



The State University of New York

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

To: Dr. Kristina Johnson, SUNY Chancellor
From: Pamela Caraccioli, Deputy to the President for External Partnerships and Economic Development SUNY Oswego
Re: SUNY Oswego Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan")
Date: September 15, 2017

For campus Office of the President: The arrangement documented in the attached "Amended" Campus Plan is aligned to the academic mission of SUNY Oswego and in accordance with all SUNY policies, procedures, and guidelines.

Signature of Deborah F. Stanley, President SUNY Oswego

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 the Chancellor (approved/rejected) the attached "Amended" Campus Plan:

Signature of Jeffrey A. Boyce, Proposal Review Team Co-Chair

Date 9-22-17

Print Name Jeffrey A. Boyce

For SUNY Office of the Chancellor: The attached "Amended" Campus Plan is hereby (approved/rejected) for campus submission to the NYS Commissioner of Economic Development.

Signature of Eileen McLaughlin, Chancellor or designee

Date 9/25/17

Print Name Eileen McLaughlin

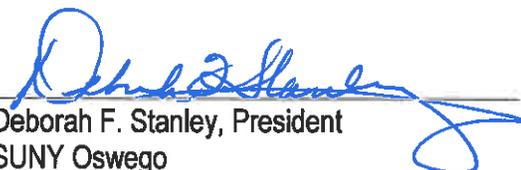


To: Mr. Howard Zemsky, President & CEO, Empire State Development
and Commissioner of the New York State Department of Economic Development
From: President Deborah F. Stanley, SUNY Oswego
Re: SUNY Oswego's AMENDED Campus Plan for Designation of Tax-Free Area(s)
Date: September 15, 2017

I, President Deborah F. Stanley of SUNY Oswego hereby certifies the following:

- a.) we have provided a copy of the enclosed "Amended" Campus Plan for Designation of Tax-Free NY Area, to the municipalities in which the proposed Tax-Free NY Area(s) are 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; the START-UP NY Program Participation Policy; the State University of New York's Policy on Conflict of Interest; and the Office of Research and Sponsored Programs at SUNY Oswego Conflict of Interest Policy attached herewith; and
- c.) we comply with the Commissioner's rules and guidelines on anticompetitive behavior (NY EDL, art. 21, sect. 440); and
- d.) we are aware of the non-governmental use limitations associated with state issued tax exempt bonds and if our proposed Tax-Free NY Area was financed with tax exempt bonds, we will: 1.) make potential businesses aware of these limitations when marketing property; and 2.) take appropriate steps to ensure that non-governmental use of property funded with tax-exempt bonds will not jeopardize the tax exempt status of state issued bonds; and
- e.) we consulted with the designated economic development agencies in which such land or space is located prior to including such space or land in the proposed Tax-Free NY Area and we have given preference to underutilized properties, and have consulted with the respective municipalities as part of the (30) day notice requirement; and
- f.) we have not relocated or eliminated any academic programs, any administrative programs, offices, housing facilities, dining facilities, athletic facilities, or any other facility, space or program that actively serves students, faculty or staff in order to create vacant land or space to be designated as a Tax-Free NY Area; and
- g.) the information contained in the enclosed application is accurate and complete.

BY:


Deborah F. Stanley, President
SUNY Oswego

DATED: September 15, 2017

Attachments/Enclosures:

- 1.) Start-Up NY "Amended" Campus Plan for Designation of Tax-Free Areas (with all maps, aerial photos and floor plans of space clearly identified);
- 2.) Public Officers Law Policy;
- 3.) START-UP NY Program Participation Policy;
- 4.) SUNY Conflict of Interest Policy;
- 5.) SUNY Oswego Research Foundation Conflict of Interest Policy;
- 6.) Evidence of submission of Tax-Free Area Plan to interested parties; and
- 7.) Start-Up NY Memorandum of Understanding between CenterState Corporation for Economic Opportunity and SUNY Oswego (120 Madison Street, Syracuse).
- 8.) Start-Up NY Affiliation Agreement (MOU) between the County of Oswego Industrial Development Agency and SUNY Oswego (120 St. Paul Street, Oswego).
- 9.) Start-Up NY Affiliation Agreement (MOU) between the County of Oswego Industrial Development Agency and SUNY Oswego (15 County Route 59, Phoenix).



