



The State University
of New York

Office of the
Chief Financial Officer

State University Plaza
Albany, New York 12246

www.suny.edu

February 21, 2014

President Samuel L. Stanley, Jr., MD
State University of New York at Stony Brook
100 Nichols Road
Stony Brook, NY 11790

Re: START-UP NY

Dear President Stanley:

Congratulations. Attached is the approved application for the State University of New York at Stony Brook's Campus Plan for Designation of Tax-Free Area(s).

Please submit your Campus Plan to Designations@esd.ny.gov. Also, please copy program.review@suny.edu so that we know which plans have been submitted to ESDC and can monitor their progress at the agency.

Best of luck to you and the State University of New York at Stony Brook in launching the START-UP NY Program.

Best regards,

Robert M. Haelen
Interim Chief Financial Officer

Attachment

Copy: SUNY START-UP NY Proposal Review Team

To Learn
To Search
To Serve

the Power of



The State University
of New York

SUNY START-UP NY
Campus Plan for Designation of Tax-Free Area(s) Memorandum
(CPM)

To: SUNY Chancellor

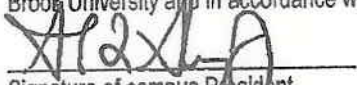
From: Samuel L. Stanley, Jr., MD

Re: SUNY Stony Brook University Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan")

Date: February 19, 2014

For campus Office of the President:

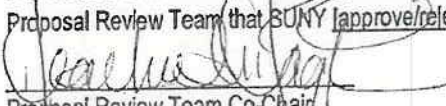
The arrangement documented in the attached Campus Plan is aligned to the academic mission of SUNY Stony Brook University and in accordance with all SUNY policies, procedures, and guidelines.


Signature of campus President

Samuel L. Stanley, Jr., MD
Print Name

FOR SUNY SYSTEM ADMINISTRATION USE ONLY

For SUNY's START-UP NY Proposal Review Team Co-Chair: It is recommended by the SUNY START-UP NY Proposal Review Team that SUNY approve/reject the attached Campus Plan:

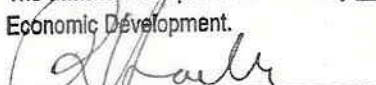

Proposal Review Team Co-Chair

Heather M. Tige
Print Name

2/20/14
Date

For SUNY Office of the Chancellor:

The attached Campus Plan is hereby approved/rejected for campus submission to the NYS Commissioner of Economic Development.


Signature of the Chancellor or designee

Robert Haelen
Print Name

2/20/14
Date



The State University
of New York

To: Mr. Kenneth Adams, NYS Commissioner of Economic Development
From: President Samuel L. Stanley, Jr., MD of SUNY Stony Brook University
Re: SUNY Stony Brook's Campus Plan for Designation of Tax-Free Area(s)
Date: February 19, 2014

I, President Stanley of SUNY Stony Brook University hereby certify the following:

- a.) we have provided a copy of the enclosed Campus Plan for Designation of Tax-Free NY Area, to the municipality or municipalities in which the proposed Tax-Free NY Area is located, local economic development entities, the applicable faculty senate, union representatives, and student government at least 30 days prior to submitting the plan to you and attached evidence of submission herewith; and
- b.) we comply with Public Officers Law Section 74; State University of New York's Policy on Conflict of Interest and; Stony Brook Medicine Administrative Policies and Procedures, SUNY RF Conflict of Interest Policy, Stony Brook's Investigator Conflict of Interest Policy; and attach copies of the policies and/or guidelines herewith; and,
- c.) we comply with the Commissioner's rules and guidelines on anticompetitive behavior (NY EDL, art. 21, sect. 440); and
- d.) if the proposed Tax-Free NY Area(s) was financed with tax-exempt bonds, we shall undertake the necessary due diligence to ensure the tax-exempt status of such bonds is not jeopardized by the presence of a business; and
- e.) we have not displaced or eliminated any academic programs, any administrative programs, offices, housing facilities, dining facilities, athletic facilities, parking, 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; and
- f.) the information contained in the enclosed application is accurate and complete.



PRESIDENT'S SIGNATURE

2-20-2014
DATE

Attachments/Enclosures:

- 1.) Tax-Free Area Plan with Polygon shapefile of campus area (if available) and/or point data of vacant space (if available), OR AutoCAD rendering of proposed tax-free area on a scaled campus map and/or campus map shaded to indicate building containing proposed tax-free space
- 2.) Excel spreadsheet of property to be designated
- 3.) Applicable conflict of interest policies
- 4.) Evidence of submission of Tax-Free Area Plan to interested parties



The State University
of New York

SUNY START-UP NY
Campus Plan for Designation of Tax-Free Area(s) Memorandum
(CPM)

To: SUNY Chancellor

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Re: SUNY Stony Brook University Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan")

Date: February 19, 2014

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Signature of campus President

Samuel L. Stanley, Jr., MD
Print Name

-----FOR SUNY SYSTEM ADMINISTRATION USE ONLY-----

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Proposal Review Team Co-Chair

Date

Print Name

For SUNY Office of the Chancellor:

The attached Campus Plan is hereby approved/rejected for campus submission to the NYS Commissioner of Economic Development.

Signature of the Chancellor or designee

Date

Print Name



The State University
of New York

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STARTUP NY

START-UP NY CAMPUS PLAN FOR DESIGNATION OF TAX-FREE AREA(S)

Campus Name: **SUNY Stony Brook University**
 Campus Contact Name: **Yacov Shamash, PhD**
 Campus Contact Title: **Vice-President for Economic Development**
 Campus Contact E-mail: **Yacov.Shamash@Stonybrook.edu**
 Campus Contact Phone: **631-632-8380**

THE TAX-FREE NY AREA PLAN SHALL BE DEVELOPED BY THE CAMPUS TEAM AND PROVIDE THE FOLLOWING REQUIRED INFORMATION:

- 1) Specification or identification of space or land proposed for designation as a Tax-Free NY Area identifying the following:
 - i. Provide the name and address of the SUNY, CUNY or community college seeking approval as a Sponsor, the address of the space or land proposed for designation as a Tax-Free NY Area, and a written description of the physical characteristics of the area for designation.

Name: SUNY Stony Brook University
Campus Address: 100 Nichols Rd, Stony Brook, NY 11790
Address(es) of Proposed Tax-Free NY Area(s) : 1. Research and Development Park, 1500 Stony Brook Rd, Stony Brook, NY 11794 2. Stony Brook Calverton Incubator, 4603 Middle Country Rd, Riverhead, NY 11933 3. Stony Brook Southampton, 239 Montauk Hwy, Southampton, NY 11968 4. Long Island High Technology Incubator, 25 Health Sciences Dr. Stony Brook, NY 11794
<p>Description of Physical Characteristics of Proposed Tax-Free NY Area(s):</p> <p>1. Stony Brook University R & D Park located on Stony Brook, Road in Stony Brook, NY is a 246 acre parcel of open land available for development. Reserving areas for buffer and other purposes, designation is requested for a total of 200 acres in the University's 246-acre R&D Park campus at Stony Brook, connected to world-class students, faculty, medical practitioners, patients, and researchers. It is currently anticipated that planned infrastructure improvements will permit the construction of more than one million sf in total to build out the research park with a mix of industry and campus technology, R&D and support facilities and appropriate amenities. In partnership with one or more developers, new space will be built out to specifications in response to demand from StartUP NY designated companies.</p> <p>A \$2M award received in Round Three of the Regional Economic Development Council process will provide partial support for the design of the first of these new buildings, envisioned as a 200,000 sf multi-tenant, multi-industry sector facility, to be built through a partnership with a private developer.</p>

There are also three existing buildings located on this space including the **Center of Excellence in Wireless and Information Technology (CEWIT)**, the **Advanced Energy Research and Technology Center (AERTC)** and the **Research and Support Services Building (RSS)**.

1a. New York State Center of Excellence in Wireless and Information Technology (CEWIT) has approximately 50,000 sq ft of office space and dry lab space which can be made available and Stony Brook seeks to use it for approved StartUP NY companies. CEWIT is mandated to sustain and enhance New York's global leadership position in the ongoing information technology revolution. CEWIT partners with technology leaders — Motorola and CA Technologies have established Innovation Center's onsite — and nurtures the pioneers of the future. Stony Brook seeks to utilize space as it becomes available for approved StartUP NY companies.

1b. New York State Center of Excellence in Advanced Energy Research and Technology Center – The AERTC supports the NSF Industry University Cooperative Research Center in Bioenergy R&D; major energy storage labs headed by a National Medal of Technology winner, and DOE SmartGrid Demonstration Project research laboratories for grid cyber-security and energy modeling and forecasting, and programs in energy harvesting. There is approximately 12,500 sq ft of space which can be used for Start UP NY as it becomes available.

1c. Research and Support Services Building – With 45,000 net sq ft, RSS currently houses administrative support and processing for the university. There is approximately 5500 sq ft of distributed space finished and appropriate for dry lab or office space.

2. Stony Brook Calverton Incubator – A 50-acre site currently occupied by a 24,000 sf facility accommodating biotechnology, advanced materials, software, and electronics companies. It also includes an 8,000 sf shared use food processing area that serves the food production industries of Long Island's East End, New York's largest agricultural county by crop value. Stony Brook proposes partnering with a private developer to build out a portion of up to 40 acres of the remaining acreage consistent with the mission of the University, the Calverton Incubator and local needs. Located on Middle Country Rd, in Calverton NY this property is supported by local sewer and water and located 7 miles east of Brookhaven National Lab.

3. Stony Brook Southampton – An 82 acre campus located in Southampton, NY, Stony Brook Southampton has a waterfront research lab for marine sciences and scientists as well as other existing classroom and student service buildings. Stony Brook proposes designation of Atlantic Hall, currently unoccupied, as a location for StartUP NY companies. The campus is situated between Route 27 and Montauk Highway in Southampton, and supports graduate and undergraduate programs in the fine, digital and performing arts, marine sciences, and health care. There is approximately 12,000 net sq ft of available space in Atlantic Hall. The first floor has approximately 5900 sq ft of finished space available for dry lab or office space. The lower level is roughly constructed with just over 6,000 net sq ft of available space (unfinished).

4. Long Island High Technology Incubator – An approved NYS incubator, LIHTI has approximately 68,500 sq ft of space for dry or wet lab for use by StartUP NY companies as vacancies occur.

- ii. Complete the Excel spreadsheet template provided with this document, noting the instructions on page 2. Include the official SUNY Physical Space Inventory (PSI) building number and a clear description of the spaces in the building or floor (when the entire floor is under consideration), or floor/wing (with outer rooms defining the space specifically listed). Include only properties sought to be designated now and exclude potential sites that may be considered in the future (see 2a below). Attach the completed spreadsheet to this plan.
- iii. Provide also a representation of each proposed site drawn in AutoCAD on a scaled campus map with boundaries drawn clearly. Two versions should be created; one including an imbedded layer from Google Earth or other aerial photograph of the property. The second version should exclude the photographic imagery. Each parcel under consideration must have a unique alpha numeric identifier, clearly labeled on each plan which ties to identifiers in the Excel spreadsheet. If digital files containing Polygon shapefile that delineates area for designation are available, provide these as well. Attach these materials to this plan.
- iv. Provide a campus map with each proposed building shaded. Label each building with the official building number as listed in the SUNY Physical Space Inventory (PSI) along with the building name. For each building shaded and labeled, include floor plans of all areas under consideration with the specific spaces clearly shaded and labeled with official PSI room numbers. If digital files containing Point shapefiles that provide locations of area for designation are available, provide these as well. Attach these materials to this plan.

2) The total square footage of the space and/or acreage of land proposed for designation as a Tax-Free NY Area is:

240 acres and 172, 500 sq ft of distributed space.

2a) If applicable: You may include here a description of any potential space or acreage of land that you may seek to designate as a Tax-Free NY Area under the START-UP NY Program in the future. This may include campus property that may become vacant, or other properties in your community that are not currently part of your campus but may be desirable for a company partner and with which you may consider an affiliation if an appropriate partner is identified. Do not include these properties in the Excel spreadsheet.

2b) If applicable: The total square footage of the space or acreage of land that you may propose to designate as a Tax-Free Area as identified in 2a, if known.

- 3) Provide a description of the type of business or businesses that may locate in the area identified in #1.

In compliance with the statutory constraints on downstate campuses (Sec. 433, 2-a (b)), the types of businesses and industry to be targeted for recruitment as partners *include*:

- Biotechnology, e.g., diagnostics, therapeutics, biologics, nutraceuticals, cosmeceuticals, and biomedical devices and instrumentation;
- Wireless and Information Technology, e.g., software, network technologies, communications and devices technologies, database, infrastructure and systems technologies, computer visualization and cybersecurity technologies, and medical technologies.
- Advanced Materials
- Smart Grid information technologies, advanced materials and electronic technology products for energy storage, energy harvesting, energy efficiency and conservation, and alternative and renewable sources.
- Electronics, micro-, opto- and nano-electronics and sensor technologies
- Engineering and Remanufacturing Technologies
- Film Post-production
- Process Technologies, including materials and food processing, testing and analysis

- 4) Provide a description of the campus academic mission, and explain how the businesses identified in #3 will align or further the academic mission of the university or college.

Stony Brook University has a five-part mission:

- To provide comprehensive undergraduate, graduate, and professional education of the highest quality;
- To carry out fundamental and applied research and intellectual endeavors of the highest international standards that advance knowledge and may ultimately improve the human condition;
- To provide leadership for economic growth, technology, and culture for neighboring communities and the wider geographic region;
- To provide state-of-the-art innovative health care, while serving as a resource to a regional healthcare network and to the traditionally underserved;
- To fulfill these objectives while celebrating diversity and positioning the University in the global community.

For three decades, Stony Brook has embraced as part of its mission the leadership of economic growth through activities that are consistent with its academic and research priorities. Our business assistance and economic development programs include two New York State Centers of Excellence, two New York State Centers for Advanced Technology and the engineering college-based Strategic Partnership for Industrial Resurgence Program.

The industry sectors listed in section 3.) above map closely to Stony Brook's existing research and academic strengths in biomedicine, computer science, advanced computation and applied mathematics, chemistry and materials sciences, physics and electrical, computer, and mechanical engineering. Additionally, they match up with Stony Brook's emphasis on emerging areas in traditional engineering disciplines, including chemical and molecular engineering, and civil and environmental engineering. These programs are enhanced by existing, new, and planned facilities in medical and research translation, computer

visualization, big data and high performance computing, energy storage, and grid cybersecurity technologies.

There are also areas of emphasis for research going forward, which provide opportunities for intersection with company R&D needs and suggest potential areas of sub-sector focus for recruitment efforts, which include:

Biomedicine and Healthcare: CNS, bio imaging, brain mapping, infectious diseases, diseases related to aging, obesity-related diseases and metabolomics, oncology, big data computing in the biomedical sciences, genomics and personalized medicine, oral health, and minimally invasive medical devices.

Energy and Environment: Smart Grid technologies, alternative and renewable energy sources including solar films, biofuels, fuel cells, energy harvesting, device-scale to grid-scale energy storage.

Security and Defense: Cyber-security and intelligent computing for public safety, gamma radiation detection, self-powered/harsh environment sensors, self-deployable structures, markers for toxin-induced neuropathology's, multiphysics, multiscale reactive fluid and structure interactions.

The alignment of StartUP NY companies with these mission priorities will be facilitated by our comprehensive suite of "Cradle to Fortune 500" business assistance and economic development programs.

5) Provide a description of how participation by these types of businesses in the Start-Up NY program will generate positive community and economic benefits, including but not limited to:

- Increased employment opportunities;
- Increased opportunities for internships, vocational training and experiential learning for undergraduate and graduate study;
- Diversification of the local economy;
- Environmental sustainability;
- Increased entrepreneurship opportunities;
- Positive, non-competitive and/or synergistic links to existing businesses;
- Effect on the local economy; and
- Opportunities as a magnet for economic and social growth.

COMMUNITY BENEFITS AND OUTCOMES

The fundamental goal of StartUP NY is to attract and retain companies that will continue to grow and provide good jobs for New Yorkers. Stony Brook's StartUP NY program will pursue this goal of increased employment opportunities in the context of the regional vision articulated by Long Island's Regional Economic Development Council: to make Long Island "a global center for innovation and the model for a knowledge-based suburban economy" founded on a diversified range of innovation-driven industry clusters in the life sciences, information technology, clean energy, defense and homeland security. (Long Island's Future Economy, November 14, 2011, p.1)

Job growth potential, and the economic multiplier for these jobs, will be a threshold metric for community benefit. However, the most prized companies will show the capacity to drive the growth of these regionally-targeted clusters and help sustain them through technology innovation collaboration with the University and other regional research institutions, and

creation of positive linkages with existing businesses. They will also provide leadership for new initiatives in their industry sectors benefitting both the region and the state.

