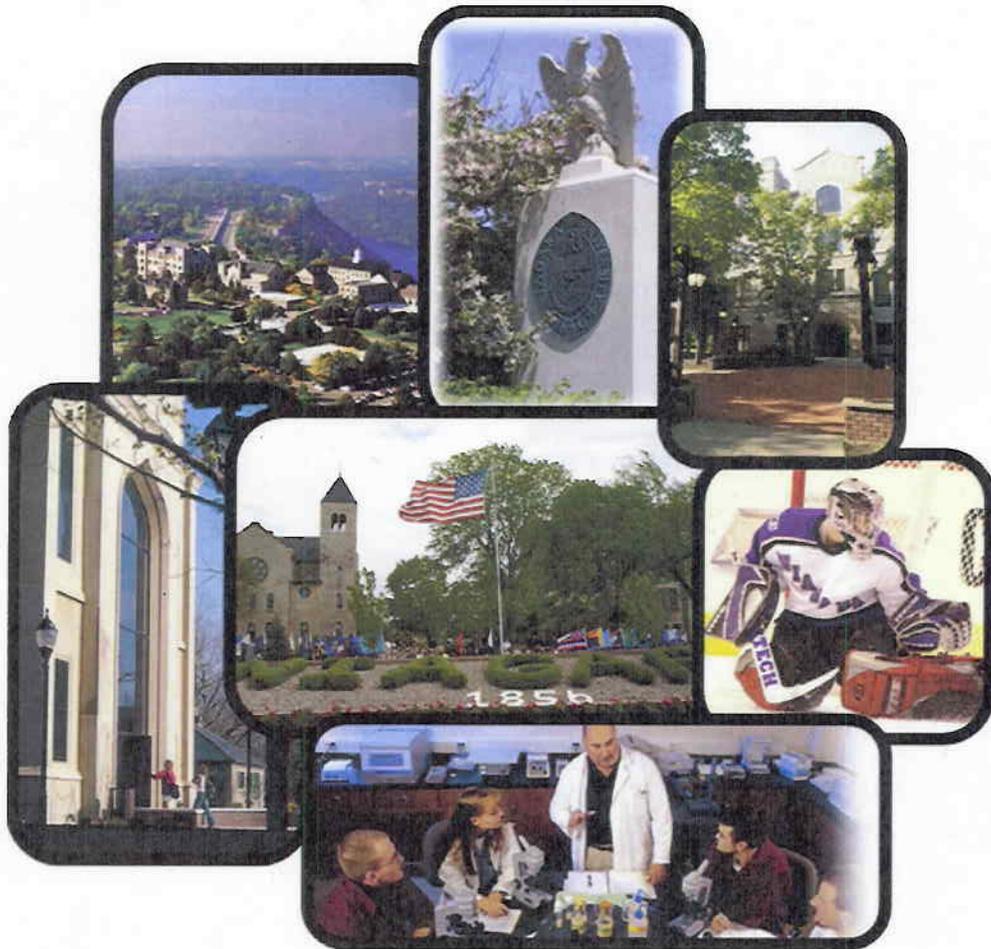


NIAGARA UNIVERSITY

*5795 Lewiston Road
Niagara University, NY 14109*



CAMPUS PLAN *for designation of* **START-UP NY Tax-Free NY Area(s)**



Office of the President

December 19, 2014

Mr. Kenneth Adams
President and CEO
Empire State Development
633 Third Avenue, 3151 Floor
New York, NY 10017

Dear Mr. Adams:

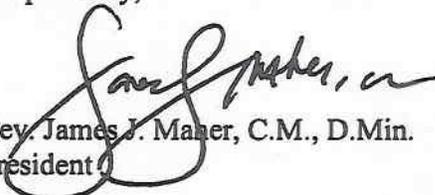
On behalf of Niagara University's Trustees, administration, faculty, and students, please accept this application consisting of the proposed campus plan, and supporting documents, requesting Niagara's designation as a partner with the START-UP NY program.

Proposed Tax-Free NY Areas, as described in these documents, are wholly owned by Niagara University and are located on the university's campus. No departments or programs were relocated in order for the designated spaces to be available for this application. Further, the proposal, attachments, and supporting information submitted are accurate and complete to maximum extent possible.

Niagara University's Board of Trustees is in full support of the submission of this campus plan and looks forward to a favorable response.

Thank you for your consideration.

Respectfully,



Rev. James J. Maher, C.M., D.Min.
President



Office of the President

**NIAGARA UNIVERSITY
CERTIFICATIONS AND ASSURANCES RELATED TO
START-UP NY CAMPUS PLAN**

Attestation regarding application accuracy and completeness.

Per START-UP NY guidelines, I hereby attest that the proposal, attachments, and supporting documents are accurate and complete to maximum extent possible.

Certification of compliance regarding anticompetitive behavior.

Per START-UP NY guidelines, I hereby certify that Niagara University intends to comply, and has outlined a process to comply, with the Commissioner's rules and guidelines on anticompetitive behavior made pursuant to section four hundred forty-two of this Article 21 of the Economic Development Law, including certifications by the Sponsor and/or business of efforts to check for local competitors (see regulations, Section 220.10(d)(iv)(H)).

Attestation that the proposed Tax-Free NY Area has not been financed with tax-exempt bonds.

Per START-UP NY guidelines, I hereby certify that Niagara University's proposed Tax-Free NY Area(s) has/have not been financed with any tax-exempt bonds, and that designation of the Tax-Free NY Area(s) will not jeopardize or conflict with any existing tax-exempt bonds used to finance any property of Niagara University.

Certification related to relocation or elimination of programs, offices, facilities, or other spaces that actively serve students, faculty or staff in order to create vacant land or space to be designated as a Tax-Free NY Area.

Per START-UP NY guidelines, I hereby certify that Niagara University has not relocated or eliminated any academic programs, administrative programs, offices, housing facilities, dining facilities, athletic facilities, or any other facility, space or program that actively serves students, faculty or staff in order to create vacant land or space to be designated as a Tax-Free NY Area.

Signed:



Rev. James J. Maher, C.M., D.Min.
President
Niagara University

December 19, 2014
Date



REQUIRED CAMPUS PLAN ELEMENTS

1. Campus Name, Contact Person and Address

Primary Contact:

Rev. James J. Maher, C.M., D.Min.
President
Office of the President
Niagara University
5795 Lewiston Road
PO Box 2015
Niagara University, NY 14109-2015

Secondary Contact:

Ms. Mary Borgognoni
Associate Vice President Operations/Outreach
Office of the Executive Vice President
Niagara University
5795 Lewiston Road
PO Box 2023
Niagara University, NY 14109-2023

2. Identification of the space and/or land being designated that includes the following:

- a. **Digital files containing Polygon shapefile that delineates campus area;**

On Campus Area: Please see ATTACHMENT A

- b. **Digital files containing Point shapefile that provides locations of vacant space targeted. (Point shapefile must include a unique identifier for each feature);**

On Campus Area: Please see ATTACHMENT B

- c. **A chart (electronic excel spreadsheet) that includes name of city, town or village as well as street address and zip code where vacant property is located; a unique identifier; name of property owner; type of property; parcel ID# (if applicable and available); vacant Building name/number; type of vacant space; total square footage of vacant space or acreage of land, any geographic information system (GIS) maps of showing existing streets, natural boundaries and other physical features of the property, and description of vacant space (template provided in electronic form).**

On Campus Area: Please see ATTACHMENT C

The on-campus space for which Niagara University seeks designation includes 9,409 square feet of currently vacant space in DePaul Hall over three floors (basement, first, second floors). DePaul Hall was the home of the science departments at Niagara University prior to the official opening of the B. Thomas Golisano Center for Integrated Sciences in 2013. In addition, the university seeks designation of 15,000 square feet of developable land available on campus within a 21.97 acre parcel within the southeastern quadrant of campus. This vacant land is directly off the newly enhanced entrance to campus off Witmer Road (NY Route 31) with direct I-190 access two exits from the Canadian border crossing at the Lewiston Porter International Bridge. Therefore the total request equals 24,409 square feet on campus.