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

Campus Name: SUNY Oswego
Campus Contact Name: Pamela Caraccioli
Campus Contact Title: Deputy to the President for External Partnerships and Economic Development
Campus Contact E-mail: Pamela.Caraccioli@oswego.edu
Campus Contact Phone: 315-312-2212

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 Oswego
Campus Address: 7060 State Route 104, Oswego, New York 13126
Address(es) of Proposed Tax-Free NY Area(s) : A. 7060 State Route 104, Oswego, New York 13126 B. 7060 State Route 104, Oswego, New York 13126 C. 120 Madison Street, Syracuse, New York 13202 D. 120 St. Paul Street, Oswego, New York 13126 E. 15 County Route 59, Phoenix, New York 13135 F. 126 North Salina Street, Syracuse, New York 13202
Description of Physical Characteristics of Proposed Tax-Free NY Area(s): A. 5.8 acres on Route 104 West (Romney Parking) on SUNY Oswego's main campus; A flat parcel with direct road frontage onto NYS 104 West. It has direct access to both public streets and public transportation. The parcel is construction-ready. B. 3.3 acres on Rudolph Road (Tennis Courts) on SUNY Oswego's main campus; A flat parcel bounded on the north and east by public streets, and has direct views of Lake Ontario. The parcel has electric, water and sewer, and can be linked to the College's central heating plant for high temp hot water if needed. This site is construction-ready. C. 9,500 sf of vacant office/tech space in the Syracuse Technology Garden in downtown Syracuse, also a NYS Innovation Hot Spot. (On campus per MOU.) D. 18,000 sf of vacant manufacturing space controlled by the County of Oswego Industrial Development Agency. (On campus per Affiliation Agreement.) E. 7,800 sf of an entire, one-story, vacant manufacturing building controlled by the County of Oswego Industrial Development Agency. (On campus per Affiliation Agreement.) F. 7,022 sf total (4,019 sf from Floor 5 and 3,003 sf from Floor 6) of vacant office/tech space in downtown Syracuse. (Off Campus)

- 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 building proposed to be designated as tax free space shaded. The building(s) should identified with the official building number as listed in the SUNY Physical Space Inventory (PSI) along with the building name. The excel spreadsheet should include the official building number and a clear description of the spaces in the building (using official PSI room numbers), or floor (when the entire floor is under consideration), or floor/wing (with outer rooms defining the space specifically listed). Each building must also include floor plans of all areas under consideration with the specific spaces clearly identified by official PSI room and shaded. All building information is also to be included in the excel spreadsheet. Provide digital files containing Point shapefiles that provide locations of area for designation (if available).

2) The total sf of the space or acreage of land proposed for designation as a Tax-Free NY Area
 42,322 sf office/tech/manufacturing space, and 9.1 acres of land

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.

- 30,000 sf office/tech space at Mackin Hall in the City of Oswego (SUNY)
- 60,000 sf manufacturing building in the City of Oswego (COIDA/OOC)
- 42,000 sf office/tech building in the City of Oswego (Port Authority)
- 14 acres at the Oswego Intermodal Center in the City of Oswego (Port Authority)
- 22 acres/180,000 sf at the Port Expansion Center in the City of Oswego (Port Authority)
- 50 acres at the Lake Ontario Industrial Park in the City of Oswego (COIDA/OOC)
- 160 acres at the Oswego County Industrial Park in the Town of Schroepel (COIDA/OOC)

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.

312,000 sf of space and 246 acres of land

3) Provide a description of the type of business or businesses that may locate on the area to be designated.

Consistent with the Central New York Regional Economic Development Council, SUNY Oswego plans to target critical industry concentrations that are both key to strengthening our regional economy, and those that will capitalize on demand for students who graduate from innovative interdisciplinary programs that cross traditional boundaries. Such targeted industries include:

- Advanced manufacturing
- Prototyping and new industrial platform technologies
- Robotics and high-precision technologies
- Information technologies
- Automation control systems
- Sustainable and green processes
- Energy-related manufacturing
- Electronics and computer software technologies
- Telecommunications
- Telemedicine-related technologies

4) Provide a description of the academic mission of the Sponsor and how the anticipated businesses will align or further the academic mission of the university or college.

SUNY Oswego's mission is to contribute to the common good by lighting the path to wisdom and empowering women and men to pursue meaningful lives as productive, responsible citizens.