Through efforts including but not limited to the formation of Accelerate Long Island, the region's unsurpassed concentration of major research institutions — which include in addition to Stony Brook, the only multi-program federal laboratory in the Northeast at Brookhaven National Laboratory, one of the world's most distinguished private biological sciences laboratories at Cold Spring Harbor Laboratory, and the rapidly growing Feinstein Institute for Medical Research — Long Island has demonstrated a strong commitment to exploiting the products of discovery and invention to drive its economy. Stony Brook's StartUP NY program will contribute substantially to the fulfillment of that great purpose.

Corporate citizenship will be measured not only by participation in regional entrepreneurship support and STEM efforts — expressions of enlightened self-interest — but also by companies' contributions to the social health and welfare of the region and all its residents. StartUP-NY provides a magnet and platform for cooperative company recruitment and retention and job creation through collaboration not only between Stony Brook and the Empire State Development Corporation, but also with the region's IDAs, Regional Technology Development Center and other economic development agencies and with its business organizations — including the Long Island Association, the region's largest, LISTnet, representing the powerful information technology sector, and the Hauppauge Industrial Association, supporting one of the East Coast's largest industrial parks — as a powerful new vehicle for economic growth.

Stony Brook's programs provide internship, training and research opportunities for students at all levels, graduate and undergraduate, as well as full-time employment opportunities for graduates, and research collaboration opportunities at the frontiers of knowledge for faculty. Our programs also support university researchers to commercialize the products of their discovery and invention, and guidance for the development of new academic programs consistent with the emerging needs of industries at the leading edge of innovation.

Through this platform, Stony Brook's StartUP NY program will seek to establish the long-term relationships with the companies locating in the campus Start-Up NY area that will keep them here and growing long after the tax benefits that brought them in to the program expire, providing a permanent strong foundation for the regional economy and a source of ever-expanding opportunity for Long Islanders. To further leverage the reach of StartUP NY, Stony Brook will refer companies to other regional campuses, local economic development agencies and ESDC who may not meet our mission but who might meet the mission of another location.

Finally, Stony Brook, which has abundant R&D support and business assistance resources for companies in the biotechnology sector, has agreed to cooperate with Farmingdale State College, which has some 80,000 sf of space suitable for occupants in this sector, including an abundance of wet lab and other pre-clinical R&D space that is expected to be available when the current occupant exits in 2014. This developing relationship will maximize the regional potential for recruiting and retaining companies in this sector in the state and especially in the Long Island region.

In summary, our economic impact is significant — we are the largest single-site employer on Long Island, and our research discoveries have led to new technologies, new drugs and high-tech companies that have saved lives and changed the world. Our incubators have produced successful new companies at a rate five-and-a-half times greater than the survival rate typical

of technology startups. We educate large numbers of bright, qualified students, many from low income or diverse backgrounds. We provide experiential educational opportunities for undergraduates and graduates. We have enriched the lives of New Yorkers from Montauk to Buffalo by combining our education, research and discovery with our economic development expertise to deliver our intellectual capital to those who can most benefit from it. But we must do more. And now we can.

- 6) Provide a description of the process the Sponsor will follow to select participating businesses. The description should identify the membership of any group or committee that may make recommendations, the final decision-maker, and the criteria that will be used to make decisions. The criteria may include some or all of the following:

A. **Academic and Research Alignment**

1. Is the business in an industry aligned with current and/or developing University research, scholarly, and creative activity?
2. Does the business provide experiential learning and workforce opportunities (e.g., internships, fellowships, full-time jobs) for students and graduates?
3. Does the business provide areas for partnership and advancement for faculty and students?
4. Will the business provide access to research instrumentation, tools, and/or equipment necessary to advance the academic and research mission?
5. Will the business fund scholarships, campus facilities or other academic services or amenities?
6. Will the business and/or its employees contribute to instruction or provide student mentoring?
7. Does the business offer the use of company resources, intellectual property or expertise to support the academic mission?

B. **Economic Benefit**

1. How many net new jobs will be created?
2. Is the business viable in both the short- and long-term?
3. Will the business attract private financial investment?
4. Does the business plan to make capital investments (e.g., renovation, new construction)?
5. Are the new jobs in critical areas of the economy?
6. How will the University financially benefit from the terms of the lease?

C. **Community Benefits**

1. Does the business have the support of one or more municipal or community entities?
2. Is the business recruiting employees from the local workforce?
3. Does the business invest in underserved, economically distressed regions?
4. Will the business rely on suppliers within the local and regional economy?

Stony Brook University's StartUP NY program is overseen by an Executive Committee consisting of the individuals listed below and implemented by the University's Economic Development Council augmented by the StartUP NY Working Group (membership list at

end of this section), representing the campus' principal state-awarded programs for business assistance and economic development.

Samuel L. Stanley, Jr., President

Kenneth Kaushansky, Sr. Vice-President for Health Sciences and Dean School of Medicine

Dennis Assanis, Provost and Sr. Vice-President of Academic Affairs and Vice-President of Brookhaven Affairs

Yacov Shamash, Vice-President of Economic Development and Dean, College of Engineering and Applied Sciences

David Conover, Vice-President of Research

Barbara Chernow, Sr. Vice-President for Administration

Elaine Crosson, Vice-President for External Relations

Lyle Gomes, Vice-President for Finance and Chief Budget Officer

Matthew Whelan, Vice-President for Strategic Initiatives

The oversight of the senior leadership of the University will ensure alignment with the campus mission. The operational support of the business assistance and economic development programs at Stony Brook will ensure appropriate connections for the companies with the programs that will support them.

The Application Process

The application process is intended to address the novel character of the StartUP NY process, in which the company's original application becomes the contract defining its alignment with the campus mission. The application will detail the job creation history and potential, along with capital investment deliverables, thereby streamlining a two-way information flow between the campus and prospective StartUP NY applicants, and thus providing ample opportunity for information sharing prior to the official submission of the application. This process will ensure appropriate expectations for both parties.

Because the ESD application focuses on the applicant's job creation and capital investment commitments and collects no information about the alignment of their activities with the campus mission, the campus proposes to invite applicants to also complete a written informational document that will enable campus reviewers to identify the company's points of intersection with and capacity to benefit from campus academic and research mission resources. It will also allow the campus to assess each company's prospects for achieving their business goals, and fulfilling their commitments to StartUP NY in the campus environment.

1. Information Sessions In the first year of the program, monthly information sessions will be held for companies that have previously registered through the online Website or do so after otherwise inquiring about StartUP NY at Stony Brook. At these sessions, the ESDC application and campus information document will be distributed, representatives of campus academic and economic development programs will describe the campus mission and economic development resources and representatives of Empire State Development will explain the job creation and capital investment expectations of the program as well as the penalties for failure to fulfill and sustain them. At this point, a company may be referred to ESDC Regional or Central Office for possible consideration by another campus.

2. Preliminary Submission Companies will submit application and information document in draft form and meet with Economic Development/Working Group and LIRO/ESDC representatives to discuss document content and ask and answer questions. Company may revise either or both application and information document prior to initial campus review. At this point, a company may be referred to other regional campuses, local economic development agencies and ESDC if they do not meet our mission but might meet the mission of another location. Note: In Q1, a comprehensive review of current tenants in the University's 106,000 sf of incubator space will be completed and a timeline of prospective "graduates" for submission of StartUP NY applications will be developed for review by the Executive Committee.

3. Initial Review Internal review of draft application by Economic Development Council and Working Group, resulting in tentative recommendation and scheduling of interview.

4. Panel Interview Members of the Stony Brook Executive Committee, Stony Brook Working Group and Economic Development Council appropriate to industry sector and business considerations formally interview company representatives.

5. Report on interview A report will be reviewed by the Stony Brook Executive Committee, which may recommend submission of application and information document in final form for campus transmission to ESDC as sponsored applicant. The Executive Committee may choose to refer applicant to ESDC for consideration elsewhere.

Evaluation Criteria

1. Fulfillment of the fundamental StartUP NY statutory requirements, including technology industry sector or startup stage of growth, non-competition, and conflict of interest.
2. Financial Soundness and Growth Potential. Documentation of past financial performance as well as future growth projections will be requested.
3. Demonstration of business concepts and goals that further the mission of Stony Brook University and capacity to benefit from campus resources, as shown in the information document, informational meetings and panel interview.
4. Description of business activity and technology/ies to be developed at StartUP NY site, including current market size, future projections, sustainable business advantage.
5. Demonstration of positive economic and community benefits, including alignment with the REDC regional vision and broader industry cluster impact beyond job creation, as shown in information document, meetings and panel interview.

Economic Development Council/Stony Brook StartUP NY Working Group Members

Advanced Energy Research and Technology Center- Assistant Vice President for Economic Development Jim Smith
Career Center- Director Mariana Savoca
Center for Biotechnology- Director and Distinguished Professor and Chair of Biomedical Engineering Clint Rubin
Center for Corporate Education and Training- Executive Director Pat Malone

Center for Operational Excellence- Director Teresa Goodfellow
College of Business- Dean Manny London
Economic Development Director and Research Professor of Technology and Society- Dr. Ann-Marie Scheidt
Facilities and Services- Associate Vice President Louis Rispoli
Government and Community Relations- Assistant Vice President Michael Arens
NYS Center of Excellence in Wireless and Information Technology- Executive Director Dr. Satya Sharma
NYS Small Business Development Center- Director Dr. Jeffrey Saelens
Office of Technology Transfer and Industry Relations- Director Peter Donnelly
Sensor CAT- Director and Distinguished Professor and Chair of Electrical and Computer Engineering Serge Luryi, Deputy Director Dr. Peter Shkolnikov and Director of Business Development and Entrepreneur in Residence Dr. Lawrence Weber
Stony Brook Incubation Programs- Executive Director Dr. Anil Dhundale
Clean Energy Business Incubation Program- Associate Director of Business Development David Hamilton
Strategic Partnership for Industrial Resurgence (SPIR) Program- Executive Director and Leading Professor of Materials Science and Engineering Clive Clayton and Associate Director Dr. Lisa Chichura
University Senate Representative, Dr. Robert Kelly
Vice-President for Strategic Initiatives Dr. Matthew Whelan

***INSERT ESDC EXCEL SPREADSHEET
TEMPLATE LISTING ALL DESIGNATED
PROPERTIES**

PUBLIC OFFICERS LAW

§ 74. Code of ethics.

1. **Definition.** As used in this section: The term "**state agency**" shall mean any state department, or division, board, commission, or bureau of any state department or any public benefit corporation or public authority at least one of whose members is appointed by the governor or corporations closely affiliated with specific state agencies as defined by paragraph (d) of subdivision five of section fifty-three-a of the finance law or their successors.

The term "**legislative employee**" shall mean any officer or employee of the legislature but it shall not include members of the legislature.

2. **Rule with respect to conflicts of interest.** No officer or employee of a state agency, member of the legislature or legislative employee should have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction or professional activity or incur any obligation of any nature, which is in substantial conflict with the proper discharge of his duties in the public interest.

3. **Standards.**

- a. No officer or employee of a state agency, member of the legislature or legislative employee should accept other employment which will impair his independence of judgment in the exercise of his official duties.
- b. No officer or employee of a state agency, member of the legislature or legislative employee should accept employment or engage in any business or professional activity which will require him to disclose confidential information which he by reason of his official position or authority.
- c. No officer or employee of a state agency, member of the legislature or legislative employee should disclose confidential information acquired by him in the course of his official duties nor use such information to further his personal interests.
- d. No officer or employee of a state agency, member of the legislature or legislative employee should use or attempt to use his or her official position to secure unwarranted privileges or exemptions for himself or herself or others, including but not limited to, the misappropriation to himself, herself or to others of the property, services or other resources of the state for private business or other compensated non-governmental purposes.
- e. No officer or employee of a state agency, member of the legislature or legislative employee should engage in any transaction as representative or agent of the state with any business entity in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.
- f. An officer or employee of a state agency, member of the legislature or legislative employee should not by his conduct give reasonable basis for the impression that any person can improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

g. An officer or employee of a state agency should abstain from making personal investments in enterprises which he has reason to believe may be directly involved in decisions to be made by him or which will otherwise create substantial conflict between his duty in the public interest and his private interest.

h. An officer or employee of a state agency, member of the legislature or legislative employee should endeavor to pursue a course of conduct which will not raise suspicion among the public that he is likely to be engaged in acts that are in violation of his trust.

i. No officer or employee of a state agency employed on a full-time basis nor any firm or association of which such an officer or employee is a member nor corporation a substantial portion of the stock of which is owned or controlled directly or indirectly by such officer or employee, should sell goods or services to any person, firm, corporation or association which is licensed or whose rates are fixed by the state agency in which such officer or employee serves or is employed.

4. Violations. In addition to any penalty contained in any other provision of law any such officer, member or employee who shall knowingly and intentionally violate any of the provisions of this section may be fined, suspended or removed from office or employment in the manner provided by law. Any such individual who knowingly and intentionally violates the provisions of paragraph b, c, d or i of subdivision three of this section shall be subject to a civil penalty in an amount not to exceed ten thousand dollars and the value of any gift, compensation or benefit received as a result of such violation. Any such individual who knowingly and intentionally violates the provisions of paragraph a, e or g of subdivision three of this section shall be subject to a civil penalty in an amount not to exceed the value of any gift, compensation or benefit received as a result of such violation.


 <p>Category: HR / Labor Relations Legal and Compliance</p> <p>Responsible Office: <u>University Counsel</u></p>	<p>Policy Title: Conflict of Interest Document Number: 6001</p> <p>Effective Date: October 01, 1995</p> <p>This policy item applies to: State-Operated Campuses</p>
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Summary

Faculty and staff of the State University of New York (University) are encouraged to foster an atmosphere of academic freedom by promoting the open and timely exchange of scholarly knowledge independent of personal interests and are required to avoid conflicts of interest. Where potential or actual conflicts exist, faculty and staff are expected to consult with appropriate University officers and abide by University policy. This policy represents a restatement of existing University policy and pertinent state and federal law and regulations.

Policy

Faculty and staff of the State University of New York (University) are encouraged to foster an atmosphere of academic freedom by promoting the open and timely exchange of scholarly knowledge independent of personal interests. In keeping with this obligation, they are also required to avoid conflicts of interest.

In instances where potential or actual conflicts exist, faculty and staff are expected to consult with appropriate University officers and abide by this University policy. It is the responsibility of campus officials charged with implementing this policy to identify potential or actual conflicts of interest and take appropriate steps to manage, reduce, or eliminate them.

This policy represents a restatement of existing University policy and pertinent state and federal law and regulations.

1. University faculty and staff may not engage in other employment which interferes with the performance of their professional obligation.
2. University faculty and staff are expected to comply with the New York State Public Officers Law provisions on conflict of interest and ethical conduct.
3. University faculty and staff, to the extent required by law or regulation, shall disclose at minimum whether they (and their spouses and dependent children) have employment or financial interests or hold significant offices, in external organizations that may affect, or appear to affect, the discharge of professional obligations to the University.
4. University campuses shall ensure that all faculty and staff subject to pertinent laws and regulations disclose financial interests in accordance with procedures to be established by the Chancellor or designee. Campuses shall retain the reported information as required, identify actual or apparent conflicts of interest and seek resolution of such conflicts.
5. Each campus president shall submit to the chancellor's designee the name and title of the person or persons designated as financial disclosure designee(s) and shall further notify the chancellor's designee when a change in that assignment occurs. The chancellor's designee shall also be notified of any reports regarding conflict of interest that are forwarded to state or federal agencies.

Definitions

Conflict of interest — any interest, financial or otherwise, direct or indirect; participation in any business, transaction or professional activity; or incurring of any obligation of any nature, which is or appears to be in substantial conflict with the proper discharge of an employee's duties in the 'public interest. A conflict of interest is also any financial interest that will, or may be reasonably expected to, bias the design, conduct or reporting of sponsored research.

Other Related Information

Outside Activities of University Policy Makers

Ethics in State Government - A Guide for New York State Employees

National Science Foundation, Grant Policy Manual

Procedures

There are no procedures relevant to this policy.

Forms

There are no forms relevant to this policy.

Authority

42 CFR 50, Subpart F

The following link to FindLaw's New York State Laws is provided for users' convenience; it is not the official site for the State of New York laws.

NYS Public Officers Law, Section 73-a, and 73 and 74

In case of questions, readers are advised to refer to the New York State Legislature site for the menu of New York State Consolidated.

Board of Trustees Policies - Appointment of Employees (8 NYCRR Part 335)

State University of New York Board of Trustees Resolution adopted June 27, 1995

History

Memorandum to presidents from the office of the University provost, dated June 30, 1995 regarding revision to University conflict of interest policy to bring it in conformity with federal guidelines issued by the National Science Foundation and the Public Health Service.

Appendices

There are no appendices relevant to this policy.