3. **A description of the type of business or businesses that the campus is intending to be located on the area to be designated.**
 - a. **Include a description of the academic mission of the Sponsor and how the anticipated businesses will align with or further the academic mission of the campus or university. In assessing how a tax-free business aligns with the mission of a campus or university in knowledge creation, knowledge diffusion, and formation of values, the university or campus may consider these factors or a combination thereof in its consideration to sponsor the tax-free business: Comprehensive undergraduate, graduate education and professional education Research Leadership Diversity Culture Regional economic development Internship and training opportunities Direct job opportunities for campus graduates Internationalization Specific area specialization of the campus (health care, IT, ceramics, business education, professional and vocational postsecondary programs etc.) Any other factors which the university or campus deems to be appropriate in determining the alignment of mission to the business.**

Niagara University (Niagara) is a liberal arts university in the Vincentian and Catholic traditions. Basic to its academic, co-curricular and extracurricular programs, is the conviction that the students need to be prepared for productive roles in society and, also, to be provided with the opportunity to fulfill their intellectual, physical, emotional and spiritual potential. Niagara's four Colleges offer courses and directed experiences on campus and in the community (regional and global) that equip students for a wide variety of professions and careers. A broadly based, integrated program of liberal arts and sciences courses, supported by extracurricular activities, is designed to supply holistic education.

Mission: The institution's mission statement reads, "Niagara University educates its students and enriches their lives through programs in the liberal arts and through career preparation, informed by the Catholic and Vincentian traditions."

The mission is realized through four enabling goals:

- As a university, Niagara prepares its students for positions of responsibility in the professions and in the broader society. Through teaching, research and service in programs of study at the baccalaureate and graduate levels, Niagara seeks to develop within its students a passion for learning;
- Niagara's commitment to the Catholic faith provides perspective in the search for truth and meaning. Catholic doctrine and its moral code inspire respect for the God-given dignity of

every person and all faith traditions. Students experience the vision and reality of a gospel-based, value-centered education.

- As a Vincentian university, Niagara draws inspiration from St. Vincent de Paul, who organized his contemporaries to respond compassionately to people's basic needs. Continuing this tradition, Niagara seeks to inspire its students to serve all members of society, especially the poor and oppressed, in local communities and in the larger world.
- Overall, through its curricular and extracurricular programs, Niagara seeks to develop the whole person, mind, body, heart, and soul, for the benefit of one's personal and professional life.

This mission is further clarified through the university's Academic Vision, "Informed by its Catholic heritage and inspired by the spirit of St. Vincent de Paul, Niagara is engaged in educating the whole person, and recognized for excellence and leadership in liberal arts and professional education that 'makes a difference.'"

Future Vision of Excellence: Pursuit of Niagara University's future vision of excellence has been initiated through a thoughtful and vibrant dialogue of broadly representative University constituencies convened by President Maher through listening sessions during his inaugural 2013-2014 year. Informed by the University Mission and articulated at a 2014 Fall Community meeting, and the Future Vision of Excellence provides a desired destination in 2020 and will be realized through the accomplishment and strategic goals in a new Strategic Plan to be implemented in 2015.

The following bullet points comprise the future vision of excellence as expressed by Father Maher at the Fall 2014 University Community Meeting:

- Niagara University is a vibrant, strong institution, recognized for academic excellence and student engagement.
- As a premier institution of higher education in WNY and Southern Ontario, Niagara has outstanding student outcomes and proven track record of excellence, is a leader in regional economic and social development, and is a strong collaborator with other institutions working toward shared goals.
- Niagara is nationally recognized for engagement of students, service learning and global focus, and we partner well with other Vincentian institutions.
- Niagara's student population is diversified with students from across the U.S. and Canada, and from around the world, and our students graduate as well-prepared global citizens.

Integration with the Regional Community: Niagara recognizes its position in the local community as an employer, neighbor and resource; and feels obligated to place considerable facilities and assets to work for neighboring groups and individuals, to whatever extent is feasible. The university hosts thousands of visitors each year for athletic events, conferences, theater productions, exhibits and events at the Castellani Art Museum, lectures and other public gatherings. NU welcomes people from near and far in over 70,000 visits to campus annually.

The university is an economic force in Niagara County, both as employer and generator of \$207 million in annual economic impact, based on recent data compiled by the Center for Governmental Research.

Tradition gives Niagara its unique identity. It was founded in 1856 by the Vincentian Fathers, who take their name from their founder, Vincent de Paul; a 17th century French priest who had a special dedication to the poor. Niagara seeks to instill in its students a deep concern for the rights and dignity of the human person, especially the poor, suffering, disabled, and outcast.

The Niagara community is proud of the pervasive commitment to serving the community through service, and active engagement around poverty and community social issues. This core value is the one constant source of accomplishment that is not only recognized on campus, but which has been noticed by external visitors, consultants, and accreditation evaluators. As stated in a 2012 campus mission audit, outsiders notice that "we get it." Niagara was among 100 university/universities recognized nationwide by The Templeton Foundation for offering programs that inspire students to lead ethical and civic-minded lives.

Further, Niagara University is preparing its next multi-year plan for implementation in 2015. The university has chosen to align, in part, the plan with the **strategic investment areas** of the NYS Regional Economic Development Council (REDC), for instance:

- Niagara will be aligning its global reputation in **hospitality and tourism** management with tourism as a main driver of the regional economy, thereby establishing NU as the thought leader and action catalyst within the region and ahead of other institutions locally, regionally, and globally, particularly with the Global Tourism Institute.
- The University also will be seizing opportunities to grow and build upon assets in the **health and life sciences** sector by expanding its excellence in nursing, and a leadership in developing programs that prepare students for excellent positions within emerging health care sectors.
- Niagara will ensure that programs such as logistics and information/cyber security are effectively aligned with the **advanced manufacturing / advanced technology sector** this will create clear marker niches for NU aligned with strengths.

Niagara University intends to work to attract businesses in these listed areas and, through the on-campus review and approval process, will work to ensure that they are eligible business types and not prohibited per START-UP regulations §220.6 (b)(1). Niagara understands that the broad category hospitality-related businesses is excluded, however, the businesses that the university hopes to attract are technology-related and aligned with the tourism and hospitality industry as a catalyst for economic development. With respect to life sciences, the intention is to attract businesses that conduct research or development of pharmaceuticals or devices and will not include any prohibited businesses such as those providing direct or indirect patient care.

