



Personnel Functions and Responsibilities

Policies and Practices

Documents in this business area have been developed to ensure consistent application of the Research Foundation's policies and practices. Compliance with these policies and practices will be subject to audit review. The provisions are not conditions of employment and can be modified, revoked, or changed at any time without notice. Nothing in these documents is intended, nor is it to be construed, to constitute an employment contract between the Research Foundation and any of its employees.

Personnel Function

The Agreement between the State University of New York (SUNY) and The Research Foundation (RF), June 1, 1977, states that "[t]he Foundation's functions...shall include its employment of research and other personnel necessary for the conduct of the program, who shall be deemed to be employees of the Foundation and not the University (unless otherwise employed by the University)...."

As the employer, the Research Foundation, a private, nonprofit corporation, is charged with personnel responsibilities including staffing and recruitment, compensation and benefits programs, general personnel administration, and employee relations and development. In performing these functions, the Foundation is subject to all federal and state laws that apply to private employers.

Research Foundation's Responsibilities by Agreement with the State University of New York

The Research Foundation is responsible for developing policies and procedures affecting Foundation employment unless a specific agreement between the Foundation and State University of New York requires the Foundation to adopt a SUNY policy as its own. The most important examples are found in the June 1, 1977, agreement, including the statement that "[t]ravel expenses shall conform to rules promulgated by the State Comptroller for State employees." That agreement also mentions the "...consent by the University to the utilization of University facilities and services by the Foundation, the project director, and project staff...." Thus, personnel issues based on facilities use must be coordinated between the Foundation and the University.

Key RF Internal Controls

The two key Research Foundation internal controls for personnel processing are review and approval of personnel transactions and accurate data input.

Review and Approval

Personnel appointments, termination of employment, and changes in conditions of employment, including changes in title, salary, percent of time, and standard workweek, require the review and approval (indicated by signature on the appropriate document) of the project director or co-project director, the Research Foundation operations manager or delegate, and one or more additional administrative officials as required. Appointments also require the signature of the employee or fellowship recipient, as do terminations, where feasible.

Time reporting, which is accomplished by an employee completing either an attendance report or an exception report, requires the signature of the employee and the direct supervisor.

Accurate Data Input

Data that have been input to the Research Foundation System for personnel processes must be accurate. Processes are established by the operating location to ensure that the data are input accurately, reviewed, and monitored. The computerized business system has been designed to produce a broad spectrum of monitoring reports to allow for timely correction of other errors.

RF Organizational Structure

The Research Foundation director of Employee Services is responsible for corporate personnel oversight and control, which include:

- establishing and disseminating Research Foundation policies and procedures pertaining to the personnel function to the appropriate operating location officials.
- providing information and assistance to operating locations relating to the personnel function.
- ensuring the integrity of the computerized business system.

Each Research Foundation operations manager is responsible for the day-to-day management of the personnel function at the location. These responsibilities include:

- reviewing all personnel activity to ensure that it complies with Research Foundation policies and procedures, sponsor policies, and State University of New York policies where required by the agreement between the Research Foundation and SUNY.
- inputting, reviewing, and maintaining all personnel data in the computerized business system.
- acting as the office of record for personnel information by maintaining, and when appropriate, disposing of files.