*INSERT COPY OF ANY OTHER APPLICABLE
CONFLICT OF INTEREST POLICIES OR
GUIDELINES



Stony Brook Medicine Administrative Policy and Procedures

Subject: RI0002 Conflict of Interest	Published Date: 02/25/2013
Ethics, Rights and Responsibilities	Next Review Date: 1/4/2015
Scope: Hospital Wide	Original Creation Date: 03/01/1991

Printed copies are for reference only. Please refer to the electronic copy for the latest version.

Responsible Department/Division/Committee:

Compliance Committee

Policy:

- A. A state employee may not receive compensation from outside sources in return for services rendered by him in relation to matters before a state agency where such compensation is contingent upon the action taken by the state agency.
- B. A state employee may not receive compensation in any form for appearance or rendition of services by himself or another against the interest of the state in relation to any matters or transaction of business by himself or for another before the Court of Claims.
- C. Competitive bidding is required where goods or services in excess of \$25 are sold to state agencies by firms or associations in which the state employee has ownership interest of 10% or more.
- D. Gifts, whether in the form of money, services, loan, travel, entertainment, hospitality or in any other form or promise, valued at any amount greater than nominal value (defined by the New York State Ethics Commission as greater than the price of the average cup of coffee or soft drink), per gift may not be accepted. Employees should not accept a gift from a disqualified source (defined by the New York State Ethics Commission as

any entity regulated by, negotiates with, is in litigation with, seeks contracts with or has contracts with the State of New York). For example, Pharmaceutical companies are generally considered disqualified sources.

- E. Generally, no former state employee may, within two years after termination of his employment with the state, appear before each state agency or render services to any person or firm relating to any cause, preceding or application or other matter before such state agency. No person who has served as a state employee shall, after termination of such state service, appear, practice, communicate or otherwise render services rendered by such former employee in relation to any matter which such person was directly concerned or which he participated during his period of employment. These prohibitions may be waived under special circumstances set forth in the Public Officers Law either by the New York State Ethics Commission, or under special circumstances, when the work requested to be performed is at the request of the Attorney General or his designee.
- F. Firms or associations of which the state officer or employee is a member may render certain services to state agencies, provided the profits resulting there from are not shared by the state employee.
- G. A state employee may not have direct or indirect interest, financial or otherwise, in any transaction or activity which conflicts with the proper discharge of his duties in the public interest.
- H. A state employee should not accept other employment which may impair his independence or judgment in the exercise of his official duties, or pose a conflict in time or interest with his state employment.
- I. A state employee should not accept other employment, or engage in any business or professional activity which may require him to disclose confidential information which he has gained by reason of his state employment.
- J. A state employee should not disclose confidential information acquired in the course of official duties, nor shall such information be used to further the state employee's personal interests.

- K. A state employee should not use his official position to secure unwarranted privileges or exemptions for himself or others.
- L. A state employee should not engage in any transaction as an agent of the state with any firm in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.
- M. A state employee should not by his conduct give a reasonable basis for the impression that any person can improperly influence him/her or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position, or influence of any party or person.
- N. A state employee should not make personal investments in enterprises as per statutes/regulations which he has reason to believe may directly involve decisions by him or which will otherwise create a substantial conflict between his duty in the public interest and his private interest. Additionally, any ownership interest in a competitor, supplier or an entity which refers patients to Stony Brook University Hospital shall be reviewed by the Compliance Officer and/or the Office of University Counsel.
- O. A state employee shall conduct himself in a manner which will inspire confidence and trust among the public. Therefore, a state employee should not endeavor to pursue a course of conduct which will raise suspicion among the public that he is likely to be engaged in acts that are a violation of trust.
- P. A state employee shall not sell goods or services to any person, firm, association or corporation which is licensed or whose rates are fixed by the state agency in which he is employed. Nor shall any firm or association of which he is a member, or a corporation, in which the state employee directly or indirectly owns or controls a substantial portion of the stock, be so engaged.
- Q. A state employee having a direct or indirect financial interest valued at \$10,000 or more in any activity under the jurisdiction of a state regulatory agency shall file with the Secretary of State a written statement of such interest.
- R. A state employee should not supervise an immediate family member.

- S. A state employee shall not use Hospital owned equipment, materials or proprietary information for any outside employment interest.

Definitions:

None

Procedures:

- A. Any employee who has direct or indirect financial interest in any entity which does business with Stony Brook University Hospital must report this in writing to his supervisor, department head or deputy director and the Compliance Officer.
- B. An employee who has direct or indirect financial interest in an entity which does business with Stony Brook University Hospital may not be in any way involved in deciding whether Stony Brook University Hospital will engage the entity, or how much the entity will be paid.
- C. Competitive bidding is required where goods or services in excess of \$25 are sold to state agencies by firms or associations in which state employees have ownership interest of 10% or more.
- D. Any employee who has a financial interest of more than \$10,000 in an entity which does business with Stony Brook University Hospital must, in addition to notifying his supervisor and the Compliance Officer in writing, file the necessary documents with the Secretary of State.
- E. Employees who maintain private practices must notify their supervisors in writing and may not solicit Stony Brook University Hospital patients directly for their private practices. Any evidence of the preceding situations should be reported to the Compliance Officer. Referrals to private practices maintained by Stony Brook University Hospital employees may be made only by individuals who have no financial interest in that practice.
- F. Employees who work for entities which do business with Stony Brook University Hospital must notify their supervisor and may not receive any "casefinding" fees, and their compensation may not be based on any decision by Stony Brook University Hospital to do business with the

entity. Any evidence of the preceding situations should be reported to the Compliance Officer.

- G. Any situations involving a potential conflict of interest which require investigation and further clarification should be referred to the Compliance Officer, or to Counsel's Office for review as necessary.

Forms: (Ctrl-Click form name to view)

None

Policy Cross Reference: (Ctrl-Click policy name to view)

None

Relevant Standards/Codes/Rules/Regulations/Statutes:

- Public Officer's Law, Section 73 and 74
- 19 NYCRR Part 930
- Public Health Law, Section 238-a
- SBUH Pharmaceutical Representatives policy (MM:0011)
- Standards for Commercial Support of Continuing Medical Education
- Letter dated March 11, 2003 From: Bruce A. Androphy, Attorney, State Ethics Commission, To: Dr. Santo Albano, care of Edward Moretti, Director of Human Resources, Stony Brook University Hospital
- Investigator Disclosure Policy (Conflict of Interest policy, p-209)

These cross-references will supersede this policy in the event of a conflict between them.

References and Resources:

None

Chief Executive Officer



Conflict of Interest Policy

Effective Date: March 15, 2013
Supersedes: Conflicts of Interest Policy pursuant to 95-5 Resolution and the Procedure of Investigating Conflict of Interest Policy
Policy Review Date: February 2016
Issuing Authority: Research Foundation President
Responsible Party: Chief Compliance Officer
Contact Information: (518) 434-7145
rcompliance@rfsuny.org

Reason for Policy

As Research Foundation Board Members, Officers, and Employees, we hold positions of trust and must act in the best interests of the Research Foundation. We must avoid any activity that impairs or would reasonably appear to impair the ability to perform our duties with independence and objectivity. A conflict of interest arises if our personal relationships, activities, or finances interfere, or appear to interfere, with our ability to act in the best interests of the Research Foundation.

Research Foundation Board Members, Officers, and Employees must incorporate, where necessary and possible, the following rules into their services on behalf of the Research Foundation. Research Foundation Officers and Employees must adhere to the standards outlined in the New York State Public Officers Law Section 74. This policy incorporates the key standards outlined in Section 74.

Statement of Policy

Research Foundation Board Members, Officers, and Employees may not have any interest or engage in any outside activity which results in an unmanaged conflict of interest. To this end, Board Members, Officers, and Employees must disclose their interests and outside activities, and those of a Related Party, which may affect their ability to perform their duties with independence and objectivity. A conflict of interest must be managed so the conflict is reduced or eliminated, and compliance with conflict of interest management plans should be monitored where necessary.

Prohibited Conflicts of Interest

A conflict of interest exists if you or a Related Party has a Financial or Other Interest that will or may reasonably be expected to:

- substantially conflict with the proper discharge of your duties in the Research Foundation's best interests;
- result in the disclosure of the Research Foundation's information that you have gained by reason of your position or authority; or
- impair your ability to exercise independent judgment in the performance of your duties and

responsibilities.

Conflicts of Interest Posed By Outside Employment, Investments, or Other Business Activities

As a Research Foundation Board Member, Officer or Employee, you must not make personal investments in enterprises that you have reason to believe may be directly involved in decisions to be made by you or will otherwise create substantial conflict between your duty on behalf of the Research Foundation and your private interest.

If you or a Related Party has a Financial or Other Interest in any business entity, you may not represent the Research Foundation in any transaction with that entity and must disclose the interest in accordance with this policy and the Procedure for Managing Conflicts of Interest.

Procurement of goods or services by the Research Foundation shall be conducted consistent with the Foundation's established procurement policy.

You may not accept employment or engage in any business or professional activity that will impair the independence of your judgment in the exercise of your duties for the Research Foundation or require you to disclose confidential information that you gained by reason of your affiliation with the Research Foundation.

Prohibition Against Disclosure or Use of Confidential Material for Personal Gain

The Research Foundation prohibits disclosure of information that is confidential to the Research Foundation, acquired by any Board Member, Officer, or Employee in the course of his/her duties, except as required by law or as expressly authorized in writing by an Officer or other designated representative of the Research Foundation.

Board Members, Officers, and Employees may only use such confidential information in furtherance of their duties as a representative of the Research Foundation and shall not use such confidential information to further their personal interests or that of a Related Party.

You must not accept employment or engage in any business or professional activity that will require you to disclose confidential information that you gained by reason of your official position or affiliation with the Research Foundation.

Use of Research Foundation or State Resources

You may not misappropriate the property, services or other resources of the Research Foundation, SUNY, or others, whether for yourself or someone else.

Avoiding the Appearance of Impropriety

Board Members, Officers, and Employees shall not, by their conduct, give reasonable basis for the impression that any person can improperly influence them or unduly enjoy their favor in performance of their duties, or that they are affected by the kinship, rank, position, or influence of any party or person.

You may not use, or attempt to use, your position to secure unwarranted privileges or exemptions for yourself or others.

Similarly, bribery, extortion, and other attempts to exert undue influence are strictly prohibited. The Research Foundation expects Research Foundation Board Members, Officers, and Employees to avoid any conduct that may give the appearance of engaging in acts that are in violation of their trust.

Disclosing a Real, Apparent, or Potential Conflict of Interest

Board Members, Officers, and Employees must disclose all real, apparent, or potential conflicts of interest for review as described below. At an Operating

Location, those disclosures should be made to the operations manager or his/her designee in accordance with this policy and the Procedure for Managing Conflicts of Interest. Disclosures are required in three instances:

1. **Annual Disclosures By Research Foundation Board Members, Officers, and Key Employees.** Board Members, Officers, and Key Employees must report Direct or Indirect Financial or other Interests that pose or may pose a real, apparent, or potential conflict of interest on an annual basis. These disclosures must be updated both annually and as new reportable interests are obtained or as new reportable activities occur.
2. **Grant-Related Disclosures.** Principal investigators must follow the policy at their respective campus locations.
3. **Situational Disclosures.** Board Members, Officers, and Employees must report any Direct or Indirect Financial Interest or other activity that may pose a conflict of interest under this policy. Such situational disclosures must be made as soon as practicable after the individual learns of the potential conflict.

When a disclosure is made under this policy, the actual, apparent, or potential conflict of interest will be reviewed pursuant to Procedure for Managing Conflicts of Interest. If a conflict of interest is found to exist, the Research Foundation must take steps to manage, reduce, or eliminate the conflict of interest. Individuals may appeal determinations with which they disagree. Please consult the Procedure for Managing Conflicts of Interest for more information.

Violation

In addition to any penalty contained in any provision of law or federal or state policy, individuals who knowingly and intentionally violate any of these provisions may be subject to action by the Research Foundation. For employees, this may include action under the Research Foundation's progressive discipline policy, including suspension or termination from employment.

Recordkeeping

The operating location operations manager must designate an appropriate office of record and must ensure that records related to the disclosure, review, and management of a potential, apparent, or actual conflict of interest are retained and documented. In addition to any recordkeeping process established by the operations manager, all final determinations or management plans must be included in the personnel file of the individual with potential, apparent, or actual conflict of interest.

At the central office, the chief compliance officer must ensure that records related to the disclosure, review, and management of a potential, apparent, or actual conflict of interest for all disclosures, at the central office or otherwise brought to the attention of the chief compliance officer, are retained and documented. In addition to any recordkeeping process established by the chief compliance officer, all final determinations or management plans must be included in the personnel file of the individual with potential, apparent, or actual conflict of interest.

Campus Policy

An Operating Location may adopt a policy no less restrictive than this Policy. If a local policy is adopted, then a copy of that policy must be filed with the RF's chief compliance officer.

Staffing Services

Employees employed by the RF under an agreement or contract, other than the 1977 Agreement between the RF and SUNY must adhere to the conflicts of interest policy in place by the entity the employees are employed to support. In the absence of a policy, the conflicts of interest policy effective at the associated operating location must govern.

Responsibilities

The following table outlines the responsibilities for compliance with this policy:

Responsible Party	Responsibility
Board Members, Officers, and Key Employees	Annual Disclosures
Principal Investigators	Grant-Related Disclosures
Employees	Situational Disclosures as needed

Definitions

Board Member: A member of the Research Foundation's board of directors.

Direct or Indirect Financial or Other Interests: Financial or Other Interests held by the Research Foundation Employee or by their spouse, domestic partner, significant other, family member, dependent, member of household, or business partner.

Employee: Officers, Key Employees, and any individual compensated employee of the Research Foundation.

Financial or Other Interests: Shall include, but are not limited to, the following:

- ownership or investment in any outside enterprise;
- serving as a director, officer, partner, consultant, broker, agent, or representatives of any outside enterprise;
- outside professional activity; or
- outside employment.

Key Employee: A "Key Employee" for purposes of this Policy includes:

1. Vice presidents;
2. Operations managers;
3. Deputy operations managers;
4. Chief research officers;
5. Technology transfer directors;
6. Sponsored program office directors or equivalent;
7. Other appointed officers
8. At the central office:
 - a. Vice presidents
 - b. Senior directors;
 - c. Assistant Vice-Presidents; and
 - d. Directors;
 - e. Other appointed officers; and
9. Any other persons who have procurement authority equal to or

exceeding \$100,000 per transaction.

Officer: An officer elected under the Research Foundation's bylaws, including the Research Foundation's president, general counsel, secretary, and chief financial officer and those appointed pursuant to Article IV Section 13 of the RF's bylaws as appointed officers.

Operating Location: Research Foundation office located at a SUNY campus location or other SUNY location supporting the Research Foundation mission and SUNY operations overseen by an operations manager.

Operations Manager: An individual appointed to the position of operations manager by the Research Foundation.

Principal Investigator: Primary individual(s) in charge of a research grant or other project administered by the Research Foundation. The term "Principal Investigator" includes those individuals serving as co-principal investigators.

Related Party: A Research Foundation Employee's spouse, domestic partner, significant other, family member, dependent, member of household, or business partner.

Research Foundation (or Foundation or RF): The Research Foundation for The State University of New York.

Related Information

Management of Conflicts of Interest Procedure

Managing Conflicts of Interest Guidelines

NYS Public Officer's Law Sections 73 & 74

Conflicts of Interest in Public Health Service Sponsored Programs

Nepotism Policy

Gifts to Employees from Non-RF Sources Policy

Forms

Conflict of Interest Annual Disclosure Statement

Conflict of Interest Situational Disclosure Statement

Change History

Date	Summary of Change
December 7, 2012	Clarifies who is required to disclose conflicts, how, and when. Also allows for locations to use their own conflicts of interest policies and procedures, provided the policy is submitted to the compliance office and is no less restrictive than RF policy. Effective 3/15/2013

Feedback

Was this document clear and easy to follow? Please send your feedback to webfeedback@rfsuny.org.

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The State University
of New York

RESEARCH INTEGRITY

MARCH, 2013

Statement on Research Integrity The State University of New York March, 2013

The value of research for human society, and the trust that the public places in science and the scientific and technological process, are vitally dependent on research integrity.^{1,2}

The State University of New York (SUNY) and the Research Foundation for SUNY (RF) are committed to excellence, objectivity, accountability, professional courtesy, fairness, good stewardship, and – above all – integrity in the conduct of scholarly research.