In keeping with a Catholic and Vincentian identity, a key element of the regional and community impact will continue to be leadership in diagnosing and addressing root cause of poverty in WNY. Niagara plans to collaborate with academic and commercial institutions throughout the Western New York region and State of New York as a whole, so as to fully realize the potential of the START-UP NY program. Collaborations with other public and private institutions are paramount to economic development in the region. Thus, Niagara University welcomes all eligible businesses whose mission and activities align with or further the academic mission of Niagara University and whose work will create positive community and economic benefits. In addition, Niagara University will particularly seek businesses whose presence will:

- Enhance comprehensive undergraduate, graduate education and professional education on our campus in in our region;
 - Contribute to research in fields of STEM, logistics, hospitality, tourism, and educational leadership;
 - Who will aid Niagara’s commitment to nurturing and benefitting from cultural, economic, and other forms of diversity;
 - Enhance our commitment to cultural and community development working with our faculty and outreach efforts in the arts and sciences;
 - Boost already significant contributions to regional economic development;
 - Provide internship and training opportunities to NU students;
 - Direct job opportunities for campus graduates;
 - Contribute to Niagara’s growing commitment to globalization; and/or,
 - Enhance specific areas of specialization of the campus (nursing, healthcare administration, business, education, professional, providing opportunities to veterans, and other broad areas of interest for the campus and regional community).
4. **A description of how participation by the types of businesses sought to occupy space in the campus tax-free zone would generate positive community and economic benefits.**
- a. **The criteria which a university or campus may use in establishing how a business would have a positive community and economic benefits may include the following: Increased employment opportunities; Opportunities for internship, vocational training and learning experiences for undergraduate and graduate study; Diversification of local economy; Environmental sustainability; Entrepreneurship; Positive linkages to existing business not in competition with START-UP businesses, especially small scale businesses; Boost to local economy; and, Magnet for economic and social growth.**

As one of the largest employers and the only four-year and graduate degree-granting institution in Niagara County, Niagara University is committed to the economic vitality of the Western New York region and the state as a whole. START-UP NY represents a unique opportunity for the university to leverage its significant strengths in research, community capacity building, and education to partner with companies as they start and/or grow their businesses in Niagara County. Niagara intends to encourage its faculty and students to be active participants with companies, while the businesses create substantive employment opportunities for our graduates, as well as other residents.

Business applications will be reviewed and approved through a two-phase process 1) initial review for compliance and appropriateness by the Niagara START-UP NY Review Team, and 2) higher level comprehensive review and approval by the Niagara START-UP NY Selection Team (see following sections for detailed process).

General factors to be considered in evaluation include:

- a) Academic and Research Alignment including, alignment with current and/or developing Niagara research, scholarly, and creative activity, experiential learning and workforce opportunities for students and graduates, areas for partnership and advancement for faculty

- and students, business funding of scholarships, campus facilities or other academic services or amenities, business and/or its employee contribution to instruction or provide student mentoring;
- b) Economic Benefit including, net new jobs to be created, business short- and long-term viability, ability to attract private financial investment, ability and plan to make capital investments (e.g., renovation, new construction), new jobs in critical areas of the economy aligned with REDC goals and strategies, fiscal benefit to Niagara University; and/or,
 - c) Community Benefit including, demonstrated support of one or more municipal or community entities, business plans for recruiting employees from the local workforce, business plans for business invest in underserved, benefits economically distressed regions (Niagara Falls / Niagara County), benefit to local and regional suppliers.

Niagara University is open to working with both newly established and expanding companies who qualify for the program and align with the criteria laid out by START-UP NY and the university, related to university and community benefit.

5. A description of the process the campus or university will follow to select businesses to participate in the Tax-Free NY Program.

Selection Process for Business Participation

Niagara University has established the following two-phased process (initial compliance and alignment review and then official selection and campus approval) for businesses interested in partnering in the START-UP NY Program. The university intends to coordinate the application and selection process in a transparent, cooperative manner, with substantive involvement of both internal and external stakeholders. The proposed process and individuals involved include:

- (1) **Phase One Compliance and Alignment Review:** The Phase One Niagara START-UP NY Review Team will likely consist of the following Niagara University individuals: Associate Vice President for Operations and Outreach, Controller, Associate Vice President for Academic Affairs, Programs and Policy, General Counsel, Associate Vice President of Institutional Advancement, Director of Sponsored Programs and Foundation Relations, and Dean from the affected/involved College or Colleges. In addition, the Review Team will include relevant external partners such as the Niagara County IDA, Buffalo Niagara Enterprise, as appropriate.
 - a) *Business submits application to Niagara University.*

Businesses interested in participation in the START-UP NY Program with Niagara will first complete an online START-UP NY Business Pre-Application, which will be found at the secure Niagara START-UP NY website, once established. The following information will be required aligned with NYS regulations: contact information, business information, employment, investment, business competitors and agreement. Applicants must fall under one of the following NYS designated business categories: New Business, Existing NYS Business Expanding, Previous NYS Business relocating to NYS, or NYS Incubator Graduate (see regulations for further detail and exclusions).
 - b) *Participate in an Eligibility Review Meeting*

Once Niagara University has received a completed START-UP NY Business Pre-Application, an eligibility review meeting will be convened at the university. The

Applicant will meet with the Niagara START-UP NY Campus Review Team to clarify and document all aspects of the businesses proposal including, but not limited to: alignment with university mission and academic vision, State regulation alignments, fit with regional economic development goals and objectives, competitive analysis requirements, potential job creation and internship opportunities with business.

c) Comprehensive Competitive Analysis

If the business seems appropriate for partnering with the university, the Applicant and the Niagara START-UP NY Review Team will collaborate on completing the competitive analysis, per State requirements. This will include, confirmation with the Applicant of the "Community," required to be reviewed as defined by START-UP NY regulations (Census tracts where the university resides and adjacent census tracts unless otherwise noted), review of North American Industry Classification System (NAICS) codes of businesses in the same Community as required by START-UP NY regulations; Review of commercially available database lists in determining potential Competitors in the selected Community; Review of any businesses in the Community which may be considered Competitors; If no Competitors are identified through the Comprehensive Competitive Analysis, then a formal request will be submitted to the Empire State Development (ESD) for cross reference checking of their Department of Labor (DOL) database to determine if there are any Competitors; If no Competitors are identified through the Niagara University and ESD comprehensive review process, then a notice will be published in a local daily print or online newspaper for five days, allowing potential business Competitors to identify themselves, per the START-UP NY regulations. In the event that a potential Competitor is identified, Niagara University will formally request review by the Commissioner. The Commissioner will make the final determination, per the START-UP NY regulations.

(2) Phase Two Selection/Approval: The Niagara START-UP NY Selection and Approval Team (aligned with "Advisory Committee" per guidelines) will be comprised of Niagara University's Executive Vice President, Provost and Chief Academic Officer, Associate Vice President of Operations and Outreach, Vice President for Administration, Vice President for Institutional Advancement, the related College Dean(s), Designated Faculty Leadership (assigned based on businesses being reviewed), and other administrative, faculty, or student representative(s) deemed necessary for participation in the final selection process. The President or Executive Vice President (as designee) will be the official signing all approved business-related documents.

a) Review and Presentation of Work Conducted by the Niagara START-UP NY Review Team to the Niagara START-UP NY Selection and Approval Team

The Phase One findings and comprehensive packet of information will be provided to the Niagara START-UP NY Selection and Approval Team in a systematic and consistent manner at which point the Niagara START-UP NY Selection and Approval Team will determine if they will move forward with the Applicant's proposal. The Associate Vice President for Operations and Outreach will be a consistent team member of both phases providing continuity and acting as liaison among all participants and the businesses. To this end, this individual is also listed as the secondary contact for this campus plan.

b) Applicant Presentation to Niagara START-UP NY Selection and Approval Team

Upon successful completion of the Comprehensive Competitive Analysis and presentation of application materials to the Niagara START-UP NY Selection and Approval Team, the Applicant business will be required to formally present its business model and how its participation in the START-UP NY Program will have positive community and economic benefits. The Applicant business will formally present to the Niagara START-UP NY Selection and Approval Team.

c) Application to the State

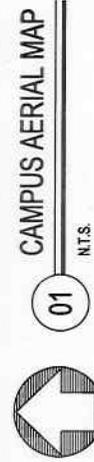
If the Niagara START-UP NY Selection and Approval Team approves the Applicant business, the university will then collaborate with the Applicant to complete the required information for the Sponsoring Application to NYS, with the primary focus being new job creation in the designated area.

