
ENTITIES APPROVED TO ADMINISTER EXTERNAL FUNDS (POLICY ON)

Category: Research and Institutional Advancement
Responsible Offices: Sponsored Programs Administration
and Institutional Advancement/Development Office

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POLICY SUMMARY

The purpose of this document is to clarify the process through which external funds are received and administered at SUNY Buffalo State (Buffalo State). Appropriate classification and processing of external funds ensure institutional compliance with SUNY and governmental policies, regulations and reporting requirements, and facilitate acceptable levels of accountability and stewardship for these funds.

POLICY

Policy Statement

All requests for external funds from corporations, foundations, or government entities must be requested and processed by either Sponsored Programs Administration or Institutional Advancement.

Funds received from external entities will be made payable to either the Research Foundation for SUNY (RF) or Buffalo State College Foundation (BSCF). Since awards may be made for many of the same purposes, determination of charitable giving or sponsored program status will be made according to the definitions section.

- All applications to prospective sponsors by faculty or staff members seeking support for sponsored programs shall be made through Sponsored Programs Administration on behalf of the RF.
 - Pre-award will submit all proposals related to funding of sponsored programs awarded by issuance of a grant, contract, memorandum of understanding (MOU) or another mechanism deemed appropriate by both the funding entity and the Research Foundation for SUNY. The RF will receive and administer awarded funds for sponsored programs.
 - Sponsored programs are those for which funds are made available for an express purpose or objective, for which the sponsor usually requires periodic fiscal and programmatic reports, imposes time limitations for the use of such funds and ordinarily provides for the return of unused funds to the sponsor.
- Solicitations for voluntary support will be made through Institutional Advancement, including corporate and foundation gifts.
 - The BSCF will receive and administer gifts and grants, bequests, donations, and contributions from individuals, foundations, corporations, and non-profit organizations. Gifts and grants may be received for purposes such as endowments, general support of academic programs or departments, professorships, fellowships, scholarships, building construction/renovation, equipment, technology upgrades, purchase of art, publications, travel and conferences.

Background

In 1977, an [agreement](#) between the State University of New York (SUNY) and the Research Foundation for SUNY (RF) formalized relationships, duties, and responsibilities in regard to sponsored program activities (refer to the definitions). This agreement is the enabling authority for the RF to act as fiscal administrator of the College's research, training and other sponsored funds. The agreement mandates that all federal and state grants and contracts must come through the RF, as well as any private corporation or foundation that is entering into a contractual relationship.

Guidelines were also developed by SUNY for establishing campus-related foundations. These foundations are responsible for administering voluntary support (refer to the definitions) to the campus. According to the Foundation guidelines for State operated campuses, "The Foundation and each of its Affiliates must operate in accordance with sound business practices and shall ensure that:

- Proceeds of campus fundraising are appropriately recorded, credited, acknowledged and administered based on legal requirements and donor stewardship parameters.
- Adhere to principles as defined in the "Donor Bill of Rights" and the Association of Fundraising Professionals' "Code of Ethical Principles and Standards of Professional Practice."
- Adhere to all applicable legal requirements and University procedures when providing fiscal, administrative, and investment functions to the auxiliary services corporations, alumni associations, student government associations and/or the chief administrative officer's fund.
- Ensure appropriate student and faculty participation when assuming the responsibilities of the auxiliary service corporation.

Per SUNY regulations, the following activities should be managed by SUNY Business Offices and through State accounts:

- Instructional and credit-bearing programs;
- Activities that generate revenue from the use of State property (e.g., cell tower leases and pouring rights).

Applicability

The policy applies to all faculty and staff seeking external funding from corporations, foundations or government entities.

