***WHO* IS REQUIRED TO REPORT?**

● Any SUNY employee who is a decision-maker or who advises decision-makers must report

any “appearances” with non-government firms and/or individuals

● It does not matter who initiated the appearance

● Must report regardless of location or lack of formality

● Multiple meetings regarding the same matter must be reported separately

● **ALL** participants at the meeting have to be listed. Then decide who is going to report to the

Institutional Compliance & Ethics Department (Loretta Harris-Stickane)

***WHAT* IS AN APPEARANCE?**

● Any *in-person or video-conference* between a NYS entity and an outside party

● Cost of service/good would or could equal more than $25,000

● Meeting is meant to have an impact on SUNY’s decision-making process

***WHO/WHAT* IS EXEMPTED FROM REPORTING?**

● Medical Practitioners at SUNY medical institutions do not need to report UNLESS they are

acting in the capacity as a SUNY administrator

● Existing contracts UNLESS changes are being made

● Conferences/Expos/Webinars

● Research Foundation

● Emergency Procurements

● Restricted RFP Process

● Public Meetings

● Appearances with Other State/Government Agencies

**REPORTING TIME-FRAME?**

● The Institution must report the appearance within 5 days of the meeting to the NYS

Database. **You must submit this information to Loretta Harris within 24 hours of your**

**meeting** to allow the Compliance & Ethics Department to compile the information to report

to the state within the mandated timeframe

● Use the Project Sunlight template found on the Upstate Compliance website to report the appearance(s) to the Loretta Harris in the Compliance Office

**QUESTIONS?**

Contact Loretta L. Harris -Chief Ethics, Compliance & Conflict of Interest Officer

(315) 464-4343 or [harrislo@upstate.edu](mailto:harrislo@upstate.edu)

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