Research university systems, such as SUNY, are special places where *knowledge creation* through research and scholarship expands and enriches the process of *knowledge dissemination* through teaching and learning, each component acting together to amplify the co-benefits for people and society. It is in such institutions that the “leaders of each new generation are nurtured; it is there that boundaries to our existing knowledge are explored and crossed; it is there that unfettered thinking can thrive and unconstrained intellectual partnerships can be created. It is there, within each new class, within each new generation, that the future is forged.”³

It is a privilege to be able to conduct research and scholarship at SUNY and connect these vital activities with the academic and public service missions of the system. In this light, the research process itself must be transparent and our researchers must take responsibility for assuring the trustworthiness of their research. Freedom of inquiry, openness to new ideas, a love of learning, and a commitment to rigorous study are the necessary components for first-class research and scholarship. SUNY researchers should not avoid difficult or controversial areas, since it is often in these areas that the greatest societal contributions are made. It is professional integrity that allows such new scholarship to be debated, criticized, attacked, defended, digested, and accepted by the scientific community and society, thereby adding to the corpus of human knowledge. When properly exercised, academic freedom, and the concomitant commitment to rigor and excellence, yields the knowledge base on which tomorrow's society depends.

SUNY seeks to reaffirm and maintain its full commitment to integrity in research. This commitment will incorporate regular review and update of existing policies with the following principles in mind.

¹ Singapore Statement on Research Integrity, 2nd World Conference on Research Integrity, 21-24 July, 2010, Singapore
<http://www.icsu.org/publications/cfrs-statements/singapore-research-integrity>

² Scientific Integrity; Presidential Memorandum for Heads of Executive Departments and Agencies, the White House, March 9, 2009
<http://www.whitehouse.gov/the-press-office/memorandum-heads-executive-departments-and-agencies-3-9-09>

³ Duderstadt, James, J. et al., *A University for the 21st Century*, University of Michigan press, 2003, p324

SUNY Principles of Research Integrity

1. **Integrity:** Researchers and scholars should take responsibility for the integrity of their work and results. Campus and system administrators should take responsibility for the formulation and implementation of policies related to research integrity.
2. **Compliance with regulations:** Researchers and scholars should be aware of and comply with regulations and policies related to research.
3. **Research methods:** Researchers and scholars should employ appropriate research methods, base conclusions on critical analysis of the evidence and report findings fully and objectively.
4. **Transparency:** Basic research should be open to review and vetting. Known potential conflicts of interest should be disclosed along with funding sources and affiliations.
5. **Independence:** Researchers must be free of undue outside influence when conducting or reviewing research. Many science and technology issues are closely related to and may influence a number of public policy issues and priorities, making "high quality objective scientific advice" vital and in the public interest.
6. **Free and Open Communication:** SUNY researchers and scholars are free to express their personal opinions in areas of particular expertise, so long as it is clear those opinions are theirs and not SUNY's or the RF's. This is true no matter how controversial the subject, even if there are public policy implications. When engaged in public discussions about the importance and application of their research findings, researchers should clearly distinguish professional comments from opinions based on personal views. In their outside communications, employees have an obligation to indicate that they are not institutional spokespersons.
7. **Authorship:** Researchers and scholars must have the ability to review, comment, and amend a final version of a document or publication that relies on their research or represents their scientific opinion. Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. Lists of authors should include all those and only those who meet applicable authorship criteria. All authors must review and approve the document prior to submission. All those (including funders) who made significant contributions (but do not meet applicable authorship criteria) should be acknowledged in publications and reports.
8. **Information Sharing:** Sharing information and research data is a key component of the scientific process. Researchers should keep clear, accurate records of all research in ways that will allow verification and replication of their work by others. Researchers should share data and findings openly and promptly, as soon as they have had an opportunity to establish priority and ownership claims. Researcher should be aware of and comply with policies with regard to disclosures, patents and intellectual property rights.
9. **Peer Review:** Unbiased peer review is essential in research and provides for credibility and important quality assurance for the many stakeholders involved. Researchers should provide fair, prompt, and rigorous evaluations and respect confidentiality when reviewing others' work. Researchers should not claim that a piece has been peer reviewed if accepted disciplinary norms and standards have not been followed.
10. **External Pressure and Biases:** Undue external pressure must be absent from the research process. Scientists and researchers must be protected from undue external pressures from private and public sponsors, government officials, and university administrators.
11. **Conflicts of Interest:** Policies and procedures governing disclosure and management of conflicts of interest must be well developed and rigorously observed. Researchers should disclose financial and other conflicts of interest that could compromise the trustworthiness of their work in research proposals, publications and public communications, as well as in all review activities.
12. **Misconduct Allegations:** Allegations of fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results must be reviewed pursuant to applicable policies. Individual whistleblowers must be protected from retaliation. When misconduct or other irresponsible research practice is confirmed, appropriate actions should be taken promptly, including correcting the research record.
13. **Protecting Human Subjects and Humane Use of Animals:** All researchers must protect the rights and welfare of any human research subjects and must obtain prior approval from their Institutional Review Board for such work to go forward. All research on animals must be conducted in a humane manner. Researchers planning to use live vertebrate animals for research or education must obtain prior approval from their Institutional Animal Care and Use Committee.
14. **Scientific Basis for Public Policy and Discourse:** When researchers or scientists have reason to believe that policy makers may utilize their research or publications as the basis of supporting or rejecting a policy initiative, researchers and the university should make every effort to present or disclose information related to the underlying research, the findings, the scientific approach and process used to develop the underlying scientific information.⁴
15. **Research Environments:** Research institutions should create and sustain environments that encourage integrity through education, clear policies, and reasonable standards for advancement, while fostering work environments that support research integrity.
16. **Societal Considerations:** Researchers, scholars and the SUNY institutions that support them should recognize that they bear an important ethical obligation to appropriately weigh societal benefits against risks inherent in their work. This is especially important in areas that touch on public health and safety.

⁴United States Department of Agriculture, Secretary's Memorandum 1074-001, USDA Scientific Integrity Policy p2.

[Policies](#) > P209: Investigator Conflict of Interest Policy

P209: Investigator Conflict of Interest Policy

Issued by:

Office of the Vice President for Research

Updated:

August 24, 2012

I. Background and Objectives:

Stony Brook University as a community and as a public institution of higher learning is committed to promoting the highest quality research and creative activity. In meeting this commitment, the University encourages interaction of its members (faculty, administrators, students, staff and fellows) with the public and private sectors as an important component of its educational, research and public service missions. External support through grants, contracts and gifts from public and private sources is necessary to provide significant assistance and direction for University activities. Professional interactions with public agencies, private businesses, non-profit organizations and individuals advance the University's ability to provide research and educational experience for our students, contribute to the economic well being of our community, and add to our store of knowledge and understanding. Similarly, technology transfer in the form of patents, licensing agreements, and consulting opportunities for University members are important means of meeting the needs of society and fostering the welfare of the citizens of the State of New York.

The University and its members, in pursuing their teaching, research and public service missions, are committed to meeting the highest ethical standards and to minimizing the risks of conflict of interest or the appearance of conflict of interest between the private and the public interests the University serves. As part of this commitment, the University and its members share an obligation to protect the University's mission and reputation from being compromised by private interests. Furthermore, the University must operate with policies consistent with various federal funding agencies.

To this end, disclosure by Investigators at the University of outside personal interests and obligations, and effective management of actual or apparent conflicts of interest are essential.

II. Statement of Policy:

The responsibilities and obligations of Investigators to the University must be clearly separated from personal financial interests or other obligations. Prudent stewardship of public funds requires protecting University research, education and public service from being compromised by the private interests or obligations of any investigator.

This policy sets forth requirements and guidelines for:

- disclosure of outside interests by investigators at Stony Brook University who engage in University activities funded by specified internal and external entities;
- review of investigator disclosures by University officials; and
- identifying, reporting and managing conflicts of interest.

III. Applicability:

This policy applies to Stony Brook University faculty, staff or students who serve as investigators (as defined below) in:

- a. any and all externally supported activities for University programs, projects, activities and services, solicited and unsolicited, including gifts and donations specifically made to support the activities of identified individuals and
- b. internally supported activities, where support is granted following formal application to an SBU program in response to a request for proposals (for example, Targeted Research Opportunity 'TRO' Grants)

Note: Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) applications are exempt from the additional specific requirements referenced in this policy pertaining to PHS/NIH activities. SBU investigators on such applications are NOT exempt however, from any other requirements (e.g., disclosure, need to comply with management plans, etc.) set forth in this policy.

IV. Definitions:

A. Conflict of Interest:

Conflicts of interest in the conduct of externally and applicable internally supported activities, may take various forms, but typically arise when an investigator at the University is, or may be, in a position to influence activities or University decisions in ways that could lead to personal gain for the investigator or the investigator's family, or give an improper advantage to third parties in their dealings with the University. Conflicts may also arise when investigators have outside obligations of any kind that are in substantial conflict with the investigator's University responsibilities or the public interest.

1. The potential for conflicts of interest may arise from Investigators':
 - a. specific actions (e.g., consultant arrangements), or
 - b. the nature of positions they hold at the University and outside the University (e.g., board positions, paid or unpaid), or
 - c. by the financial interests they or their immediate family hold.
2. A conflict can result when:
 - a. The significant financial interests of an investigator could directly and significantly affect the design, conduct, or reporting of his or her externally and applicable internally supported activities
 - b. An investigator has a significant non-University obligation to either:
 - i. an individual or a private organization that provides support for a University research, educational or public service activity; or
 - ii. an organization (or individual) with which (whom) the University has an agreement to provide support for the conduct of a program project, activity or service supervised by the investigator.
 - c. The investigator has a consulting arrangement with a business enterprise that either:
 - i. supports, or is supported by, University programs involving the investigator; or

- ii. is licensed to commercialize University technologies invented by the investigator
- d. The investigator has significant financial interest (see definition) in a business enterprise that either:
 - i. supports, or is supported by, the Investigator's SBU research; or
 - ii. owns, or has applied for the patent, or manufacturing or marketing rights to a drug, device, product, or procedure that either:
 - is a subject of, or will predictably result from, the Investigator's SBU research, or
 - can reasonably be expected to compete with a drug, device, product or procedure that will predictably result from the Investigator's SBU research.
- e. The investigator holds a position as consultant, officer, director, trustee or owner of a non-University business enterprise that supports or is supported by the Investigator's SBU research.

B. Designated Institutional Official: see Vice President for Research (below)

C. Financial Conflict of Interest (FCOI):

A significant financial interest (SFI; see definition 'G' below) that is related to, and that could directly and significantly affect, the design, conduct, or reporting of externally and applicable- internally supported activities. The recommendation that an SFI constitutes a determination of FCOI is made by SBU's COI Committee, with final concurrence by the VPR/designee.

D. Institutional responsibilities:

All professional responsibilities and activities for which the investigator was hired to perform at, and is paid by, this Institution, including but not limited to research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

E. Investigator:

The project director, principal investigator, co-principal investigators and all other person(s) who are responsible for the design, conduct, or reporting of externally or internally supported activities as specifically defined in (a) and (b) of the Applicability section above. Individuals who do not make independent decisions regarding the design, conduct, or reporting of the activity in question, and only work on or are engaged in the activity do not meet SBU's definition of an investigator (for example, in most cases research assistants, undergraduates and secretaries will not be considered 'investigators').

Note:

- For the purposes of this policy, "Investigator" shall include the Investigator's spouse and all dependent children.
- PHS/NIH only: this definition includes collaborators or consultants.

F. Senior/key personnel (PHS/NIH Only):

The PD/PI and any other person identified as senior/key personnel in the grant application or contract, progress report, or any other report submitted to PHS/NIH (including those required by this policy) are considered investigators.

Note: this subgroup is specifically defined as these are the individuals for whom the public disclosure requirement addressed below pertains.

G. Significant Financial Interest (SFI):

1. A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities, i.e., if either the investigator's interests, or the entity in which the investigator has interests, relies upon the same expertise utilized to carry out the investigator's institutional responsibilities as defined above, it is considered an SFI:
 - a. With regard to any publicly traded entity, a significant financial interest exists if:
 - i. the value of any remuneration* received from the entity in the twelve months preceding the disclosure and/or
 - ii. the value of any equity interest** in the entity as of the date of disclosure, when aggregated, exceeds \$5,000.

*Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);

**equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
 - b. With regard to any non-publicly traded entity, a significant financial interest exists if:
 - i. the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or
 - ii. the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest);
 - c. Intellectual property rights and interests (e.g., patents, copyrights), royalties from such rights, and agreements to share in royalties related to such rights, upon receipt of income related to such rights and interests. At SBU, all royalties are to be disclosed, including those received by the Investigator from this institution
2. PHS/NIH only: Investigators also must disclose the occurrence (over the preceding 12 months) of any reimbursed travel or sponsored travel (i.e., that which is paid on behalf of the Investigator) that is related to their institutional responsibilities (* in other words, the purpose of the travel relies upon the same expertise used to carry out the investigator's institutional responsibilities as defined in section IV). The disclosure must include the sponsor, destination, duration, and purpose of the travel. Excluded from this requirement is travel that is reimbursed or sponsored by federal, state or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

H. Significant Financial Interest (SFI) Exclusions

- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;

- Income from seminars, lectures, or teaching engagements sponsored by a federal, state or local government agency, a (United States) Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or
- Income from service on advisory committees or review panels for a federal, state or local government agency, a (United States) Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

I. Significant Obligations (SO):

Significant obligations include unpaid positions held as an officer, trustee, director, employee or consultant of a for-profit or not-for-profit entity, that would reasonably appear to directly and significantly affect (i.e., have a relevant and consequential effect on) the work funded or proposed by the University for external and selected internal funding.

J. Stony Brook University (SBU):

In this policy, the term Stony Brook University includes all Schools and Centers within the State University of New York at Stony Brook, the Research Foundation for the State University of New York as it relates to the Stony Brook University, the Stony Brook Foundation, Stony Brook Medicine (including University Hospital), and the Long Island State Veterans Home.

K. Vice President for Research (VPR) serves as the Designated Institutional Official for this policy and shall be taken to include his/her appointed designee(s)*. The VPR will:

- solicit & review disclosure statements from each Investigator required to submit such disclosures,
- Provide guidelines to identify conflicting interests (e.g., see 'Conflict of Interest' definition, above)
- develop management plans that specify the actions that have been, and shall be, taken to manage FCOI

*Designees to the VPR may include:

- Assistant Vice President for Research Compliance,
- Assistant Vice President for Research Operations,
- COI Committee (appointed by the VPR).

These individuals/this committee will be advisory to the VPR and act on his/her behalf on delegated responsibilities pertaining to this policy.

V. Timing of Disclosures:

Disclosures required by this policy are to be made:

- At the time of submission to the Office of Sponsored Program (OSP) of an applicable proposal for funding and
- Within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance etc.) a new SFI. (A new SFI is a different type or nature of SFI [e.g., royalty payment versus consulting fees] than what had previously been disclosed from the same source that meets or exceeds the threshold. In addition, a "new" SFI is also considered to be the same type or nature of SFI [e.g., royalty payment] from a different source [e.g., company A versus company B]). For PHS/NIH funded investigators, applicable travel must be disclosed within 30 days of said travel. Alternatively, travel that is anticipated can be disclosed anytime in advance and would satisfy the 30 day requirement. and (PHS/NIH Only):
- At least annually, commencing with, and on the anniversary of, the date of award, during the period of award (including notices of awards for continuations or competitive renewals).

VI. Procedure for Disclosure Submission:

A. Investigator Disclosure Forms Part I and Part II

The process described below requires the utmost discretion by all participants. To the maximum extent permitted by federal and state law, and by University policy, all elements of this process are to be treated as strictly confidential. The purpose of confidentiality is to assure that the integrity of the research and the Investigator, as well as the interests of the University, are protected at all times. It is for this reason that the disclosure procedure is a two-step process via use of Investigator Disclosure Form (IDF) Part I and Investigator Disclosure Form (IDF) Part II.

These forms are available online at: <http://www.stonybrook.edu/research/orc/coi-new-regulations.shtml>

IDF Part I is a yes/no survey the investigator completes to simply assess if s/he has significant financial interests (SFI's). The presence of this general assessment for all investigators named on a grant proposal is confirmed by the Office of Sponsored Programs (OSP) at the time of submission of the proposal in COEUS. No other review takes place by OSP. The answers provided in IDF Part I are reviewed by the COI Administrator within the COI division of the Office of Research Compliance ("COI Office") for the presence of SFI's. If SFI's are identified, the administrator waits for the submission by the investigators of the IDF Part II.

If the investigator answers 'yes' to any of the SFI questions on IDF Part I, s/he then completes IDF Part II within seven (7) working days. This document asks for the specific information concerning the identified SFI(s) that, along with the grant proposal, will allow the COI Office and COI Committee to determine if the SFI is an FCOI, requiring review, and development (if possible) of a conflict management plan. This IDF Part II is sent directly to the COI Office so that the details concerning SFI's are available only to that office, the COI Committee, and others on a 'need to know' basis.

B. Procedure for disclosures to be made at the time of submission to the Office of Sponsored Program (OSP) of an applicable proposal for funding for processing (or transfer of funds from Stony Brook Foundation to Research Foundation for research activities) via COEUS:

1. All individuals named on a grant who meet this policy's definition of 'investigator' must complete an IDF Part I and upload it into COEUS with the rest of the proposal documents.