Overall Selection Criteria: Niagara University will align the selection process (above) with State regulations with respect to the START-UP NY program, as follows (from regulations):

- The mission and activities of the business must align with or further the academic mission of the campus, college or university sponsoring the tax-free NY area in which it seeks to locate, and the business's participation in the START-UP NY program must have positive community and economic benefits.
- The business must demonstrate that it will, in its first year of operation, create net new jobs. After its first year of operation, the business must maintain net new jobs. In addition, the average number of employees of the business and its related persons in the state during the year must equal or exceed the sum of: (i) the average number of employees of the business and its related persons in the state during the year immediately preceding the year in which the business submits its application to locate in a tax-free NY area; and (ii) net new jobs of the business in the tax-free NY area during the year. The average number of employees of the business and its related persons in the state shall be determined by adding together the total number of employees of the business and its related persons in the state on March thirty-first, June thirtieth, September thirtieth and December thirty-first and dividing the total by the number of such dates occurring within such year.
- Except as provided in paragraphs (g) and (h) of this subdivision, at the time it submits its application for the START-UP NY program, the business must be a new business to the state.
- The business may be organized as a corporation, a partnership, limited liability company or a sole proprietorship.
- Upon completion of its first year in the START-UP NY program and thereafter, the business must complete and timely file the annual report required under section four hundred thirty-eight of this article.
- Except as provided in paragraphs (g) and (h) of this subdivision, the business must not be engaged in a line of business that is currently or was previously conducted by the business or a related person in the last five years in New York state.
- If a business does not satisfy the eligibility standard set forth in paragraph (c) or (f) of this subdivision, because at one point in time it operated in New York state but moved its operations out of New York state on or before June first, two thousand thirteen, the commissioner shall grant that business permission to apply to participate in the START-UP

NY program if the commissioner determines that the business has demonstrated that it will substantially restore the jobs in New York state that it previously had moved out of state.

- If a business seeks to expand its current operations in New York state into a tax-free NY area but the business does not qualify as a new business because it does not satisfy the criteria in paragraph (c) of subdivision six of section four hundred thirty-one of this article or the business does not satisfy the eligibility standard set forth in paragraph (f) of this subdivision, the commissioner shall grant the business permission to apply to participate in the START-UP NY program if the commissioner determines that the business has demonstrated that it will create net new jobs in the tax-free NY area and that it or any related person has not eliminated any jobs in the state in connection with this expansion.
- The following types of businesses will not be considered, per state regulations: retail and wholesale businesses; restaurants; real estate brokers; law firms; medical or dental practices; real estate management companies; hospitality; finance and financial services; businesses providing personal services; businesses providing business administrative or support services, unless such business has received permission from the commissioner to apply to participate in the START-UP NY program upon demonstration that the business would create no fewer than one hundred net new jobs in the tax-free NY area; accounting firms; businesses providing utilities; and, businesses engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity.



CAMPUS AERIAL MAP

NIAGARA UNIVERSITY
Education That Makes a Difference
Office of Planning & Assessment

Niagara University Overall Campus Aerial Map

PLANNING PROJECT NO.: 214039

DWG.

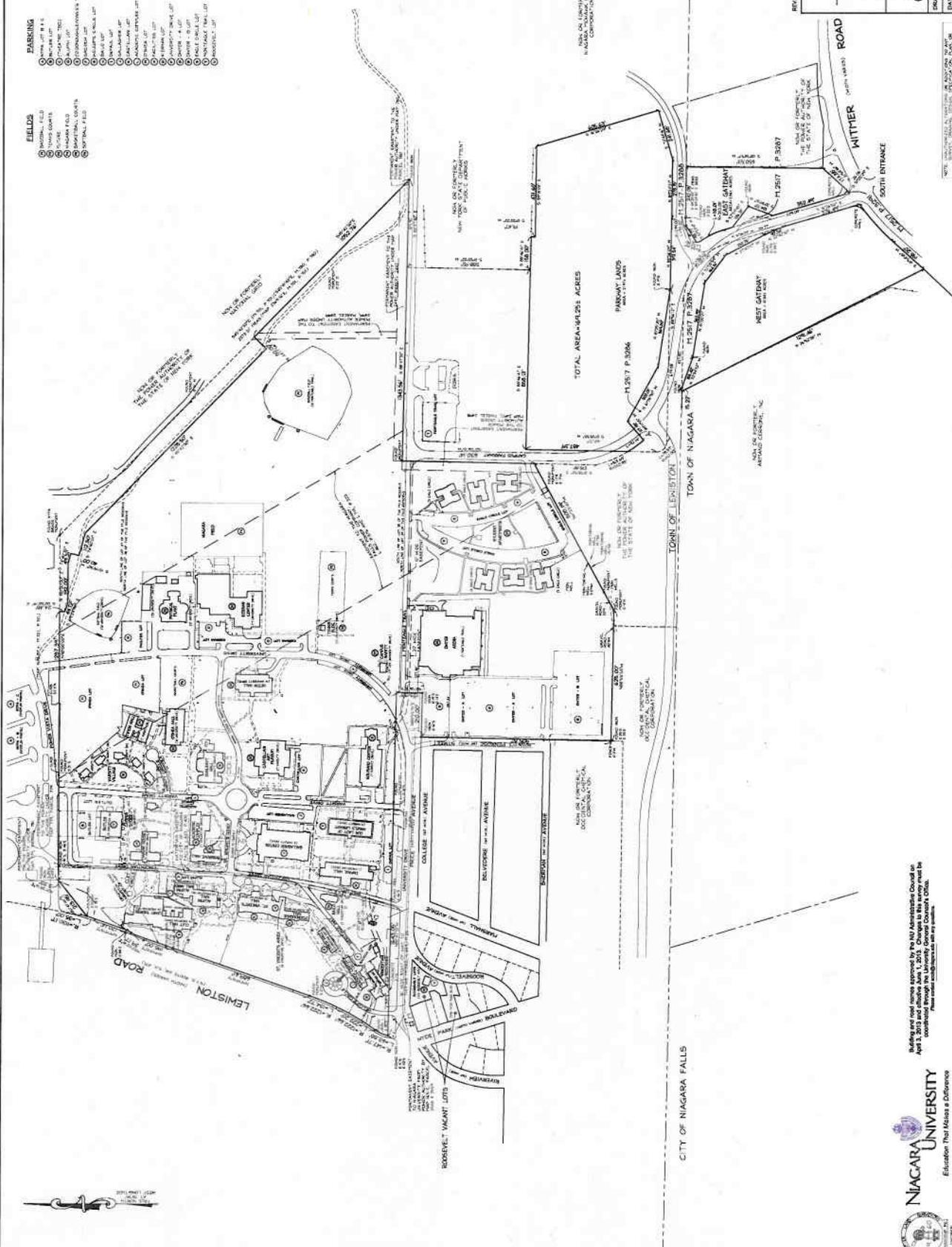
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DATE: 7 NOV 2014

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BY: 100-14 ADDED SPINAKE FROM INTER. AS PER PROPOSED PLAN

BOUNDARY SURVEY
NIAGARA UNIVERSITY

PART OF LOTS 27 & 28
 OF THE FILL RESERVE
 TOWN OF LEWISTON
 COUNTY OF NIAGARA STATE OF NEW YORK

3046 Lake Shore Road
 Buffalo, New York 14214-1444
 (716) 857-8000
 www.niagara.edu

DATE: 10/1/2013
 JOB NO: 12-2-022
 SCALE: 1" = 200'