SUNY Oswego demonstrates its mission by offering more than 110 programs of study, including graduate programs that range across a number of disciplines including business, education, art, chemistry and psychology.

Anticipated businesses will align or further our academic mission by partnering in our efforts to advance research and innovation, and educating and training our students and graduates in an effort to foster business creation and expansion around our university and region. Specific areas of alignment could include:

- Industry collaborative research
- Technology transfer research
- Research publications and patents
- Fellowships
- Cooperatives
- Internships

The selected participating businesses will have a clear alignment with at least one of our seven Core Academic Competencies:

- 1) Computational Sciences and Technological Innovation
- 2) Accounting, Finance, and Marketing
- 3) Communications and Culture
- 4) International Education Experiences and Global Issues
- 5) Aging and Health
- 6) Natural and Built Environment
- 7) Creative Capital

- 5) Provide a description of how participation by those types of businesses in the Program would 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.

SUNY Oswego, as an anchor institution in the region, enhances and promotes sustainable economic vitality through job creation and training, economic growth and community development. The campus community is committed to grow opportunity across the region by providing quality education and experience inside and outside the classroom.

Oswego County is designated an American Recovery and Reinvestment Act (ARRA) Economically Distressed Area, as well as a Labor Surplus Area by the Small Business Administration. Such designations have resulted from chronic high levels of unemployment (recently levels in excess of 10%) and consistently one of the top 3-4 highest unemployment rates in New York State. There have been major industry losses in Oswego County over the last 20 years which have contributed to the chronically high unemployment rates.

Oswego County also suffers from large swings in unemployment throughout the year due to a high amount of seasonal employment in the tourism and constructions industries. The unemployment rate can be up to 5% higher during winter and spring months than in the summer and fall, whereas the State and National averages only see a difference of 2% between peak and low monthly unemployment rates.

Locally we are proactively seeking to draw businesses that match our community and campus competitive advantages, require our unique assets and infrastructure, and that will be successful and sustainable for our job market. The Start-Up NY initiative leverages both human and capital assets of the SUNY Oswego campus and supports its core mission and goals to engage new partnerships that will contribute to the educational, economic and social progress of the community, region and state. Such partnerships will expand higher-impact, hands-on educational experiences for students that include collaborative assignments, service-learning opportunities, and embedded course projects that are correlated to deeper learning.

Together with business, industry and community partners these educational innovations will result in real-world problem solving experiences that enhance the success and employability of students entering the workplace. Both scholarship and research output will be gained and the Central New York region will continue to attract more higher-tech, higher-wage industry. As a result, more support industries such as electronics, communications, business services, educational services, and engineering and management services, will also be created.

6) Provide a description of the process the Sponsor will follow to select participating businesses.

BUSINESS DEVELOPMENT PROCESS:

In addition to working with business and industry that comes to us through the Start-Up New York program, SUNY System, Empire State Development, and by partnering with our local economic development agencies, we will actively market our campus's human and capital assets by:

- identifying and targeting specific business sectors,
- auditing incubator graduates and other second-stage NYS business and industry,
- auditing incubator graduates outside New York State and the United States,
- auditing second-stage as well as high-growth business and industry outside New York State and the United States.

BUSINESS SELECTION PROCESS:

1. The Office of the President, specifically the Deputy to the President for External Partnerships and Economic Development (Deputy) will accept formal applications from interested businesses who will consider:
 - a. whether the business applicant has fully completed the application materials;
 - b. whether the business applicant meets eligibility requirements of the program.

2. After initial discussion with the President, the Deputy will begin consultation with campus constituents (faculty/staff) who will consider:
 - a. whether the applicant's alignment is consistent with the mission of SUNY Oswego;
 - b. whether the applicant demonstrates a willingness to work with SUNY Oswego to establish meaningful linkages sufficient to warrant the Start-Up NY designation and sponsorship;
 - c. whether mutually acceptable contractual terms can be reached.

3. Once application materials are complete and a collaboration identified, the Deputy will bring the application materials to the following committees for review and feedback:
 - a. Economic Development Advisory Council (EDAC) - comprised of at least one representative each from the student body, University Development, Finance and Administration, Faculty Assembly, the College of Liberal Arts and Sciences, School of Communication, Media and the Arts, School of Business, School of Education, Student Affairs, and Public Affairs.
 - b. Campus Concepts Committee (CCC) - comprised of Faculty Assembly (co-chair), administration, classified staff, professional staff, Director of Physical Plant, SUNY Oswego Foundation, Residence Life and Campus Life.
 - c. Student Economic Development Advisory Council (SEDAC) – comprised of Student Association President and one student representative from the College of Liberal Arts and Sciences, School of Communication, Media and the Arts, School of Business, and School of Education.