2. Any investigator answering 'yes' to one or more of the questions asked in Section B of that document must complete an IDF Part II and submit it to the COI Office within seven working days.
3. Upon receipt of the proposal, the Office of Sponsored Programs (OSP) will confirm that Part I of the Investigator Disclosure Form has been uploaded into COEUS for all investigators named in the proposal and others as applicable.
4. PHS/NIH Only: Where the proposal involves sub-recipients, OSP will, as part of the written agreement with the sub-recipient, establish terms regarding whether the FCOI policy of SBU or the sub-recipient's institution will apply to the sub-recipient's investigators.
 1. If sub-recipient's institutional FCOI policy will apply to the sub-recipient investigators, the agreement will include a requirement that the sub-recipient's institution must:
 - a. provide certification that its FCOI policy complies with PHS regulation.
 - b. Report to SBU identified FCOI's for its investigators in a time frame that allows SBU to report said FCOI's to the NIH as detailed below (Reporting to External Sponsors, 'for PHS/NIH only').
 2. If SBU's FCOI policy will apply to sub-recipient investigators, the agreement will include a requirement that said investigators will submit disclosures to SBU for review, identification, and handling of FCOI's as required by this policy (including those required only for PHS/NIH activities)

C. Procedures for disclosures to be made within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance etc.) a new SFI.

A new SFI is a different type or nature of SFI [e.g., royalty payment versus consulting fees] than what had previously been disclosed from the same source that meets or exceeds the threshold. In addition, a "new" SFI is also considered to be the same type or nature of SFI [e.g., royalty payment] from a different source [e.g., company A versus company B]. For PHS/NIH funded investigators, the occurrence of new applicable travel constitutes a new SFI.

If information in the IDF's Part I or Part 2 last provided by an investigator has changed due to the acquisition of a new SFI, s/he has 30 days from discovery/acquisition to file the revised Form I and Form II to the COI Office within the Office of Research Compliance. The investigator should consider all his or her funded activities when providing opinion in Part II regarding whether or not the new SFI would directly and significantly affect, the design, conduct, or reporting of externally and applicable- internally supported activities.

For PHS/NIH funded investigators, although applicable travel not previously disclosed must be disclosed within 30 days of said travel, it should be noted that travel that is anticipated can be disclosed anytime up to one year in advance and would satisfy the 30 day requirement.

D. Procedures for disclosures required at least annually, commencing with, and on the anniversary of, the date of award, during the period of award (PHS/NIH Only)

PHS awards (including notices of awards for continuations or competitive renewals) with issuance dates on August 24, 2012 or later require that updated IDF's Part I and Part II (if required) be submitted by all investigators named on the applicable grant at the time of the award. This must be done on the initial issuance date, and on the anniversary of that date thereafter for the life of the award. Submissions are made to the COI Office within the ORC.

VII. Procedure for Disclosure Review:

- A. All IDF Part I forms are reviewed by the COI Office for identification of disclosed SFI's. No action is taken on IDF Part I forms where no SFI's are identified. The COI Office will follow up with investigators who submitted IDF Part I's with disclosure of SFI's, and who and have not additionally submitted the IDF Part II within the required 7 working days.
- B. Where the disclosure process identifies one or more SFI's for a given investigator, the COI Office will create a complete disclosure review package, including all disclosure forms and the grant proposal and place the case on a meeting agenda for review by the COI Committee.
- C. The convened COI committee will review the SFI's and to determine if an FCOI or (confirm that an) SO exists (i.e., the SFI or SO could directly and significantly affect the design, conduct, or reporting of applicable activities covered under this policy).
 - Note: In any such case where human subjects research is involved, the COI Administrator will work with the Office of Research Compliance to ensure that the IRBs are aware of the case being reviewed. The fully convened IRB will conduct independent review of the potential conflict in compliance with its own COI policy, and to ensure the protection of human subjects.
- D. For all identified FCOI's and SO's, the COI Committee will develop and implement a management plan. If the University is unable to resolve a real or potential conflict of interest or the appearance of same, it will decline to perform the activity in question. Where human subjects are involved, the IRB may modify and/or add to the management plan. Where there is discrepancy or disagreement, the IRB's decision will supersede that of the COI Committee.
 1. Possible Management plans include but are not limited to:
 - a. Public disclosure of significant financial interests;
 - b. Monitoring of research by independent reviewers;
 - c. Modification of the research plan;
 - d. Disqualification from participation in the portion of the externally funded research that would be affected by the significant financial interests;
 - e. Divestiture of significant financial interests;
 - f. Severance of relationships that create actual or potential conflicts
 - g. Removal of investigator as Principal Investigator/Project Director.
 - h. Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the Financial Conflict of Interest;
 - i. Additional remedies specific to the conduct of research involving human subjects, including but not limited to, disclosure in the consent process of the identified investigator and identified conflict, the removal of the investigator's ability to recruit and/or consent research subjects.
 2. Documentation of the management plan will include:
 - a. The role and principal duties of the conflicted Investigator in the research project;
 - b. Conditions of the management plan;
 - c. How the management plan is designed to safeguard objectivity in the research project;
 - d. Confirmation of the Investigator's agreement to the management plan;
 - e. How the management plan will be monitored to ensure Investigator compliance; and
 - f. Other information as needed
- E. Recommendations for management plans proposed by the COI Committee will be conveyed by the COI Administrator to the Vice President for Research or his/her designee. Once approval is provided by the VPR/designee, the COI Committee will convey the notice of FCOI and associated management plan to the Investigator, associated Chair, and associated Dean (the VPR will serve in this capacity when the investigator is a dean or vice president, or is otherwise conflicted). The investigator must provide concurrence and certification for compliance with the management plan in order for the award in question to be established.
- F. For all identified FCOI's and SO's, the COI Committee will monitor compliance with the above referenced plan. Such monitoring will be documented.

VIII. Reporting to External Sponsors

A. For PHS/NIH only:

1. Where an FCOI is found by the COI Committee, details concerning the FCOI (including management plan) will be reported to NIH via the eRA Commons FCOI Module (see appendix 1 for content of report):
 - a. prior to expenditure of any funds under the award,
 - b. within 60 days of identifying a new FCOI for an existing investigator, during the period of the award (FCOI must be determined, and management plan implemented within those 60 days)
 - c. within 60 days of identifying an FCOI for an investigator who is newly participating in the project
 - d. annually report on the status of FCOI and any changes in management plan (Due at same time as annual progress report is submitted, including multi-year progress report, or at time of extension-with or without funds)

These reports are accessible under FOIL.
 2. If upon receipt of the FCOI report, NIH decides that the FCOI will bias the objectivity of research, NIH may impose special award conditions, suspend funding or impose other enforcement mechanisms until the matter is resolved.
 3. In any case in which NIH determines that an PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an Investigator with an FCOI that was not managed or reported by SBU as required by regulation, SBU will require the Investigator involved to disclose the FCOI in each public presentation of the results of the research and to request an addendum to previously published presentations.
- ### B. All other external funding agencies with reporting requirements
1. The VPR/designee will report to the external funding agency/agencies:
 - a. Any instances in which the institution finds it is unable to satisfactorily manage an actual or potential conflict of interest, and
 - b. Any instances where an Investigator participating in externally or selected internally funded research has not complied with this policy, and the specific corrective measures taken by the University.

IX. Appeals

Should an Investigator fail to concur with the management plan recommended by the COI committee, he/she may transmit comments to the VPR within ten working days from receipt of the committee's recommendation. In such a case, the VPR will review the case (which may include seeking the advice of appropriate impartial experts and holding discussions with the investigator and/or the COI committee) and will render a judgment within twenty working days of the time that the committee's initial recommendation is made known to the investigator. Awards for external and selected internal support of a program, project, activity or service may not be activated by the University unless a management plan is in place or the issue is otherwise resolved.

When the Vice President for Research serves as the reviewer of a disclosure statement (for Deans/VPs) the appeal shall be to the President.

X. Compliance with this Policy

General:

In addition to reporting requirements outlined above, if an investigator is found to have failed to comply with this policy or the means determined to resolve a conflict of interest, the VPR shall report promptly in writing to the:

- President, to initiate disciplinary proceedings against said investigator, and
- Assistant Vice President for Research Compliance who will:
 - initiate investigation into matters concerning human subject safety and welfare, and potential regulatory violations, in accordance with federal law governing human subject protections and, if appropriate
 - initiate the processes associated with the University's Research Misconduct policy, if applicable and, if appropriate
 - initiate procedures associated with other relevant University policies, as applicable.

Disciplinary sanctions may include termination or alteration of the employment or academic status of persons against whom charges have been substantiated, and must be consistent with established University and Board of Trustees policies, and applicable collective bargaining agreements. Article 19 of the UUP Agreement shall be the sole source of University discipline for members of the UUP-represented unit. Additional sanctions may be rendered in accordance with applicable University policies (e.g., governing human subject protections, University research misconduct etc).

Upon completion of disciplinary proceedings, the President shall report to the appropriate University officers or bodies, to cognizant federal agencies when federal funds are involved, and to all other parties as necessary.

Additional Actions Required for PHS/NIH Activities:

Retrospective Review:

Whenever an FCOI is not identified or managed in a timely manner, including failure by the investigator to disclose an SFI or comply with a management plan, or failure by SBU to review or manage an FCOI, SBU will, within 120 days of a determination of non-compliance, complete a retrospective review of the investigator's activities and the NIH-funded research project to determine if there was bias in the design, conduct, or reporting of such research. **The following will be documented in the retrospective review:**

- Project number;
- Project title;
- PD/PI or contact PD/PI if a multiple PD/PI model is used;
- Name of the Investigator with the FCOI;
- Name of the entity with which the Investigator has an FCOI;
- Reason(s) for the retrospective review;
- Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
- Findings and conclusions of the review.
- If results of the retrospective review warrant, update previously submitted FCOI report

Mitigation Report:

If bias is found through retrospective review, The Designated Official (VPR) will notify the NIH Awarding Component promptly (through the eRA Commons) and submit a Mitigation Report. The following will be documented in the Mitigation Report:

- Key elements documented in retrospective review
- Description of the impact of the bias on the research project
- Plan of action(s) to eliminate or mitigate the effect of the bias

Thereafter, SBU will submit FCOI reports annually as described above in the Procedures section.

XI. Training

Each Investigator must complete SBU's FCOI training requirement:

- prior to engaging in research related to any grant and at least every four years, and
- immediately under the designated circumstances:
 - SBU COI policies change in a manner that affects Investigator requirements
 - An Investigator is new to SBU
 - SBU finds an Investigator noncompliant with Institution's COI policy or management plan.

XII. Documentation

SBU will maintain records of all Investigator disclosures and the Institution's review of, and response to, such disclosures (whether or not a disclosure resulted in the Institution's determination of FCOI or SO) and all actions under the Institution's policy or retrospective review (in the case of PHS/NIH funds) for at least three years from the date of submission of the final expenditures report or, in the case of PHS/NIH, from other dates specified in 45 C.F.R. 74.53(b) and 92.42 (b) for different situations.

XIII. Public Disclosure of FCOI's (PHS/NIH Only)

Stony Brook University will make certain information concerning FCOIs held by senior/key personnel available via a written response to any requestor within five business days of a request, and update such information as specified in the regulation. In response to such request, the Institution will provide:

- Investigator's name;
- Investigator's title and role with respect to the research project;
- Name of the entity in which the SFI is held;
- Nature of the SFI; and
- Approximate dollar value of the SFI (dollar ranges will be provided, e.g., \$0-\$4,999; \$5,000-\$9,999; \$10,000-\$19,999; amounts between \$20,000-\$100,000 by increments of \$20,000; amounts above \$100,000 by increments of \$50,000), or a statement that the interest is one whose value cannot be readily determined through references to public prices or other reasonable measures of fair market value.

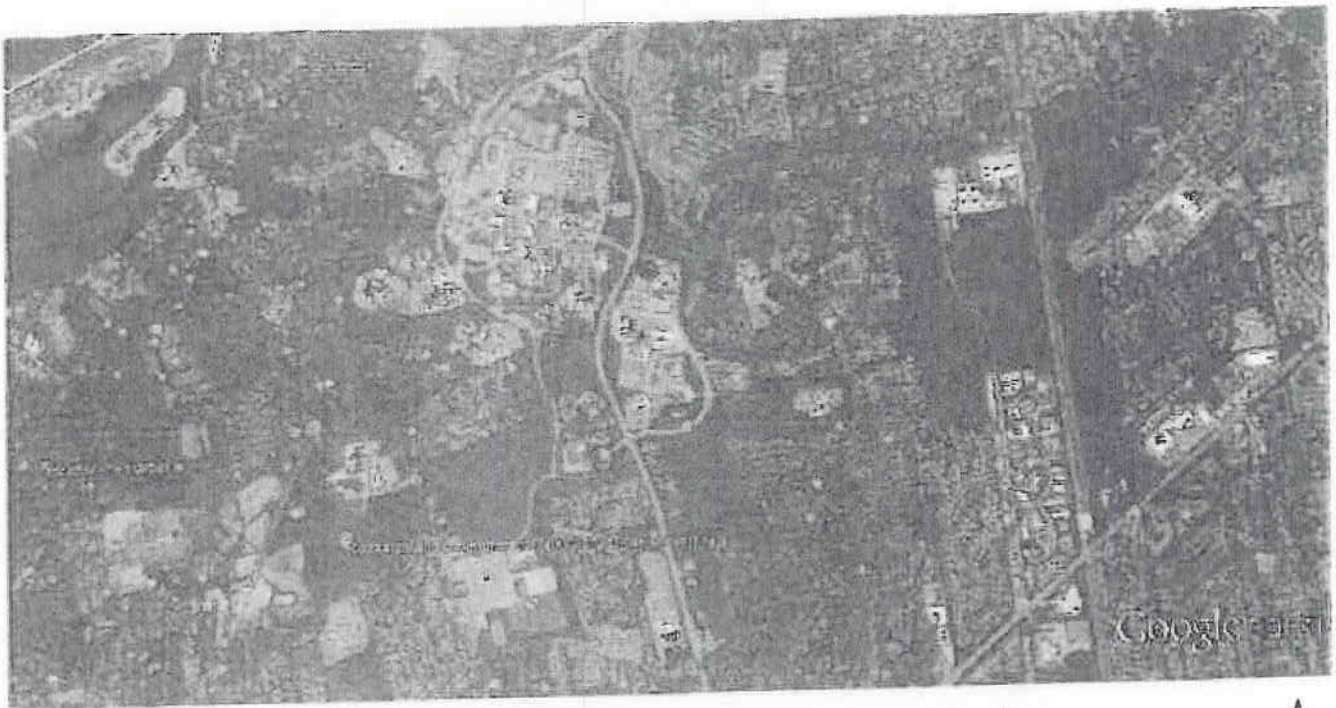
Questions may be directed to:

Assistant Vice President for Research Compliance
Office of Research Compliance
W5530 Frank J. Melville, Jr. Library
Zip: 3368
Phone: (631) 632-9036
Fax: (631) 632-9839

Appendix 1:

FCOI Reports to NIH will consist of:

- Grant number;
- PD/PI or contact PD/PI;
- Name of Investigator with the FCOI;
- Name of the entity with which the Investigator has an FCOI;
- Nature of FCOI (e.g., equity, consulting fees, travel reimbursement, honoraria);
- Value of the financial interest \$0-\$4,999; \$5K-\$9,999; \$10K-\$19,999; amts between \$20K-\$100K by increments of \$20K; amts above \$100K by increments of \$50K or a statement that a value cannot be readily determined;
- A description how the financial interest relates to NIH-funded research and the basis for the Institution's determination that the financial interest conflicts with such research; and
- Key elements of the Institution's management plan, including:
 - Role and principal duties of the conflicted Investigator in the research project;
 - Conditions of the management plan;
 - How the management plan is designed to safeguard objectivity in the research project;
 - Confirmation of the Investigator's agreement to the management plan;
 - How the management plan will be monitored to ensure Investigator compliance; and
 - Other information as needed.



