. Here you will indicate any changes to the amount (increase or decrease), changes to the dates of performance, or changes to the allocation(s)/PRSY numbers. The **number 01 ❶** appears at the end of the transaction number. This means that this is Amendment # 1 to the ICA. The current agreement **Status ❷** appears at the top of the page.

Agreement Details ❸ section, here the system will display the **Project Number, Project Title, Availability of funds and Budget Period ❹** for the Project. There is a blue Information circle next to the project number. By hovering over the information icon, you can view the contact information for the RF Project Administrators who administer the account.

If you hover over the information icon next to **Availability ❺**, the system will display the link to view the **Project Budget & Expense Report ❻**.

By clicking the **Previous Contracts ❼** link, users can view a list and access all previous contracts, as seen in figure 113 on page 83. The system will display Transaction Number, Type, Processed Date, Adjustment Agreement Amount, Encumbrance Amount and Adjusted Consultant Travel information for all previous contracts under that transaction. If you click on the Transaction Number, it will bring into the Subaward Agreement section where you can view the details of that transaction.

The **Amendment amount ❸** is where users can increase or decrease the amount being allocated. When you add or subtract an amount, the Subtotal and New Agreement Balance will reflect the change in amount.

To allocate the additional funding to a different project account, click **Add Project ❹**, enter the Project Number in the Project Number box as seen in figure 112 on page 83.

You can modify the **Performance Period ❿** if necessary. You can select a different **Principal Investigator ⓫** for the amendment.

If you have a **FAN Number ⓬**, you enter it in the box. If you are unsure of the definition of the FAN Number, hover over the blue information icon for the definition.

Once you have made all necessary changes to these sections, click **Save & Continue ⓭** at the bottom of the screen. The system will then proceed to the Contractor details tab, which is discussed in detail below.

Subaward (CM00003054-01) 1

2 Status: Pending PI Approval

3 Agreement Details Subrecipient Supporting Information Audit Trail Help

4 Project: 40E96-01 11 **6** EVOLUTION OF MANDIBULAR
Availability: \$879,185.00 **9** Budget Period: 02/01/2020 - 06/30/2021

5 Starting Agreement Balance: **12** FAIN Number: **8**
Amendment (+/-): \$-8000.00
Subtotal: \$40,000.00
New Agreement Balance: \$40,000.00

7 Previous Contracts

6 Contact Information
For questions regarding fiscal approval or budget allocation please contact:
Linda Chung (98) | (212) 417 8423

6 Project Funding Availability
Fund Amount: \$1,003,000.00
Pending Amount: \$0.00
Total Amount: \$1,003,000.00
6 Project Budget & Expense Report

10 Performance
Performance Place: United States
Performance Start: 07/01/2020
Performance End: 06/30/2021

11 Principal Investigator [Change Principal Investigator](#)
Name: PI TesterPI (BC6) | Email: yiciana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

13 Save & Continue Submit

Federal Award Identification Number
FAIN is a unique identifier comprised of numbers and letters assigned by each federal agency to every financial assistance award. An example is K22NS091312.

Figure 111

Enter Project Number
e.g. 55001-00 01 ✖ Remove Project

New Agreement Balance : \$4,000.00

Figure 112

All Previous Contracts ✖

Transaction #	Type	Processed Date	Adjusted Agreement Amount	Encumbrance Amount
CM00003054-00	New	09/16/2020	\$48,000.00	\$48,000.00

✖ Close

Figure 113

Contractor Details

In the **Contractor ①** section you can click on **Save & Continue ②** if there are no changes to be made within the **Contractor Details ③** information previously filled. The same applies to **Contractor Official ④** section.

Please Note: If any changes are needed to the **Contractor Details ③**, please contact the RF's Procurement & Payables Department at CM-Inquires-P&P@rfcuny.org.

After checking the information and clicking Save & Continue button in the Contractor section you will arrive in the **Supporting Information ⑤** section where you will see a green **Success banner ⑥**. If no new documents need to be uploaded, click on the **Submit ⑦** button where the **Submit Request ⑧** pop-up window will appear asking you to agree with the terms and conditions in figure. Click the **Proceed ⑨** button to complete the process of amending the Agreement.

Figure 114

Figure 115

Figure 116

After clicking on the Proceed button, the window will close leaving you in the **Additional Details ①** page below where you can **Recall ②** the agreement to make any changes. If changes are made in the previous pages, continue moving forward and follow the procedures then click Save & Continue until you have reached the last step in figure 118 below.