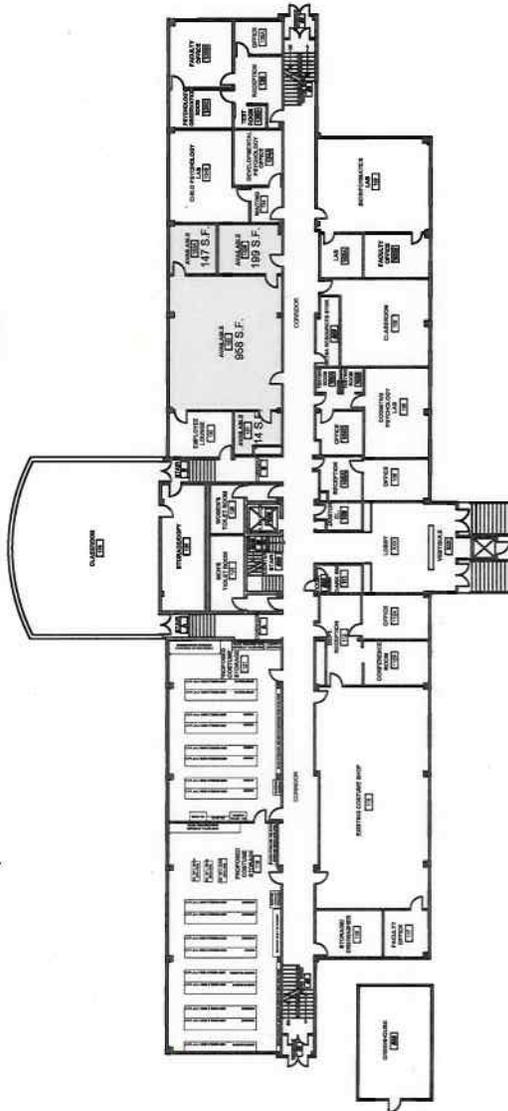
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 10/1/2013
 10/1/2013

Building and roof areas surveyed by the NY Administration Council on April 11, 2013. The survey was conducted through the University General Counsel's Office. All other measurements are as per plan.

NIAGARA UNIVERSITY
 Education That Makes a Difference



SHADE INDICATES OPEN SPACE AVAILABLE

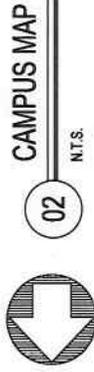
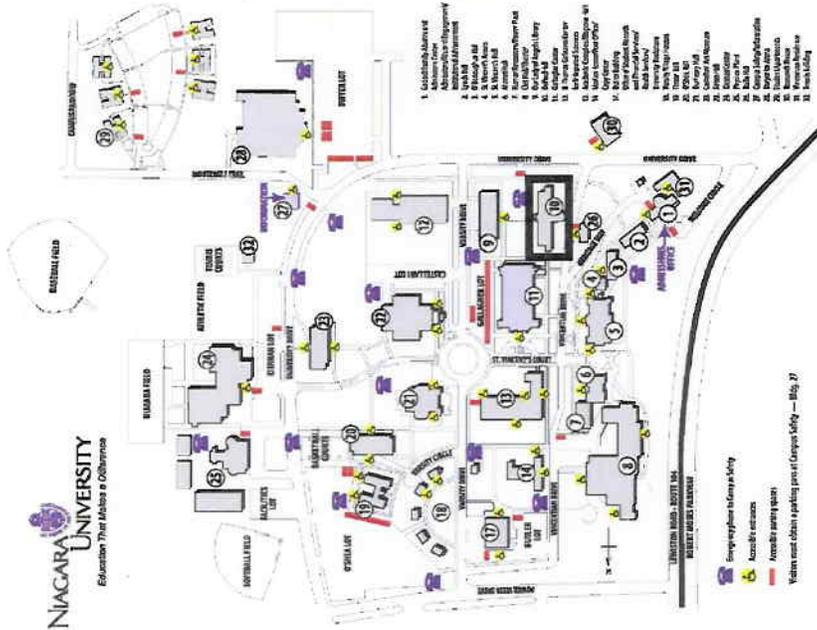


DEPAUL HALL - FIRST FLOOR PLAN

SCALE: 1" = 30'-0"
 SPACE AVAILABLE: 1,449 S.F.
 GROSS AREA (1ST FLOOR): 17,229 S.F.



01



CAMPUS MAP

02

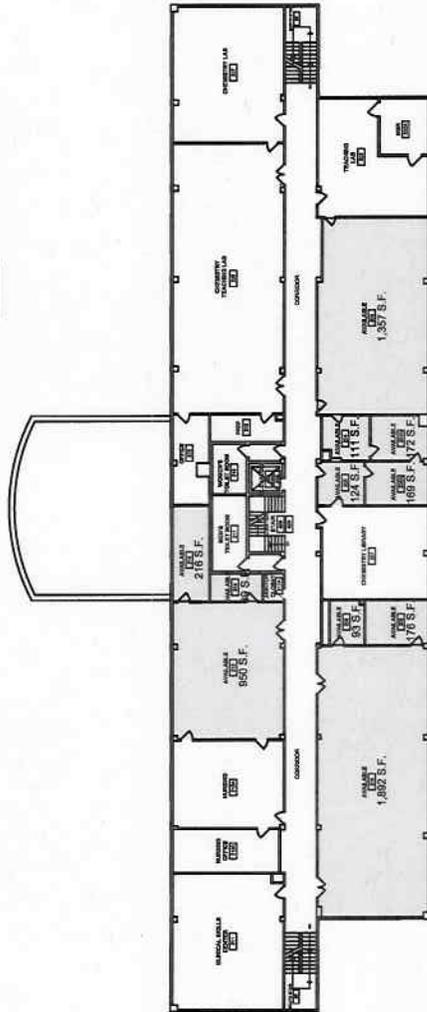
N.T.S.

NIAGARA UNIVERSITY
 Education That Makes a Difference
 Office of Planning & Assessment

DePaul Hall - Available Space (First Floor Plan)
 PLANNING PROJECT NO.: 214039
 DATE: 12 DEC 2014
 DWG. **1-1**



SHADE INDICATES OPEN SPACE AVAILABLE



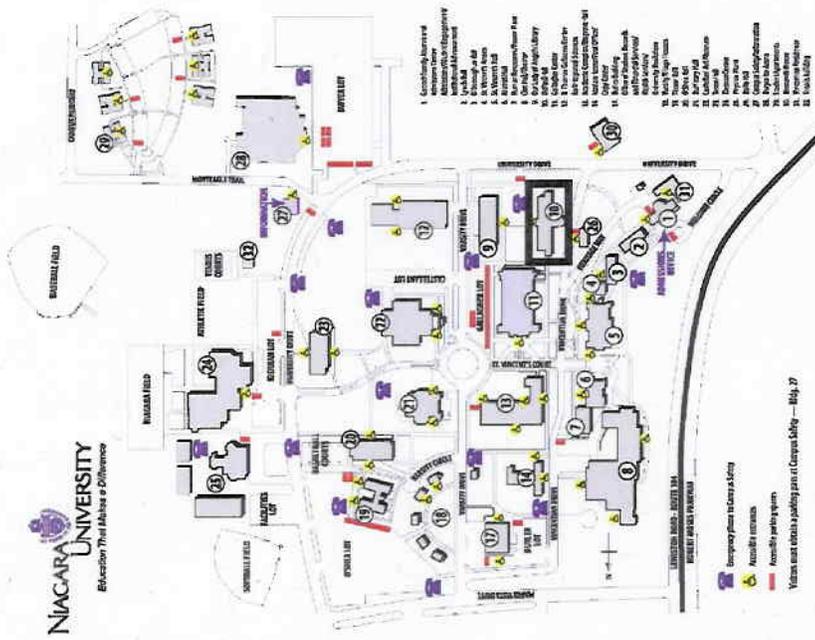
DEPAUL HALL - SECOND FLOOR PLAN

SPACE AVAILABLE: 5,069 S.F.
GROSS AREA (2ND FLOOR): 14,888 S.F.

