

Sponsored Programs Resources

NAME	DESCRIPTION	WEB SITE / TELEPHONE (716)
Sponsored Program Operations	Post award administrative office.	http://sponsoredprograms.buffalostate.edu 878-6700
Administrative Policy Library	Policies Library at Buffalo State	http://adminpolicylibrary.buffalostate.edu/
Accounts Payable/Purchasing	Account Payables, Direct Payments, Purchasing + Requisitions, Travel	http://sponsoredprograms.buffalostate.edu/accounts-payable-purchasing-0 878-4144
Employee Assistance Program (EAP)	Confidential service to help employees cope with personal issues.	http://eap.buffalostate.edu/ 878-6699
Grants Administration	Account establishment & maintenance, compliance review w/ sponsor regulations, cost sharing, effort reporting, billing, reporting	http://sponsoredprograms.buffalostate.edu/grants-management-0 878-5724
Human Resources	Benefits, orientation, payroll, recruitment	http://sponsoredprograms.buffalostate.edu/human-resources 878-4046
Pre-Award & Contract Services	Prospects research funding, submits proposals, maintains relationships w/funders	http://economicdevelopment.buffalostate.edu/pre-award-contract-services 878-3047
Research Compliance	Research Subject protections; Responsible Conduct	http://sponsoredprograms.buffalostate.edu/research-compliance 878-6700, ext. 1
Research Foundation Ethics Hotline	To submit a report of fraud, waste or abuse.	https://www.compliance-hotline.com/rfsuny.jsp 800-670-7225
Research & Economic Development	Assist faculty, staff, & stakeholders to develop & submit compelling, competitive funding proposals	http://economicdevelopment.buffalostate.edu/ 878-5368; 878-4030
Research Foundation Policy Library	Policies Library at Research Foundation Central Office	http://www.rfsuny.org/Policies-Procedures-Forms/
Uniform Guidance	Office of Management & Budget	https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards

Definitions

Fraud: Intentionally and illegally obtaining a benefit. Fraud encompasses an array of irregularities and illegal acts characterized by intentional deception. Ex: Acceptance of bribes or kickbacks; falsification of records, including time sheets or travel records; concealment or misrepresentation of events or data.

Internal Audit: A service unit, provided by the Research Foundation to help the Buffalo State community achieve their goals and objectives. Each audit assignment is an opportunity to work together to improve the effectiveness and efficiency of the campus research operations and to provide some assurance of compliance with the laws, rules, and regulations governing the operation.

Internal Controls: The integration of plans, attitudes, policies, and efforts of the people within an organization working together to provide reasonable assurance that the organization will achieve its objectives and mission. It includes those elements of our day-to-day work activities that help ensure success.

Campus Policy: states the campus's official position on a particular issue and provides guidance intended to determine appropriate decisions and actions.

A campus policy is characterized by all of the following criteria:

- has broad application throughout the campus
- helps ensure compliance with applicable laws and regulations, promotes operational efficiencies, supports the institution's mission and/or reduces institutional risks
- determines actions and constraints
- includes specific requirements for compliance

A policy that does not meet all of the above criteria is a departmental, office, or unit policy.



BUFFALO STATE
The State University of New York

**INTERNAL
CONTROLS
ARE YOUR
RESPONSIBILITY**

PREPARED BY
SPONSORED PROGRAM OPERATIONS

Sponsored Program Operations (SPO) strives to maintain the highest ethical standards in all of its operations; promotes professional conduct among its employees and anyone acting on behalf of SPO/ the Research Foundation and ensures a level of appropriate accountability.

Compliance Check

Questions to ask yourself:

- Have I exercised my responsibility for the day-to-day management of the project?
- Have I lived up to my responsibilities through diligent oversight of my job duties?
- Have I considered how this transaction would be perceived if reported in the newspaper?

Employee

- Fulfilling the duties and responsibilities established in one's job description.
- Meeting applicable performance standards.
- Following steps outlined in approved campus, department, unit or office policies and procedures.
- Taking all reasonable steps to safeguard assets against waste, loss, unauthorized use and misappropriation.
- Reporting breakdowns in internal control systems to your supervisor.
- Refraining from the use of your official position to secure unwarranted privileges.

Additional Responsibilities for Managers

- Maintaining an environment that encourages the design of internal controls.
- Documenting policies and procedures that are to be followed in performing functions.
- Identifying the control objectives for the functions, and implementing cost effective controls designed to meet those objectives.
- Testing the controls regularly to determine if they are performing as intended.

The Purpose of Internal Controls

Internal Controls are actions taken to make sure the right things happen and the wrong things don't.

Internal Controls:

- promote orderly, economical, efficient, and effective operations;
- help to produce quality products and services consistent with the organization's mission;
- safeguard resources against loss resulting from waste, abuse, mismanagement, errors, and fraud;
- Promote—adherence to laws, regulations, and management directives;
- help to develop and maintain reliable financial and management data, and accurately present that data in timely reports;
- impact every aspect of an organization – all of its people, processes and physical structures;
- are woven into the day-to-day responsibilities of managers and their staff;
- incorporate the qualities of good management;
- provide a level of assurance to an organization, but do not guarantee success;
- are dependent upon people and will succeed or fail depending on the attention people give them;
- must make sense within each organization's unique operating environment;
- help an organization achieve its mission.

How to Report Fraud

The Research Foundation and SUNY Buffalo State are committed to ensuring that research, state and other resources are used in a responsible manner in fulfillment of its stated mission. If you have a concern or suspect wrongdoing in the utilization of these resources, please report your suspicions to one of the following:

- Your Supervisor
- Vice President for Finance & Management
Michael F. LeVine
Cleveland Hall 505
1300 Elmwood Avenue
Buffalo, NY 14222-1095
(716) 878-4311
levinemf@buffalostate.edu
- Associate VP, Sponsored Program Operations
Donna L. Scuto
17 Bishop Hall
(716) 878-6700, ext. 5
scutodl@buffalostate.edu
- The Research Foundation Ethics Hotline
<https://www.compliance-helpline.com/rfsuny.jsp>