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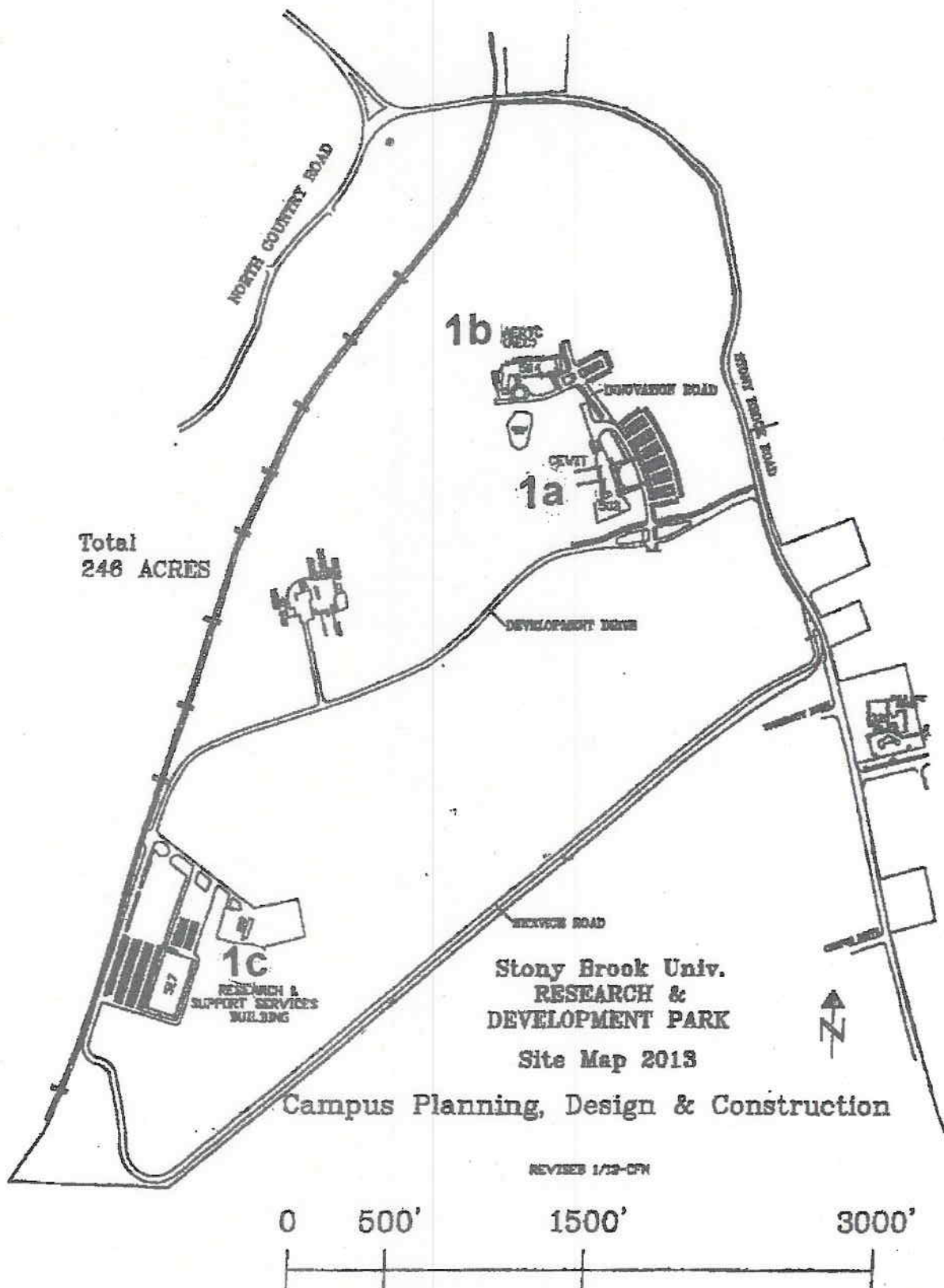
**1) Research and Development Park
Stony Brook University**



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**1a) New York State
Center for Excellence in Wireless
and Information Technology
(CEWIT)**



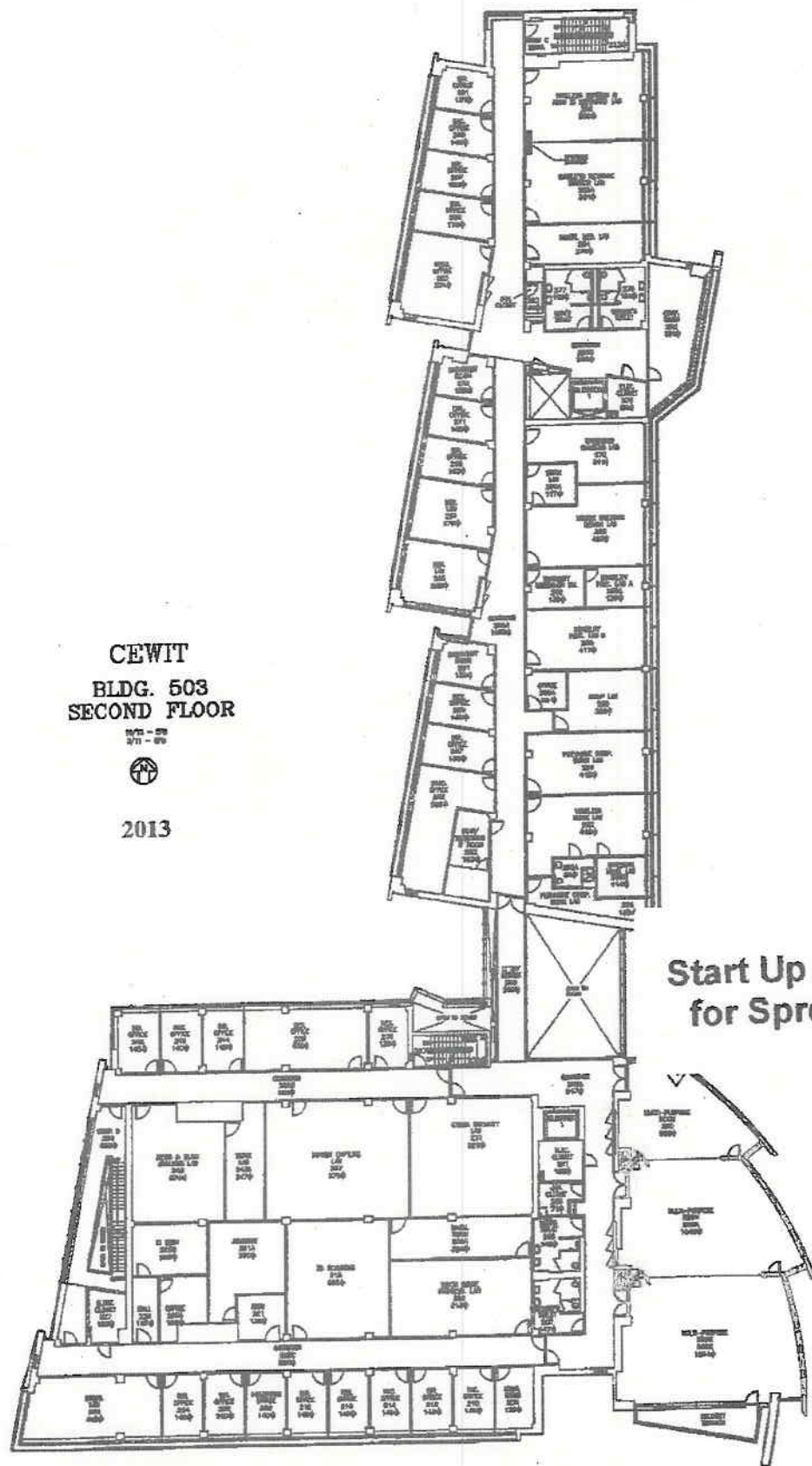
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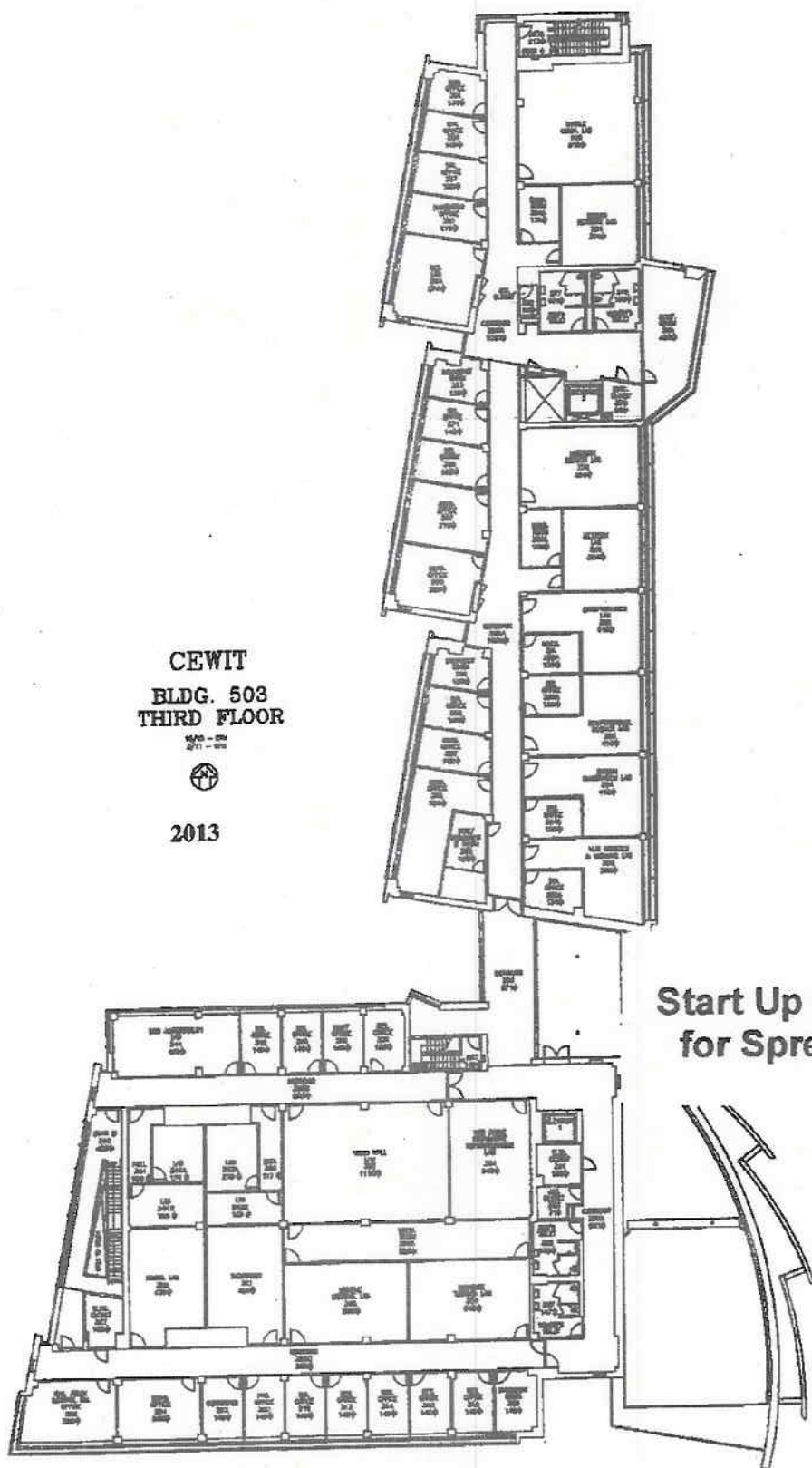
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BLDG. 503
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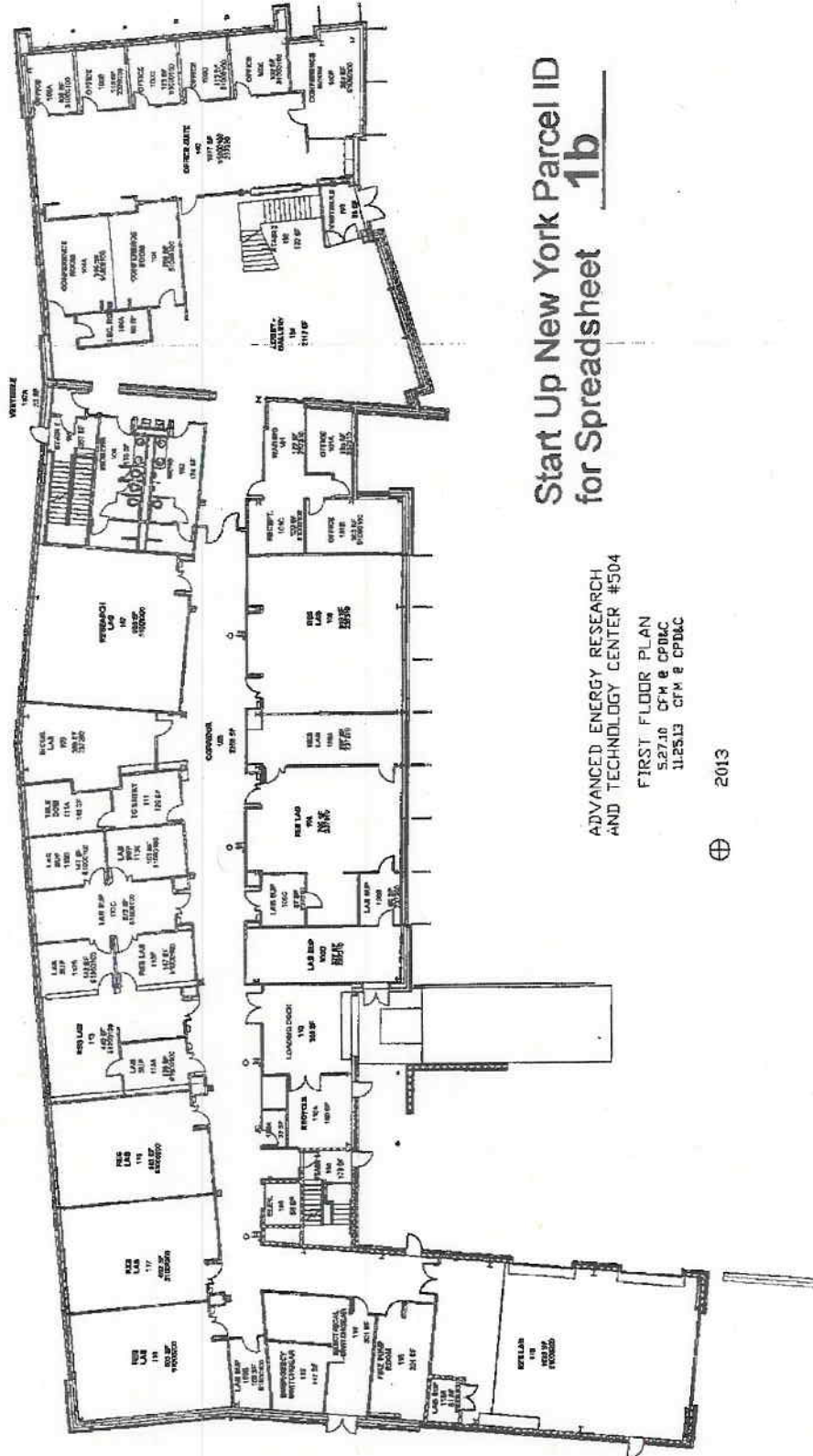
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km



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**1b) New York State
Advanced Energy Research Center
(AERTC)**



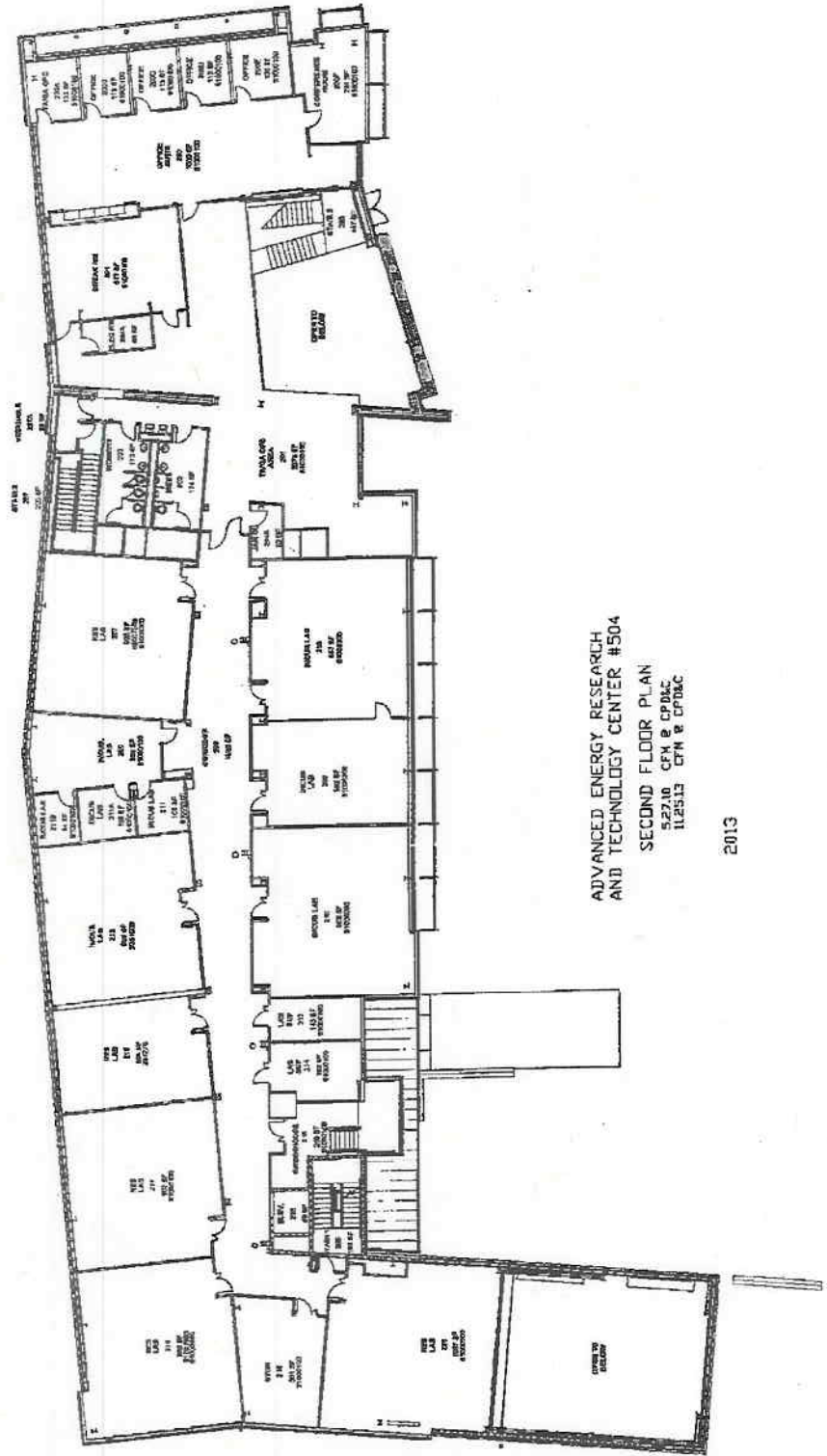
Start Up New York Parcel ID for Spreadsheet **1b**