SCALE: 1" = 30'-0"



01



CAMPUS MAP

N.T.S.



02

DePaul Hall - Available Space (Second Floor Plan)

PLANNING PROJECT NO.: 214039

DWG.

DATE: 12 DEC 2014

2-1

Office of Planning & Assessment

Location	Unique ID	Owner	Property Type	Street Address	City	Zip Code	Parcel ID	Building	Space Type	Sq Ft	Acres	Description	On Campus	Within 1-mile of Campus	Latitude	Longitude	Note
Town of Lewiston		Niagara Univ	1	Vacant	Niagara Univ	14109	Parkway Land	N/A	D	15,000		Vacant	Yes	No	43.1330254	-79.0280947	
Town of Lewiston	9	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	611		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	10C	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	199		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	11	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	656		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	11A	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	144		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	11B	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	142		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	12	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	615		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	12A	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	107		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	12B	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	168		Basement	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	131	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	114		First Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	133	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	958		First Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	133A	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	147		First Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	133B	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	199		First Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	203	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	1357		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	204	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	111		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	204A	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	172		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	205	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	124		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	205A	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	169		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	208	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	93		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	209	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	176		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	210	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	1892		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	213	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	950		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	214	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	89		Second Floor	Yes	No	43.1383600	-79.0376670	
Town of Lewiston	215	Niagara Univ	1	1 Vincentian Drive	Niagara Univ	14109		DePaul Hall	C	216		Second Floor	Yes	No	43.1383600	-79.0376670	
								Sub-total (area):		24409							

* 1= on campus
2= 1 mile off campus
3= State Asset

** A=entire building
B=floor within building
C=Room within building
D=land on campus
E= land off campus
F=entire building off campus
G=partial building off campus
H=state asset

Attachment D

Niagara University Conflict of Interest Policy	Effective: September, 2014
Access: Public	Position responsible for overseeing compliance: General Counsel

Policy:

Trustees, administrators, faculty, and other employees of Niagara University must perform their duties solely on the basis of a desire to promote the best interests of the University.

Conflicts of interest, defined below, are contrary to this requirement, while the unresolved appearance of a conflict of interest can erode an atmosphere conducive to promoting the best interests of the university.

Therefore, the university shall use this policy and procedure to address actual, potential, and perceived conflicts of interest.

All known violations, disputes and other issues arising out of the application of this policy to employees shall be referred to the General Counsel for appropriate action, including internal investigation, or referral to retained counsel, as needed to preserve the integrity of the process.

Matters under this policy concerning Trustees shall be reported to the Chairman of the Board of Trustees for appropriate action. Any violation may also be reported via the University's Whistleblower Policy.

Person	Action
Trustee	<p>Shall disclose all actual and potential conflicts of interest at a committee or full board meeting prior to the start of a topic containing the conflict, or as soon as a conflict becomes apparent.</p> <p>Such disclosure shall be noted in the minutes and the Trustee shall not participate in the discussion or voting on said item.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p>

	<p>Shall promptly (within 30 days) update the university's General Counsel as to any changes that affect their responses to the conflict of interest form.</p>
Audit Committee	<p>Shall review all disclosures and an annual report on all Conflicts of Interest matters.</p>
<p>Officer Associate Officer Assistant Officer</p>	<p>Shall disclose all actual and potential conflicts of interest at a committee or full board meeting prior to the start of a topic containing the conflict, or as soon as a conflict becomes apparent. Such disclosure shall be noted in the minutes. The officer may participate in discussion of the item at the request of the committee or board chair.</p> <p>Shall disclose all actual and potential conflicts of interest prior to authorizing a hire, signing a contract, submitting an RFP/RFI, or authorizing a budget item, related to the conflict. Disclosure shall be made to their functional officer and the General Counsel.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p> <p>Shall promptly (within 30 days) update the university's General Counsel as to any changes that affect their responses to the conflict of interest form.</p>
<p>Employee with:</p> <ul style="list-style-type: none"> • Budget authority • Contract signing authority • Procurement responsibility 	<p>Shall disclose all actual and potential conflicts of interest prior to authorizing a hire, signing a contract, submitting an RFP/RFI, or authorizing a budget item, related to the conflict. Disclosure shall be made to their functional officer, those involved in the matter, and the General Counsel.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p> <p>Shall promptly (within 30 days) update the</p>

	university's General Counsel as to any changes that affect their responses to the conflict of interest form.
Employee serving as primary investigator on a sponsored research project.	Shall disclose all conflicts or potential conflicts via the Grants Management Database as set forth in the "Grants and Sponsored Research Section" below.
General Counsel	Shall maintain a log of and generate an annual report on disclosures and remedies to be reviewed annually by the Audit Committee and an external auditor.
Director of Sponsored Programs & Foundation Relations	Shall receive disclosures related to sponsored research via the Grants Management Database as set forth in the "Grants and Sponsored Research Section" below.
Provost, Academic Dean	Shall address alleged violations of this policy as set forth in the "Grants and Sponsored Research Section" below.
External Auditor	Shall annually review the Conflict of Interest disclosures maintained by the General Counsel and shall report concerns with the replies or the process to the University as part of the annual audit.

Definitions

A "conflict of interest" can occur when an individual's personal or private interests might lead an independent observer reasonably to question if the individual's professional actions or decisions are influenced by considerations of significant personal interest, financial or otherwise, rather than the best interest of the institution they serve.

"The University" shall mean all of Niagara University, subsidiary and affiliated organizations controlled by it (Niagara University Ice Complex, Inc.).

"Trustee" shall include any current Trustee and any active Trustee Emeritus serving on any committee of the Board of Trustees.

"Independent Trustee" means a trustee who: (i) is not, and has not been within the last three years, an employee of the trust or an affiliate of the trust, and does not have a relative who is, or has been within the last three years, a key employee of the trust or an affiliate of the trust; (ii) has not received, and does not have a relative who has received, in any of the last three fiscal years, more than ten thousand dollars in direct compensation from the trust or an affiliate of the trust (other than reimbursement for expenses or the payment of trustee commissions as permitted by law and the governing

instrument); and (iii) is not a current employee of or does not have a substantial financial interest in, and does not have a relative who is a current officer of or have a substantial financial interest in, any entity that has made payments to, or received payments from, the trust or an affiliate of the trust for property or services in an amount which, in any of the last three fiscal years, exceeds the lesser of twenty-five thousand dollars or two percent of such entity's consolidated gross revenues. For purposes of this subparagraph, "payment" does not include charitable contributions.

"Faculty member" shall include any person who has a faculty appointment with the University.

"Investigator" shall mean a principal investigator and any other person at the University who is responsible for the design, conduct, or reporting of research funded by any external governmental or private organization, or proposed for such funding.

"Externally sponsored activities" shall mean all sponsored activity administered through the Office of Sponsored Programs & Foundation Relations.

