



December 3, 2021

TO: The College Community

FROM: Dr. David A. Heath *DAH*
President

RE: Internal Control & Enterprise Risk Management Program

The New York State Governmental Accountability, Audit and Internal Control Act, Chapter 510 of the Laws of 1999, requires that all NYS agencies, including SUNY, institute a formal internal control program. This system of internal controls is designed to assure that the University and its campuses meet their mission, promote performance leading to effective accomplishment of objectives and goals, safeguard assets, check the accuracy and reliability of financial and other key data, promote operational efficiency and economy, and achieve adherence to applicable laws, regulations, guidelines, and prescribed managerial policies, procedures, and practices.

Further, on June 16, 2015, SUNY's Board of Trustees adopted an Enterprise Risk Management Program (ERMP). This program recognizes that SUNY and its campuses are subject to a number of risks including strategic, financial, operational, compliance and reputational and is committed to implementing and utilizing an ERMP for identifying, assessing and managing risks and opportunities to effectuate the achievement of the University's goals and objectives.

Having programs and activities in place that ensure compliance with the above requirements is the responsibility of our Internal Control Officer, David Bowers, Assistant ICO, Gaea Austin and the Internal Control & Enterprise Risk Management Committee (Committee) chaired by Maureen Morley. This Committee is fully representative of all elements of the College and meets on a monthly basis to conduct regular business as well as prepare for two annual certifications of compliance that go to SUNY System and then to the NYS Comptroller and Division of the Budget.

One of the fundamental components of a successful program of internal control and enterprise risk management is "tone at the top." Without strong top-down support, coming from the organization's CEO, VPs, department heads and unit managers, compliance issues may weaken or be overlooked. Therefore, the purpose of this memo is to reaffirm my full support to our Internal Control & Enterprise Risk Management Program and ask for your cooperation with the Committee and its efforts.

Thank you for your help and cooperation.

cc: President's Council