ADVANCED ENERGY RESEARCH
AND TECHNOLOGY CENTER #504

FIRST FLOOR PLAN
5.27.10 CFM & CPD&C
11.25.13 CFM & CPD&C

⊕ 2013

Start Up New York Parcel ID for Spreadsheet **1b**

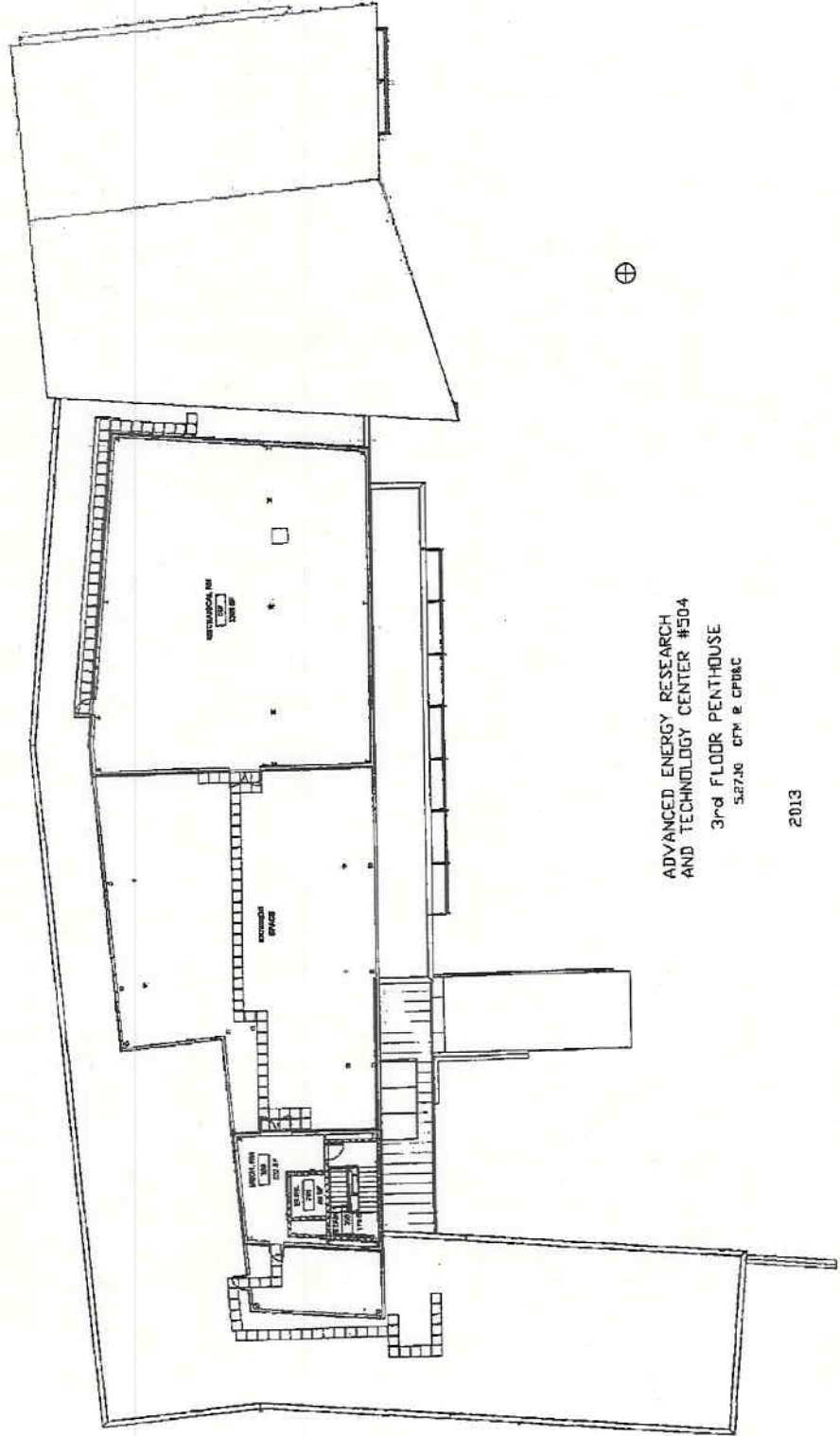


ADVANCED ENERGY RESEARCH
AND TECHNOLOGY CENTER #504

SECOND FLOOR PLAN
527.10 CFM @ CPD&C
112513 CFM @ CPD&C

2013

Start Up New York Parcel ID
for Spreadsheet 1b



ADVANCED ENERGY RESEARCH
AND TECHNOLOGY CENTER #504
3rd FLOOR PENTHOUSE
5,273.00 CFM & CFM/C

2013



Google earth

miles 1
km 2



1c) Research and Support Services

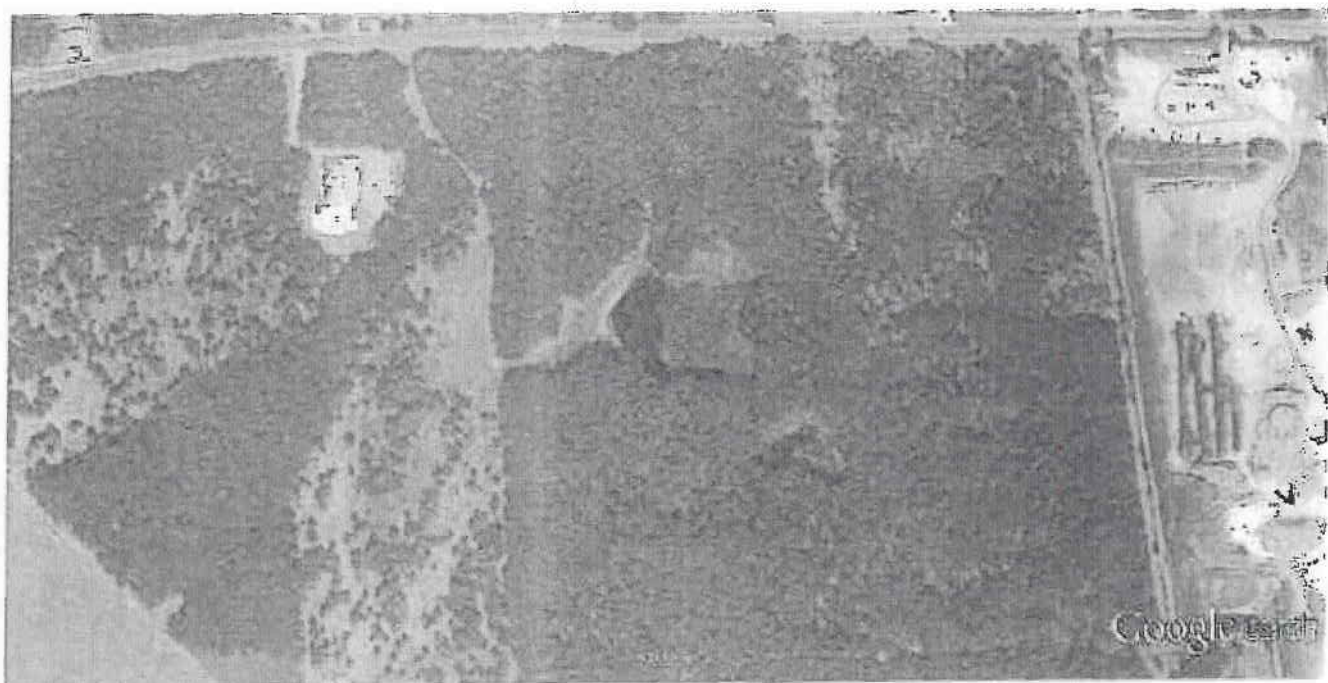
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FIRST FLOOR BLDG. #517

9/12-C.F.M.
1/13-C.F.M.

2013



Google earth

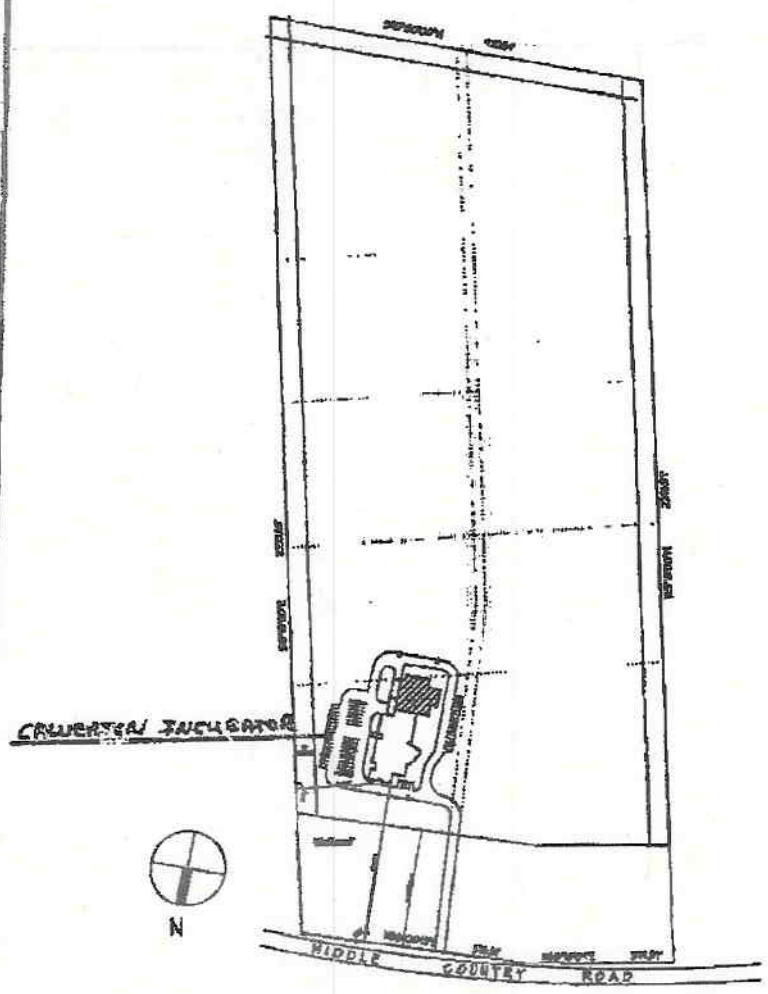
feet 2000
meters 600



**2) Calverton Incubator Campus
Stony Brook University**

01

CALVERTON CAMPUS



LOCATION MAP

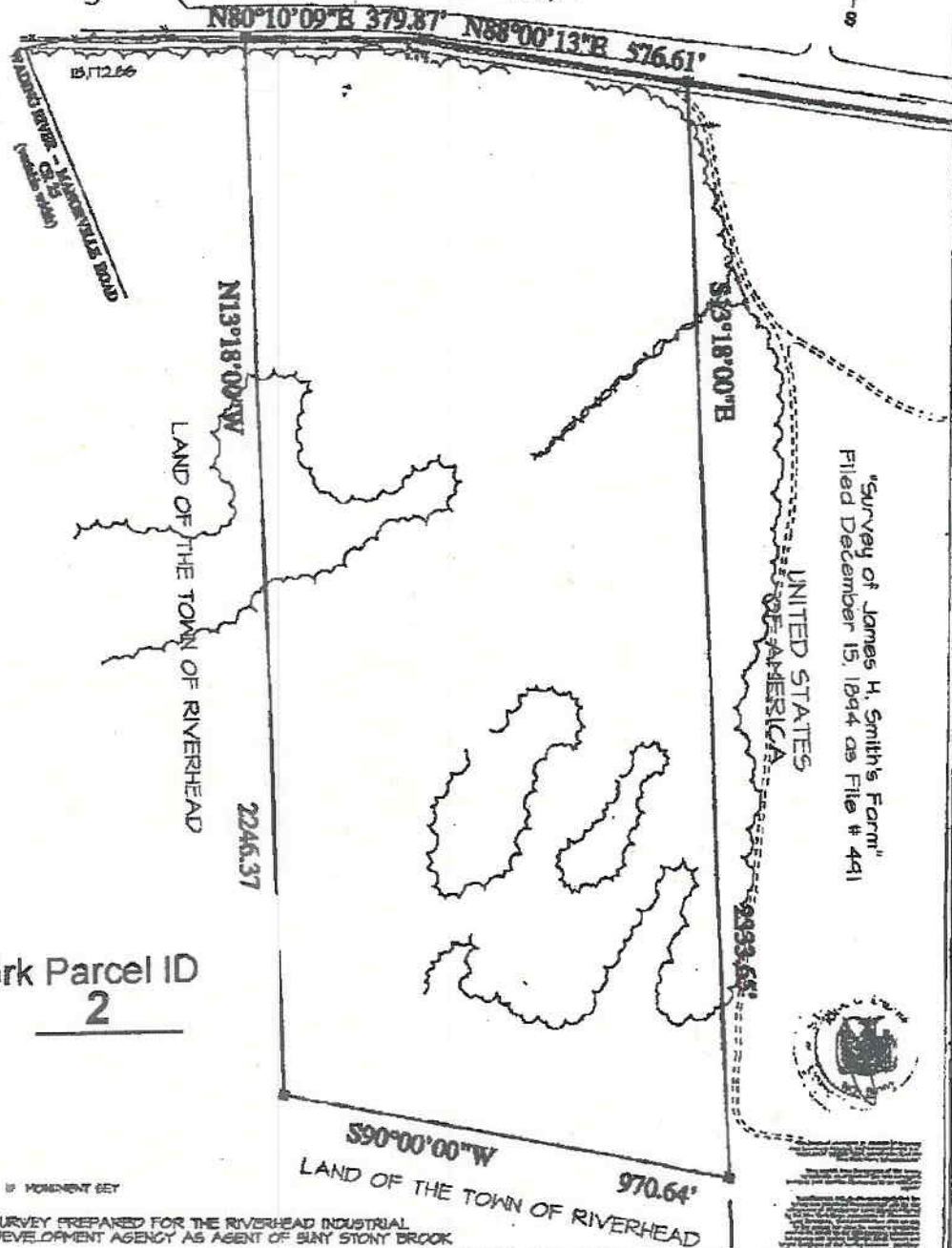
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for Spreadsheet 2

SURVEY OF PROPERTY
"CALVERTON BUSINESS INCUBATOR"
TOWN: RIVERHEAD
SUFFOLK COUNTY, NY

SUFFOLK COUNTY TAX MAP #
P/O 600-135-1-15

SURVEYED 06-27-01

STATE ROUTE 25
(aka Middle Country Road)
(variable width)



"Survey of James H. Smith's Farm"
Filed December 15, 1894 as File # 491



Start Up New York Parcel ID
for Spreadsheet 2

IF MONUMENT SET

SURVEY PREPARED FOR THE RIVERHEAD INDUSTRIAL
DEVELOPMENT AGENCY AS AGENT OF SUNY STONY BROOK

AREA = 2,718,080 SF OR 62.00 ACRES

GRAPHIC SCALE 1"=200'