"Research" means a systematic investigation designed to develop or contribute to generalizable knowledge including behavioral and social-sciences research. The term encompasses basic and applied research and product development.

"Significant financial interest" shall mean any direct or indirect interest with monetary value, including but not limited to:

- salary, other payments for services (e.g., consulting fees or honoraria), royalties or other payments that, when aggregated for the individual and the individual's spouse and dependent children over the next twelve months, are expected to exceed \$10,000;
- equity interests (e.g. stocks, stock options or other ownership interests) that, when aggregated for the individual and the individual's spouse and dependent children, either exceeds \$10,000 in value (as determined through reference to public prices) or represents more than five percent (5%) ownership interest in any single entity;
- intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term "significant financial interest" does not include:

- salary, royalties, or other remuneration from the University;
- income from seminars, lectures, or teaching engagements sponsored by US Federal, state, or local entities;
- income from service on advisory committees or review panels for public or nonprofit entities.

Grants and Other External Funding

As a recipient of externally funded sponsored activities, Niagara University has an obligation to ensure that the principles of objectivity in research are upheld, the goal of such obligation being that there is no reasonable risk that the design, conduct, or reporting of research will be biased by any conflicting financial interests of an Investigator.

Investigators engaged in externally sponsored activity must, in accordance with Federal and University policy, disclose to the General Counsel and the Director of Sponsored Programs and Foundation Relations (hereinafter, "SPFR") (or designee) on disclosure forms located on the University's Grants Management Database, all significant financial interests (including those of their spouse and dependent children) that would reasonably appear to affect or be affected by the sponsored activity.

Investigators may choose to disclose any other financial or related interest that could present an actual or perceived conflict of interest. Any such disclosure should provide sufficient detail to permit an accurate and objective evaluation. Such disclosure form must be completed and submitted before the contract or grant application is submitted, and the disclosure must be reviewed to determine if further action is required before the University's expends any awarded funds or issues a purchase order or subcontracts for the acquisition of goods and services related to that project.

Such disclosure forms must be updated at least annually or more frequently, if new reportable information is obtained during the period of an award.

If the General Counsel and the SPFR Director (or designee) determines, after reviewing the disclosure form and other available information, that financial or other interests may affect the design, conduct or reporting of research activities or teaching/mentoring activities, the Director shall consult with the Dean of the relevant College, or, if none applies, to the Provost. If this review confirms a potential conflict the project may be, the dean or Provost may issue instruction to the Investigator and the SPFR Director to:

- Accept the proposed sponsored project;
- Not accept the proposed sponsored project;
- Accept the proposed sponsored project provided certain conditions or restrictions are imposed so that the conflict will be managed, reduced or eliminated.

Examples of possible conditions or restrictions are:

- monitoring of research by independent reviewers
- public disclosure of significant financial interests
- modification of the research plan
- disqualification from participation in the portion of the sponsored funded research that would be affected by the significant financial interest
- divestiture of significant financial interest
- severance of relationships that create actual or potential conflicts

For HHS funded sponsored activities, the SPFR will notify the awarding component of any conflict information as outlined by the awarding component.

All records will be maintained for a period of no less than seven (7) years. Upon written request of a sponsoring agency, disclosure documents and related records pertaining to the specific sponsored project will be made available.

Collaborators/sub-recipients/subcontractors from other institutions involved in externally-sponsored research of the University must either comply with this policy or provide a certification from their institutions that they are in compliance with Federal policies regarding disclosure of conflicts of interests and that their portion of the project is in compliance with their institutional policies.

All employees and affiliates working on sponsored projects in conjunction with Niagara University are subject to this policy and are expected to comply fully and promptly with it. Instances of deliberate breach of policy, including failure to file or knowingly filing incomplete, erroneous, or misleading disclosure forms, violation of this policy, failure to comply with prescribed monitoring procedures, will be reported to the appropriate senior officer and, in the case of primary investigators also to the Provost (or designee).

In the event of non-compliance by a Primary Investigator, the reporting party will consult with the General Counsel, who will report the possible violation to the Dean or Provost for sanctions. Regarding possible sanctions to be imposed on an investigator that may include, but are not limited to:

- Formal admonition,
- A letter from the appropriate Dean to the person's file, ineligibility for (i) grants, (ii) IRB approval, or (iii) supervision of graduate students,
- Non-renewal of appointment,
- Initiation of the procedure for terminating tenure.

The Provost (or designee) will then recommend an appropriate sanction to the President, who will make the final decision.

In addition, the University shall follow federal regulations regarding the notification of the sponsoring agency in the event an Investigator has failed to comply with this policy. The sponsor may take its own action, as it deems appropriate, including the suspension of funding for the Investigator until the matter is resolved.

Niagara University Conflict of Interest Policy and provisions pursuant to section four hundred thirty-nine of Article 21 of the New York State Economic Development Law	Date Adopted: December 17, 2014
Access: Public	Position responsible for overseeing compliance: General Counsel

Policy:

Trustees, administrators, faculty, and other employees of Niagara University must perform their duties solely on the basis of a desire to promote the best interests of the University.

Service as an official of the university shall not be used as a means for private benefit or inurement for the official, a relative thereof, or any entity in which the official, or relative thereof, has a business interest.

To that end, no official who is a vendor, or employee of a vendor of goods or services to the university, or who has a business interest in such vendor, or whose relative has a business interest in such vendor, shall vote on, or participate in the administration by the university.

Conflicts of interest, defined below, are contrary to this requirement, while the unresolved appearance of a conflict of interest can erode an atmosphere conducive to promoting the best interests of the university.

Therefore, the university shall use this policy and procedure to address actual, potential, and perceived conflicts of interest.

Upon becoming aware of all known violations, disputes and other issues arising out of the application of this policy to employees shall be referred to the President for appropriate action, including referral to the General Counsel, retained counsel, or another.

Matters under this policy concerning Trustees shall be reported to the Chairman of the Board of Trustees for appropriate action. Any violation may also be reported via the University's Whistleblower Policy.

Procedure

Person	Action
Trustee	Shall disclose all actual and potential conflicts of interest at a committee or full board meeting prior to the start of a topic containing the conflict, or as soon as a

Person	Action
	<p>conflict becomes apparent.</p> <p>Such disclosure shall be noted in the minutes and the Trustee shall not participate in the discussion or voting on said item.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p> <p>Shall promptly (within 30 days) update the university's General Counsel as to any changes that affect their responses to the conflict of interest form.</p>
<p>Officer Associate Officer Assistant Officer</p>	<p>Shall disclose all actual and potential conflicts of interest at a committee or full board meeting prior to the start of a topic containing the conflict, or as soon as a conflict becomes apparent. Such disclosure shall be noted in the minutes. The officer may participate in discussion of the item at the request of the committee or board chair.</p> <p>Shall disclose all actual and potential conflicts of interest prior to authorizing a hire, signing a contract, submitting an RFP/RFI, or authorizing a budget item, related to the conflict. Disclosure shall be made to their functional officer and the General Counsel.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p> <p>Shall promptly (within 30 days) update the university's General Counsel as to any changes that affect their responses to the conflict of interest form.</p>
<p>Official of the university (as defined below), when the conflict or potential conflict relates to the START-UP NY program</p>	<p>As soon as they become aware of the conflict or potential conflict, reports conflict or potential conflict of interest to the President, who shall ensure it is documented and handled per this</p>