Definitions

Sponsored Program Activities -

- The sponsor is a federal, state, or local government agency, a quasi-governmental agency, or a nonprofit organization which receives a majority of its funding from federal, state, or local general revenues;
- The sponsoring agency/organization refers to the award as a contract, cooperative agreement, consortium agreement, sub-grant, subcontract, or purchase order;
- The funds are awarded by the agency, organization, or individual following a competitive application or bid process;

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- The funds are awarded as matching funds for a project funded by a governmental agency, a quasi-governmental agency, or a non-profit organization which receives a majority of its funding from federal, state, or local general revenues;
- The sponsoring agency/organization specifies that the funds are to be used for research, a model project, program development and/or operation, curriculum development, training, community service, planning, or some other specific activity and identifies a specific scope of work;
- The funds are provided by the sponsoring agency/organization to cover the cost of performance of a specified scope of work or set of activities or to provide a specific product, service, or other deliverable or outcome within a specified period of time;
- The sponsoring agency/organization identifies a technical monitor for the purpose of monitoring performance and providing liaison between the sponsor and Buffalo State College;
- The sponsoring agency/organization imposes publication restrictions and/or requires conveyance of rights to tangible property (equipment, records, technical reports, theses, or dissertations) or intangible property (rights in data, copyrights, or inventions) resulting from the funded project;
- The project or activity funded by the sponsoring agency/organization involves the use of humans or animals in research, radiation hazards, biohazards, or recombinant DNA;
- The sponsoring agency/organization specifies how funds will be used or includes a line item budget that identifies expenses by activity, function, or project period;
- Conduct of the funded activity requires regular payment of Buffalo State employees for a specific scope of work or set of activities through a payroll system;
- The sponsoring agency/organization requires detailed line-item financial reports and/or invoices which document expenditures for the specific scope of work or set of activities performed;
- The sponsoring agency/organization specifies audit requirements as a condition of award;
- The sponsoring agency/organization stipulates other terms and conditions of award dealing with such topics as compliance with federal or state regulations, allowable and unallowable costs, subcontracting, insurance, warranties, indemnification or hold harmless requirements, protection of proprietary or confidential information, modifications, penalties, remedies, termination, applicable governing law, and assignment.

Charitable Giving/Grants -

- The contributing organization/individual donor refers to the funds as a gift, grant, bequest, donation, or contribution to the BSCF and the funds are given voluntarily without expectation of any tangible compensation to the funder;
- The funds are contributed for an unrestricted purpose or for supporting such activities as endowments (eminent scholars, endowed chairs, professorships, etc.), capital projects (construction or renovation, equipment, etc.), or general student financial assistance (fellowships and scholarships);

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- Reporting to the contributing organization/individual conforms with the requirements of the contributing organization/individual;
- The sponsoring agency/organization specifies that the funds are to be used for research, a model project, program development and/or operation, curriculum development, training, community service, planning, or some other specific activity and identifies a specific scope of work;
- The funds are provided by the sponsoring agency/organization to cover the cost of performance of a specified scope of work or set of activities or to provide a specific product, service, or other deliverable or outcome within a specified period of time;
- The sponsoring agency/organization specifies how funds will be used or includes a line item budget that identifies expenses by activity, function, or project period;
- Conduct of the funded activity requires regular payment of Buffalo State employees for a specific scope of work or set of activities through a payroll system;
- Gifts may also be for scholarships, fellowships (except those fellowships funded by a research grant) and student awards.

Responsibility

Faculty/Staff Seeking Funds from an External Entity – work with the appropriate office (Sponsored Programs Administration or Institutional Advancement) when seeking external funds. Ensure that all applications, requests for funds, or agreements are signed by an authorized campus representative.

Deans/Chairs - approve only those funding requests that have been developed in consultation with either Sponsored Programs Administration or Institutional Advancement office.

Institutional Advancement – assist with the development of all proposals and budgets related to the grant or gift; help identifying funders and approving submission; review and submit all requests for gifts, donations, and contributions from individuals, foundations, corporations, and non-profit organizations. Administer such funds when received.

Sponsored Programs Administration (SPA) – assist with the development of all proposals and budgets related to the funding of sponsored projects; submit all proposals related to funding of sponsored programs awarded by issuance of a grant, contract, memorandum of understanding (MOU) or another mechanism deemed appropriate by both the funding entity and the Research Foundation; accept and administer all awards received for the purpose of funding sponsored projects.

PROCEDURE

The following statements provide general guidance for the classification of sponsored project and charitable giving. Actual classification will be determined according to the definitions.