The screenshot displays the 'Additional Details' page of a contract management system. At the top, there is a navigation bar with tabs for 'Agreement Details', 'Contractor', and 'Supporting Information'. A green success banner at the top left states 'Success: Contract successfully submitted.' Below this, the page title 'Additional Details ①' is followed by two questions: 'Is this contract for lobbying services? *' and 'Is this contract for fundraising services? *', each with 'Yes' and 'No' radio button options. A section titled 'Attachments' lists several documents: 'Appendix A - Scope of Work and Deliverables', 'Contractor's Dated Client List or Advertisements', 'Retroactive Justification', 'Form W-9', 'Past RFCUNY MOU Details', 'Reporting Schedule', 'Sponsor Approval', and 'Other'. Below the attachments is a 'Notes' section with the instruction 'Use this section if you need to submit additional information with your request' and an 'Add Note' button. At the bottom center, a yellow 'Recall' button is highlighted with a circled '2', and a 'Print' button is located to its right.

Figure 118

Allocating Funds from Two or More Projects

This section details the ability to split the total agreement amount among multiple RF projects. There are two ways of completing this. The first is when you are in the process of creating a new contract. The second is when the contract is in the Amendment stages.

Allocating Funds when Creating a New Contract

Once you are in the Subaward section ❶ of the process and have completed the Agreement Amount and Performance you will be in the **Agreement Amount Allocation** section ❷. Here is where you can split the funding between projects. In this example the total amount of the funding is \$4000.00 ❸. We are going to evenly split the \$4000.00 into two projects. The first step is to place \$2000.00 into the **Agreement Amount** box ❹, you will then see the amount balance down to \$2000.00 in the **Amount Left to Distribute** section ❺. Then click on **Add Another Project** ❻. That will open another Project Number and Agreement Amount box located within the brackets ❼. Next, add the Project Number, the Project information will automatically appear as seen in ❷. Then, enter the remaining \$2000.00 in the Agreement Amount. This will bring the balance to zero in the in the **Amount Left to Distribute** section ❺. If you need to Remove or Change Projects, you have those option in this area ❸. You are now ready to click the **Save & Continue** ❾. A green Success banner will appear informing you the funding distribution was successful and you will move into the next section.

Please Note: When splitting funding amount between projects, keep in mind that the Total Agreement Term, the Total Agreement Dates must be always covering the Budgets Period Dates of the accounts without any gaps. If there is a gap, an error message will appear with an explanation to make adjustments.

1 Subaward (CM00003226-00)

Status: Pending PI Approval

[Home](#)
[Subawards](#)
[Pending](#)
[Processed](#)

[\\$ Agreement Details](#)
[Subrecipients](#)
[Supporting Information](#)
[Audit Trail](#)
[Help](#)

3 Agreement Amount

Agreement Amount

\$ 4000.00

Performance

Performance Place

United States

Performance Start

08/24/2021

Performance End

08/31/2021

2 Agreement Amount Allocation

Project Number: 40G25-00 12 [Forward Funding](#)
[Change Project](#)

Project Name: MRI ACQUISITION OF MOBILE ROBOTS

Availability: \$991,000.00
Budget Period: 03/01/2020 - 09/30/2021

Agreement Amount

\$ 2000.00

FAIN Number

e.g. K22NS091312

6 + Add Another Project

7

e.g. \$50001-00 01

Agreement Amount

\$ e.g. 1,000

FAIN Number

e.g. K22NS091312

8 ✖ Remove Project

[Change Project](#)

5

Amount Left To Distribute:

\$2,000.00

9

Save & Continue

Delete

Submit

Print

Principal Investigator

Name: PI TesterPI | BC6

Email: ykiana_rodriguez@rfcuny.org

Phone: 212-417-8367

College: BROOKLYN COLLEGE

[Change Principal Investigator](#)

Figure 119

Allocating Funds when the Contract is Processed

The first step is to go into the **View/Amend Processed** section ❶. Second, click on the **Amendment Icon** ❷, do not check the box. In this example, an Amended Subaward does not exist. We need to create an Amendment in order to add a New Project. After clicking on the Amendment icon, this will open the **Subaward Agreement Details** section ❸ where you can allocate the funds.