Person	Action
	<p>policy, including the documented recusal from START-UP NY business when a conflict is disclosed or determined.</p>
<p>Employee with:</p> <ul style="list-style-type: none"> • Budget authority • Contract signing authority • Procurement responsibility 	<p>Shall disclose all actual and potential conflicts of interest prior to authorizing a hire, signing a contract, submitting an RFP/RFI, or authorizing a budget item, related to the conflict. Disclosure shall be made to their functional officer, those involved in the matter, and the General Counsel.</p> <p>Shall annually complete an institutionally provided conflict of interest disclosure form.</p> <p>Shall promptly (within 30 days) update the university's General Counsel as to any changes that affect their responses to the conflict of interest form.</p>
<p>Employee serving as primary investigator on a sponsored research project.</p>	<p>Shall disclose all conflicts or potential conflicts via the Grants Management Database as set forth in the "Grants and Sponsored Research Section" below.</p>
<p>General Counsel</p>	<p>Shall maintain a log of disclosures and remedies to be reviewed annual by an external auditor.</p> <p>Shall ensure reporting of conflicts of interest related to the START-UP NY program by the university's auditor to the Commissioner January 31 of each year.</p>
<p>Director of Sponsored Programs & Foundation Relations</p>	<p>Shall receive disclosures related to sponsored research via the Grants Management Database as set forth in the "Grants and Sponsored Research Section" below.</p>
<p>Provost, Academic Dean</p>	<p>Shall address alleged violations of this policy as set forth in the "Grants and Sponsored Research Section" below.</p>

Person	Action
External Auditor	<p>Shall annually review the Conflict of Interest disclosures maintained by the General Counsel and shall report concerns with the replies or the process to the University as part of the annual audit.</p> <p>Shall report conflicts regarding the START-UP NY program to the Commissioner by January 31, who shall make public such reports.</p>

Definitions

An individual has a “business interest” in an entity if the individual: a) owns or controls 10 percent or more of the stock of the entity (or 1 percent in the case of an entity the stock of which is regularly traded on an established securities exchange); or b) serves as an officer, director or partner of the entity.

A “conflict of interest” can occur when an individual's personal or private interests might lead an independent observer reasonably to question if the individual's professional actions or decisions are influenced by considerations of significant personal interest, financial or otherwise, rather than the best interest of the institution they serve.

A “Relative of an official of the university” shall mean any person living in the same household as the individual and any person who is a direct descendant of that individual’s grandparents or the spouse of such.

An “official” of the university is a trustee, nn employee of dean and above, as well as any other person with decision-making authority over the START-UP NY program.

"The University" shall mean all of Niagara University, subsidiary and affiliated organizations controlled by it (Niagara University Ice Complex, Inc.).

"Trustee" shall include any current Trustee and any active Trustee Emeritus serving on any committee of the Board of Trustees.

"Faculty member" shall include any person who has a faculty appointment with the University.

"Investigator" shall mean a principal investigator and any other person at the University who is responsible for the design, conduct, or reporting of research funded by any external governmental or private organization, or proposed for such funding.

"Externally sponsored activities" shall mean all sponsored activity administered through the Office of Sponsored Programs & Foundation Relations.

"Research" means a systematic investigation designed to develop or contribute to generalizable knowledge including behavioral and social-sciences research. The term encompasses basic and applied research and product development.

"Significant financial interest" shall mean any direct or indirect interest with monetary value, including but not limited to:

- salary, other payments for services (e.g., consulting fees or honoraria), royalties or other payments that, when aggregated for the individual and the individual's spouse and dependent children over the next twelve months, are expected to exceed \$10,000;
- equity interests (e.g. stocks, stock options or other ownership interests) that, when aggregated for the individual and the individual's spouse and dependent children, either exceeds \$10,000 in value (as determined through reference to public prices) or represents more than five percent (5%) ownership interest in any single entity;
- intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term "significant financial interest" does not include:

- salary, royalties, or other remuneration from the University;
- income from seminars, lectures, or teaching engagements sponsored by US Federal, state, or local entities;
- income from service on advisory committees or review panels for public or nonprofit entities.

Grants and Other External Funding

As a recipient of externally funded sponsored activities, Niagara University has an obligation to ensure that the principles of objectivity in research are upheld, the goal of such obligation being that there is no reasonable risk that the design, conduct, or reporting of research will be biased by any conflicting financial interests of an Investigator.

Investigators engaged in externally sponsored activity must, in accordance with Federal and University policy, disclose to the General Counsel and the Director of Sponsored Programs and Foundation Relations (hereinafter, "SPFR") (or designee) on disclosure forms located on the University's Grants Management Database, all significant financial interests (including those of their spouse and dependent children) that would reasonably appear to affect or be affected by the sponsored activity.

Investigators may choose to disclose any other financial or related interest that could present an actual or perceived conflict of interest. Any such disclosure should provide sufficient detail to permit an accurate and objective evaluation. Such disclosure form must be completed and submitted before the contract or grant application is submitted, and the disclosure must be reviewed to determine if further action is required before the University's expends any awarded funds or issues a purchase order or subcontracts for the acquisition of goods and services related to that project.

Such disclosure forms must be updated at least annually or more frequently, if new reportable information is obtained during the period of an award.

If the General Counsel and the SPFR Director (or designee) determines, after reviewing the disclosure form and other available information, that financial or other interests may affect the design, conduct or reporting of research activities or teaching/mentoring activities, the Director shall consult with the Dean of the relevant College, or, if none applies, to the Provost. If this review confirms a potential conflict the project may be, the dean or Provost may issues instruction to the Investigator and the OSPR Director to:

- Accept the proposed sponsored project;
- Not accept the proposed sponsored project;
- Accept the proposed sponsored project provided certain conditions or restrictions are imposed so that the conflict will be managed, reduced or eliminated.

Examples of possible conditions or restrictions are:

- monitoring of research by independent reviewers
- public disclosure of significant financial interests
- modification of the research plan
- disqualification from participation in the portion of the sponsored funded research that would be affected by the significant financial interest
- divestiture of significant financial interest
- severance of relationships that create actual or potential conflicts

For HHS funded sponsored activities, the OSPR will notify the awarding component of any conflict information as outlined by the awarding component.

All records will be maintained for a period of no less than seven (7) years. Upon written request of a sponsoring agency, disclosure documents and related records pertaining to the specific sponsored project will be made available.

Collaborators/sub-recipients/subcontractors from other institutions involved in externally-sponsored research of the University must either comply with this policy or provide a certification from their institutions that they are in compliance with Federal policies regarding disclosure of conflicts of interests and that their portion of the project is in compliance with their institutional policies.

All employees and affiliates working on sponsored projects in conjunction with Niagara University are subject to this policy and are expected to comply fully and promptly with it. Instances of deliberate breach of policy, including failure to file or knowingly filing incomplete, erroneous, or misleading disclosure forms, violation of this policy, failure to comply with prescribed monitoring procedures, will be reported to the appropriate senior officer and, in the case of primary investigators also to the Provost (or designee).

In the event of non-compliance by a Primary Investigator, the reporting party will consult with the General Counsel, who will report the possible violation to the Dean or Provost for sanctions. Regarding possible sanctions to be imposed on an investigator that may include, but are not limited to:

- Formal admonition,
- A letter from the appropriate Dean to the person's file,
- Ineligibility for (i) grants, (ii) IRB approval, or (iii) supervision of graduate students,
- Non-renewal of appointment,
- Initiation of the procedure for terminating tenure.

The Provost (or designee) will then recommend an appropriate sanction to the President, who will make the final decision.

In addition, the University shall follow Federal regulations regarding the notification of the sponsoring agency in the event an Investigator has failed to comply with this policy. The

sponsor may take its own action, as it deems appropriate, including the suspension of funding for the Investigator until the matter is resolved.