JOHN C. EHLERS LAND SURVEYOR

6 EAST MAIN STREET
RIVERHEAD, N.Y. 11901
907-8225 Fax 907-8227

N.Y.S. LIC. NO. 30201

REF: NY STATE CAMERON LOT SURVEY 901/500, 902



Google earth

feet
meters

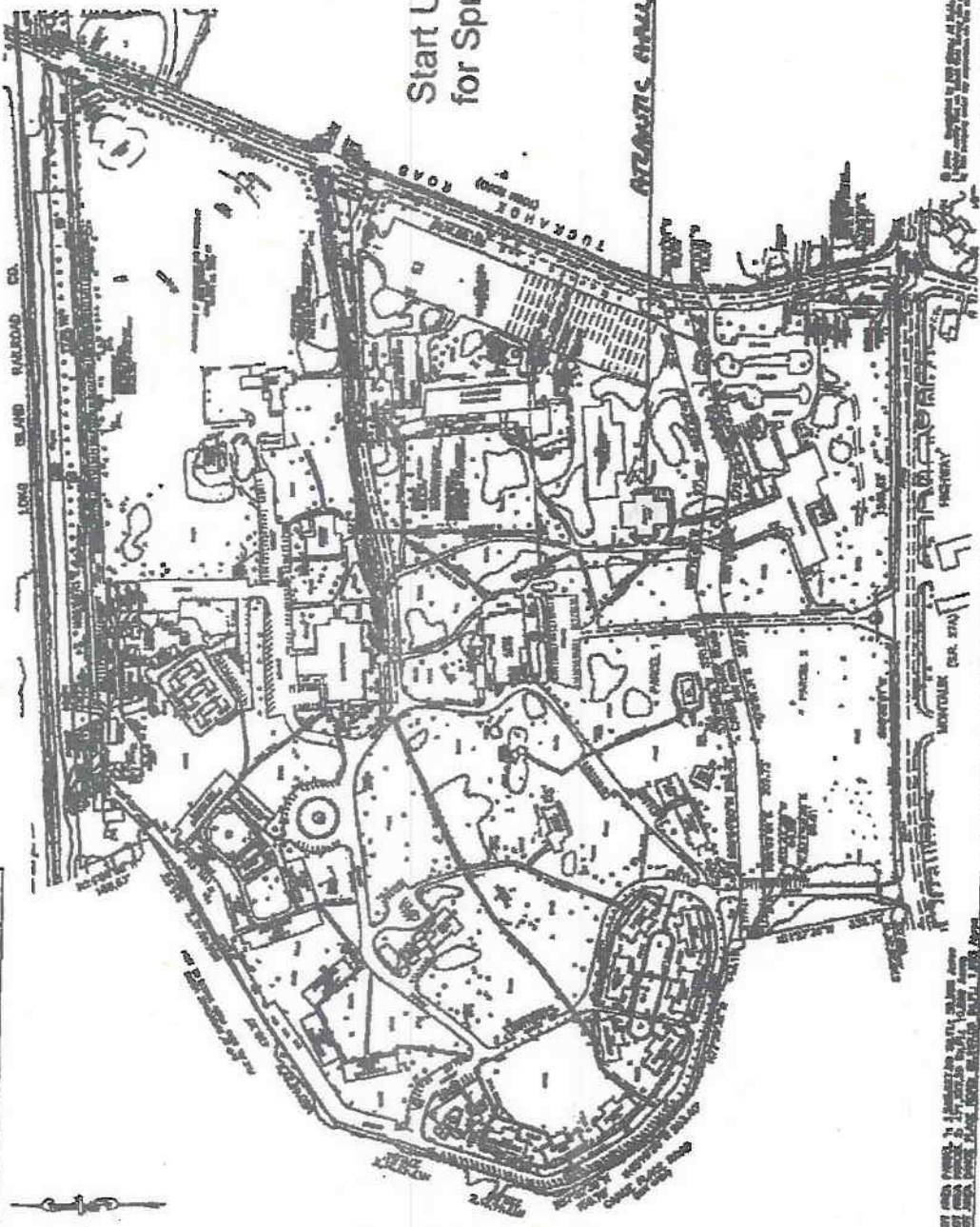
2000

900



3) Stony Brook Southampton

DATE	PROJECT	REVISION	DATE

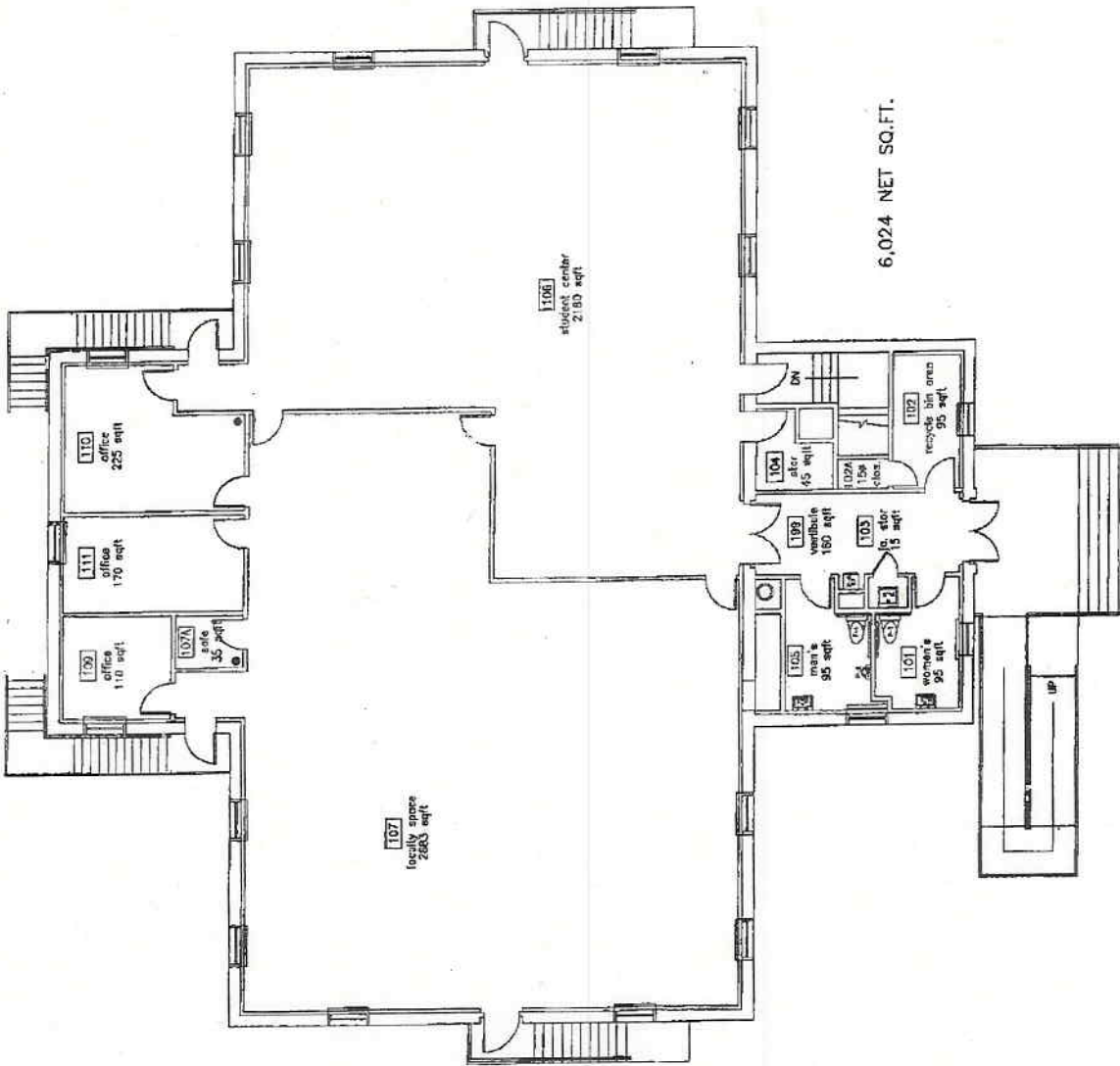


Start Up New York Parcel ID for Spreadsheet **3**

1. The map shows the location of the property in relation to the surrounding area. The map is a black and white aerial photograph with various features labeled. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. The map is oriented with North at the top. The map is a detailed aerial photograph of a coastal area, likely a military installation or airport. The map shows various buildings, roads, and a large body of water. Key labels include 'LONG ISLAND RAILROAD CO.' along the top edge, 'TUCKAHOE ROAD' and 'ATLANTIC AVE.' running horizontally across the middle, and 'HASTINGS' and 'MONTAUK (SEA STATION)' along the bottom edge. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. A north arrow is located in the bottom left corner.

2. The map shows the location of the property in relation to the surrounding area. The map is a black and white aerial photograph with various features labeled. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. The map is oriented with North at the top. The map is a detailed aerial photograph of a coastal area, likely a military installation or airport. The map shows various buildings, roads, and a large body of water. Key labels include 'LONG ISLAND RAILROAD CO.' along the top edge, 'TUCKAHOE ROAD' and 'ATLANTIC AVE.' running horizontally across the middle, and 'HASTINGS' and 'MONTAUK (SEA STATION)' along the bottom edge. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. A north arrow is located in the bottom left corner.

3. The map shows the location of the property in relation to the surrounding area. The map is a black and white aerial photograph with various features labeled. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. The map is oriented with North at the top. The map is a detailed aerial photograph of a coastal area, likely a military installation or airport. The map shows various buildings, roads, and a large body of water. Key labels include 'LONG ISLAND RAILROAD CO.' along the top edge, 'TUCKAHOE ROAD' and 'ATLANTIC AVE.' running horizontally across the middle, and 'HASTINGS' and 'MONTAUK (SEA STATION)' along the bottom edge. The map is divided into several sections, some labeled 'PARCEL 1' through 'PARCEL 5'. A north arrow is located in the bottom left corner.



ATLANTIC HALL-621

1ST FLOOR

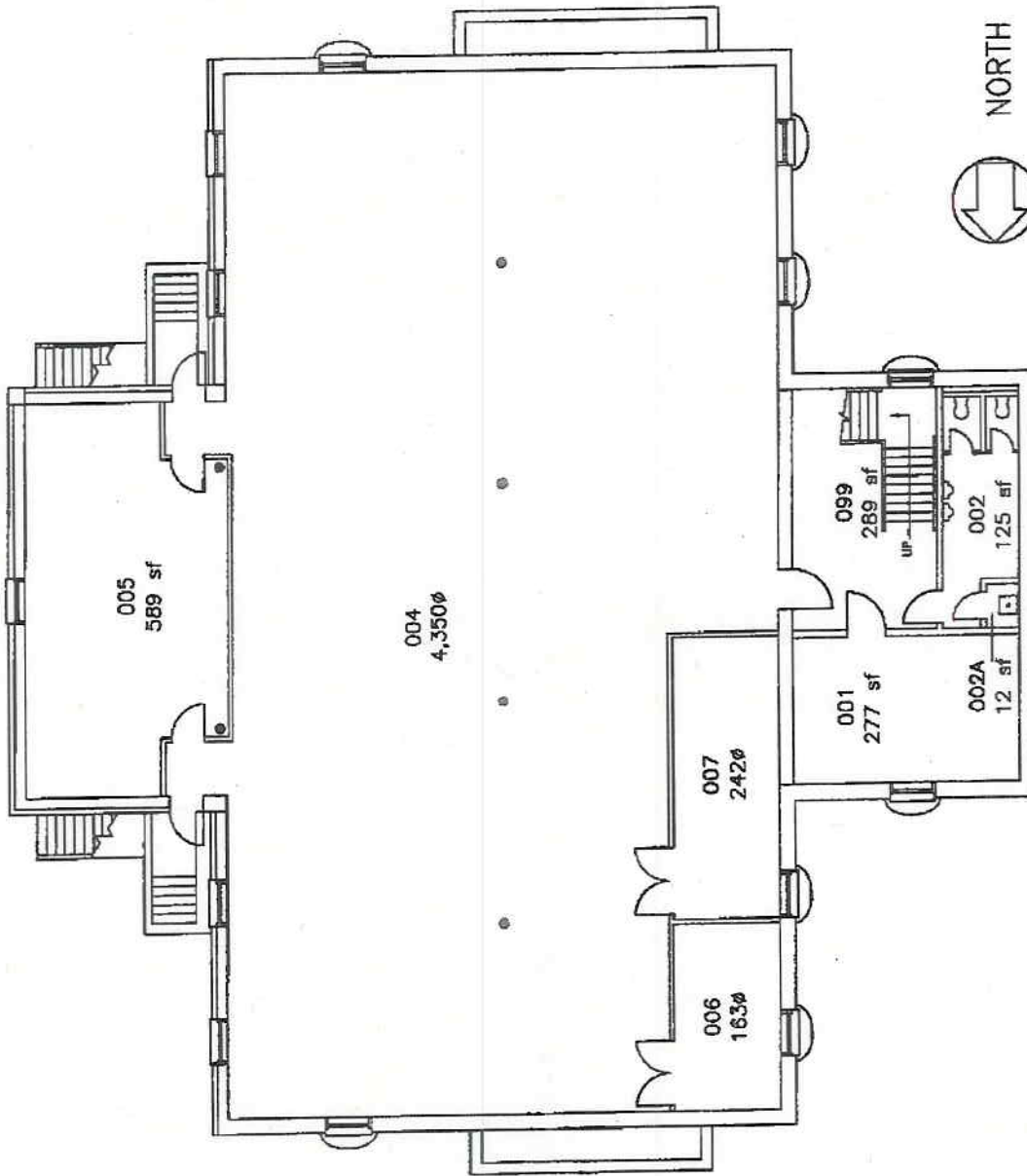
5,923 NET SQ.FT.

REVISED 11/08-CW
REVISED 10/08-CW



SCALE:

2012



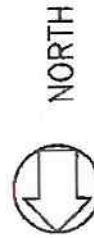
ATLANTIC HALL - 621

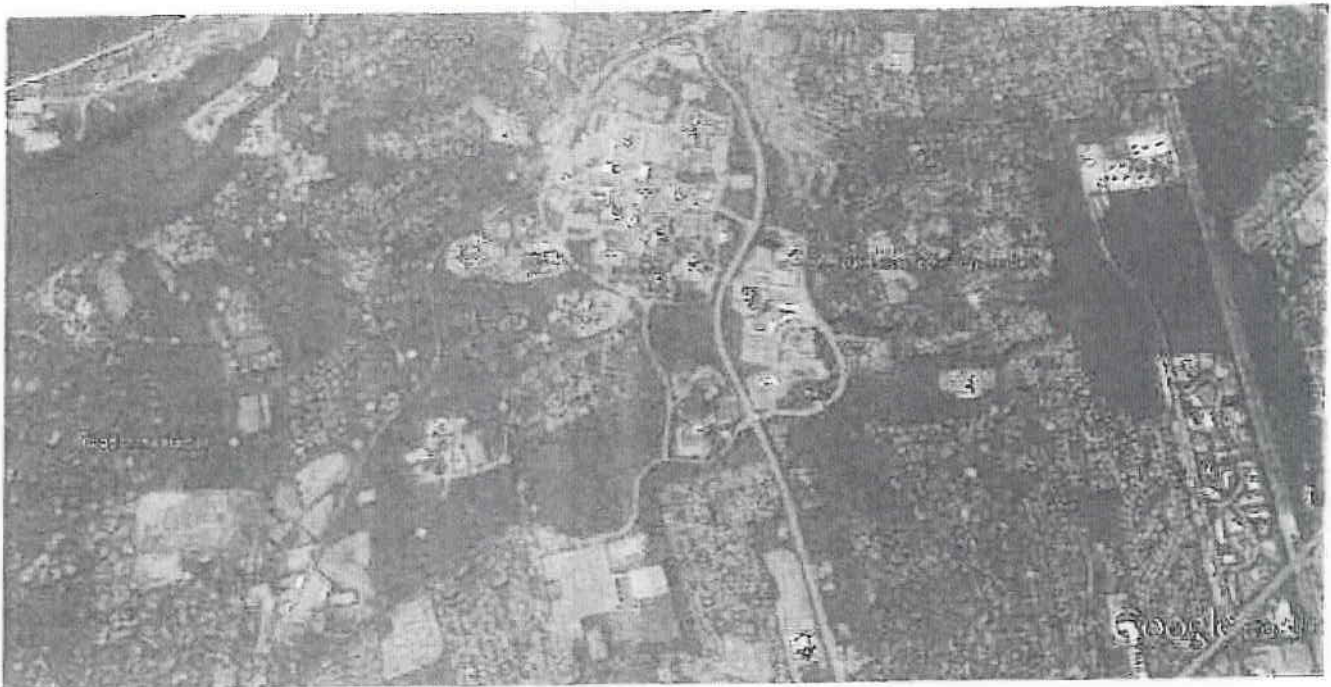
BSMT

6,047 NET SQ.FT.
REVISED 11/03-CL

2012

SCALE:





Google earth

miles 2
km 3



**4) Long Island High Technology
Incubator (LIHTI)**