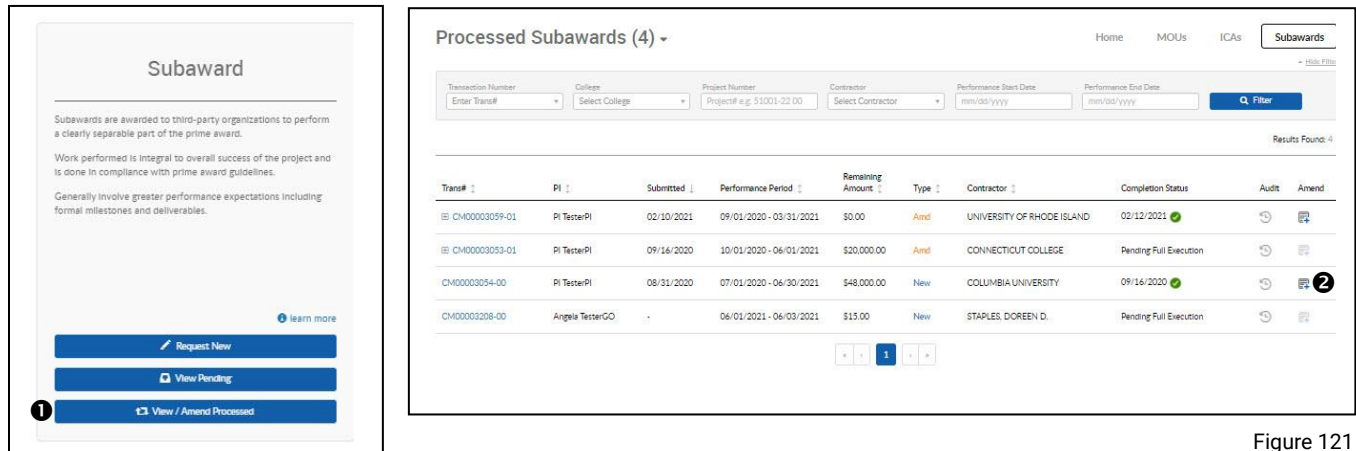


Figure 120

Figure 121

In the Subaward Agreement Details section, you will see that this contract has just been amended once in order to add a New Project. This is indicated by the number zero one at the end of the **Transaction Number** ❹.

In this example, we are subtracting \$5000.00 from the **Starting Agreement Balance** \$48,000.00 ❺ and adding it into a New Project. First, subtract the amount we are deducting by placing -\$5000.00 in the **Amendment** box ❻. We now see the remaining **Subtotal** balance \$43,000.00 ❼. Next, click on **Add Project** ❸ and the **Enter Project Number** box ❽ will appear. Enter the Project Number in the box you wish to allocate the remaining balance to.

The screenshot shows the 'Subaward (CM00003054-01) ❹' page. The 'Status' is 'Pending PI Approval'. The 'Amount Allocation' section shows: Project: 40E96-01 11 | EVOLUTION OF MANDIBULAR, Availability: \$879,185.00 | Budget Period: 02/01/2020 - 06/30/2021. The 'Starting Agreement Balance' is \$48,000.00 ❺. The 'Amendment (+/-):' is \$-5000.00 ❻. The 'Subtotal' is \$43,000.00 ❼. There is an 'Add Project' button ❸. Below, the 'Enter Project Number' box ❽ contains 'e.g. 55001-00 01'.

Figure 122

After entering the Project Number, the Project information will automatically appear ❶. Then, enter the allocated funding amount \$5000.00 in the **Amendment** box ❷. You now see **New Agreement Balance** ❸ matches the **Starting Agreement Balance** of \$48,000.00 ❹. Your options to complete the request are, click **Save & Continue** ❺ or **Submit** ❻.

Subaward (CM00003054-01) Home Subawards Pending Processed

Status: Pending PI Approval

[\\$ Agreement Details](#) [Subrecipient](#) [Supporting Information](#) [Audit Trail](#) [Help](#)

Amount Allocation [View Details](#) [Previous Contracts](#)

Project: 40E96-01 11 ❶ | EVOLUTION OF MANDIBULAR
Availability: \$879,185.00 ❶ | Budget Period: 02/01/2020 - 06/30/2021

❸ Starting Agreement Balance: **\$48,000.00** **❶** FAIN Number: **❶**
Amendment (+/-): **\$-5000.00** e.g. K22NS091312
Subtotal: \$43,000.00

❶ **Project:** 40E96-02 11 ❶ | EVOLUTION OF MANDIBULAR ✖ Remove Project
Availability: \$7,499,500.00 ❶ | Budget Period: 02/01/2020 - 06/30/2021

Starting Agreement Balance: \$0.00 **❶** FAIN Number: **❶**
Amendment (+/-): **\$5000** ❷ e.g. K22NS091312
Subtotal: \$5,000.00 ❸

❹ **New Agreement Balance:** \$48,000.00 [View Details](#)

[+ Add Project](#)

Performance

Performance Place: United States * Performance Start: 07/01/2020 Performance End: 06/30/2021

Principal Investigator [Change Principal Investigator](#)

Name: PI Tester/PI (BC6) | Email: yiciana_rodriguez@rfcuny.org | Phone: 212-417-8367 | College: BROOKLYN COLLEGE

❺ [Save & Continue](#) **❻** [Submit](#)

Figure 123

Please Note: If you click on the same Project Number to distribute the funding, a banner will appear, informing you that there is a duplicate distribution for the same Project. This means you must allocate the funds to a different Project Number.

When splitting funding amount between projects, keep in mind that the Total Agreement Term, the Total Agreement Dates must be always covering the Budgets Period Dates of the accounts without any gaps. If there is a gap, an error message will appear with an explanation to make adjustments.

Notes