



**Policy and Procedure: Whistleblower Protection**

**Procedure Number: W-2** **Page: 1 of 2**

**Effective Date: 12/19/2014** **Revised: 1/5/2026**

**Last Reviewed: 1/5/2026**

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## **Policy**

The College of Optometry respects each employee's right to voice concerns about what they feel is a violation of law, rule, regulation, gross mismanagement, abuse of authority, gross waste of funds, or a substantial and specific danger to public health or safety. It is the policy of SUNY College of Optometry that employees and individuals who lawfully report suspected fraud, waste, or abuse shall not suffer discharge, demotion, suspension, threats, harassment, discrimination, or other forms of retaliation for making such reports in good faith. This is referred to as Whistleblower Protection. All members of the SUNY College of Optometry community are expected to promptly report any known or suspected fraud and/or irregularities.

## **Types of Activities Covered**

For the purpose of this policy and procedure, fraud and/or irregularities includes activities that are (1) a misappropriation of assets; (2) in violation of or non-compliance with any SUNY, New York State, or federal law, regulation, policy or procedure; (3) economically wasteful; (4) an indication of gross misconduct or incompetency; or (5) an unethical, improper, or dishonest act. Examples of conduct covered by this policy include, but are not limited to, the following:

- Theft of any State or SUNY asset including, but not limited to money, tangible property, trade secrets or intellectual property;
- Misappropriation, misapplication, destruction, removal, or concealment of State or SUNY property;
- Fraudulent or otherwise deceptive financial reporting;
- Credit card and travel expense fraud;
- False claims;
- Bribery, kickbacks, bid rigging, and conflicts of interest; and,
- Fraudulent or abusive billing of services.

## **Process for Reporting Detected or Suspected Fraud and Irregularities**

All members of the UEC are expected to report any known or suspected fraud or irregularities. Generally, an individual may discuss the concern directly with a supervisor. However, if the individual is not comfortable speaking with the supervisor or if the individual is not satisfied with the supervisor's response, the individual may report the concern directly to the Compliance Officer at (212) 938-5882 or by email: [compliance@sunyopt.edu](mailto:compliance@sunyopt.edu) or (888) 906-6777. Anonymous concerns/complaints may be made in writing addressed to the Compliance Officer, University Eye Center, 33 West 42<sup>nd</sup> Street, NY, NY 10036. In addition, concerns/complaints may also be made to: the Director of Human Resources, the Vice President for Clinical Administration, the College President or SUNY's System Administration fraud hotline.

Individuals who want to report suspected fraud or irregularities directly to SUNY System Administration may utilize the fraud hotline maintained by the Office of the University Auditor. These individuals may report in the following ways:

<https://system.suny.edu/universityauditor/report-fraud/>  
Email: [university.audit@suny.edu](mailto:university.audit@suny.edu)  
Fax: (518) 320-1564  
Voice mail: (518) 320-1539 (518) 320-1539  
Mail: University Auditor, State University Plaza,  
Albany, NY 12246

## **Training**

Whistleblowing protection will be included in the UEC annual training program.

## **References**

SUNY System [Compliance Initiative Website - Fraud Policy and Procedure Webpage](#).

[New York State Labor Law § 740, Retaliatory personnel action by employers; prohibition.](#)  
(whistleblower protection)

[New York State Civil Service Law § 75-b, Public Sector Whistleblower Law.](#) (whistleblower protection)

[Public Officers Law Section 73-a - Financial Disclosure | NYS Legislative Ethics CommissionP](#)

[N.Y. Public Officers Law Section 73 – Business or professional activities by state officers and employees and party officers \(2025\)](#)

[Public Officers Law Section 74- Code of Ethics](#)

[Compliance and Business Integrity \(CBI Program\), Policy C-7](#)