

STATE UNIVERSITY OF NEW YORK AT NEW PALTZ

**RECEIPT AND ADMINISTRATION OF EXTERNAL FUNDS:
DEFINING SPONSORED PROJECTS AND CHARITABLE GIVING**

I. Purpose

The purpose of this document is to clarify the process through which external funds are received and administered at SUNY New Paltz. Appropriate classification and processing of external funds ensures institutional compliance with SUNY and governmental policies, regulations and reporting requirements and facilitates acceptable levels of accountability and stewardship for these funds.

II. Introduction

In 1977, an agreement between SUNY and the Research Foundation of SUNY formalized relationships, duties, and responsibilities in regard to sponsored program activities (refer to the definitions in Sections III and IV below.) This agreement is the enabling authority for the Foundation's acting as fiscal administrator of the University's research, training and other sponsored funds. The agreement was approved by the State Director of the Budget, the Comptroller and Attorney General and was filed with the appropriate legislative committees.

Guidelines were also developed by SUNY for establishing campus-related foundations. These charitable foundations are responsible for administering voluntary support (refer to the definitions in Sections III and IV below) to the campus. The guidelines stipulate, "Approval shall not be available for the administration of sponsored programs for which the Board of Trustees has designated the Research Foundation of State University of New York as fiscal administrator..."

III. Summary

The following statements provide general guidance for the classification of sponsored projects and charitable giving. Actual classification will be determined according to the definitions found in Section IV.

All applications to prospective sponsors by faculty or staff members at SUNY New Paltz seeking support for sponsored programs shall be made by the University through the Research Foundation of SUNY via the Office of Sponsored Programs.

Sponsored projects 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 reversion of unused funds to the sponsor.

Solicitations for voluntary support will be made through the Director of Development for administration through the SUNY New Paltz Foundation.

The Foundation will receive and administer gifts, bequests, 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. Since sponsored project awards may be made for many of the same purposes, determination of charitable giving or sponsored project status will be made according to the definitions in Section IV.

Definitions

SPONSORED PROJECTS

Awards are considered sponsored projects when **ONE OR MORE** of the following criteria apply:

- * The sponsor is a federal, state, or local government 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 organization is a foundation, corporation, or non-profit organization and refers to the award as a grant to be used for purposes other than endowment, professorships, fellowships, scholarships, building construction/renovation, and equipment;
- * The sponsoring agency/organization refers to the award as a contract, cooperative agreement, consortium agreement, subgrant, subcontract, or purchase order;
- * The funds are awarded by the agency, organization, or individual following a competitive application or bid process;
- * 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 SUNY New Paltz;
- * 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 indicates that the funds are for support of the work of a particular faculty member or administrator when that faculty member or administrator or an immediate family member or business partner of that faculty member or administrator has a financial interest in the sponsoring agency/organization;
- * The sponsoring agency/organization will have access to and authorization to utilize SUNY New Paltz facilities and/or other campus resources;
- * 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 SUNY New Paltz 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;
- * Funds are collected from the sponsoring agency/organization on a cost reimbursement basis contingent upon programmatic and fiscal reporting unless they are challenge gift funds which are drawn down periodically as matching funds are obtained;
- * The sponsoring agency/organization requires the return of unexpended funds at the conclusion of the funded project;
- * The sponsoring agency/organization specifies audit requirements as a condition of award; **AND/OR**
- * 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

Funds received and administered by the SUNY New Paltz Foundation will meet the following criteria:

- * The contributing organization/individual donor refers to the funds as a gift, bequest, donation, or contribution to the SUNY New Paltz Foundation and the funds are given voluntarily without expectation of any tangible compensation;
- * 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);
- * The contributing organization/individual imposes no contractual requirements, written or oral;
- * Reporting to the contributing organization/individual is required only in the form of a general statement of how funds were used; **AND**
- * Funds are awarded irrevocably.

Note: SUNY New Paltz acknowledges the College of Charleston (Academic Affairs General Policy Manual) for detailed definitions of sponsored projects and charitable giving.