- All sponsored project applications by Buffalo State faculty or staff members seeking support for research programs shall be made through Sponsored Programs Administration. SPA will administer sponsored projects awarded by issuance of a grant, contract, MOU or another mechanism deemed appropriate by both the funding entity and the Research Foundation for SUNY.

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- All grant applications to foundations other than government foundations or those for research will be submitted through the office of Institutional Advancement. The Buffalo State College Foundation will receive and administer gifts, grants, donations, and contributions from individuals, foundations, corporations, and non-profit organizations. Gifts may be received for purposes such as endowments, general support of academic programs or departments, professorships, fellowships, scholarships, building construction/renovation, equipment, technology upgrades, purchase of art, publications, travel and conferences.

Use the appendix "Quick Reference Summary" defining Sponsored Awards vs Gifts document to determine whether Sponsored Programs Administration or Institutional Advancement is the appropriate unit assist with the request for external funding being sought.

RELATED INFORMATION

Related Links

[1977 Agreement between State University of New York and The Research Foundation for State University of New York](#)

[SUNY Foundation Guidelines](#)

CONTACT INFORMATION

Office Name: Sponsored Programs
Administration
Office Address: 1300 Elmwood Ave
Buckham Hall, Room B206
Phone: 716-878-3047
Fax: 716-878-4039
Website: rsp.buffalostate.edu
Email: rftcomm@buffalostate.edu

Office Name: Institutional Advancement
Office Address: 1300 Elmwood Ave
Cleveland Hall, Room 511
Phone: 716-878-4508
Fax: 716-878-5300
Website: giving.buffalostate.edu
Email: rudnicmy@buffalostate.edu

APPROVAL: President's Cabinet, 10/31/2017

Appendix

Buffalo State College
Defining Sponsored Awards vs Gifts
Quick Reference Summary

Purpose: this document is meant to serve as a complementary table to the Policy on defining Sponsored Awards vs Gifts and as a reference in the event of questions. The table highlights general characteristics of these two funding categories.

In the event of questions, please contact the Sponsored Programs Administration at 716-878-3047, or Institutional Advancement at 716-878-4508.

	Gift	Sponsored Award
Benefit received by funder from activities funded	Serves the primary business, mission, philanthropic or personal interest of funder.	Serves the primary business or mission interest of the funder, whose basic activities are integrally related to the research plan-benefit received.
Specificity of intent of funder	Funder seeks advances in a general area of research or education; or seeks advances in a specific area, and may prescribe specific strategies or work plans.	Funder seeks implementation of a specific research or education plan, with well-defined objectives, strategies, work plans and /or deliverables
Value exchanged	Funder expects and receives implementation of, and a report of, the Institution's funded activities. Funder essentially receives no personal or institutional value in return for the funds given, other than intellectual satisfaction that the activities have been undertaken. Deliverables may be provided.	Funder expects and receives implementation of, and a report of, the Institution's funded activities; funder's own mission and/or research agenda is advanced through the Institution's funded activities. Deliverables provided as per original contract with the funder.

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	Gift	Sponsored Award
Scope of work	More generally defined; typically no time frame or period of performance.	More specifically defined with a clear period of performance.
Persons performing funded activities	Often left to discretion of Institution, school, department or one named individual.	Key personnel (or the equivalent project leadership team) are named in proposal, and changes to key personnel must be pre-approved by funder.
Budget specificity and restrictions	Budgeting is general in nature and terms, and funder pre-approvals are not required as long as funds are used for the stated purpose.	Budgets are specific, and variances from proposed budgets (within designated parameters) require funder preapproval.
Progress reports	May be required but are most often general in nature and content.	Required, and must outline progress toward the specific research or project plan.
Terms of funding	Less detailed	Often detailed, with standard, detailed terms and conditions for all funding from that sponsor
Ability of funder to recoup funds	Generally very difficult to recoup, except in cases of deliberate, proven use of restricted funds inconsistent with terms of a restricted gift	Established ability of funder to terminate the agreement and/or demand repayment of funds, if specific research or project plans have not been implemented
Method of documentation	Binding (often signed) agreement between the Institution and funder, binding the Institutions to implement specific project plans	Binding (often signed) agreement between the Institution and funder, binding the Institutions to implement specific research or project plans