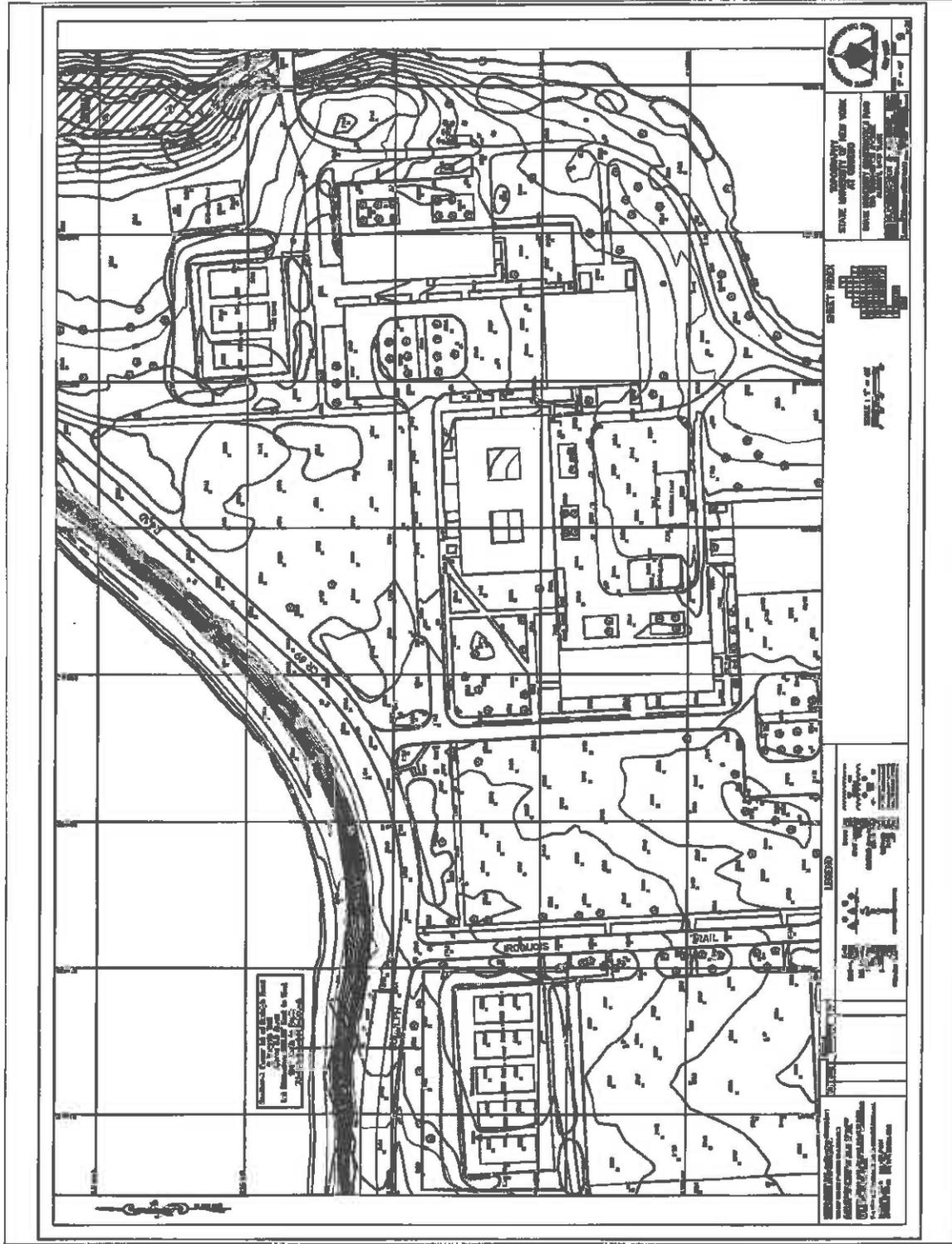
4. The President will review all application materials and committee feedback and provide a final decision on approval for submission to Empire State Development.

Site B: SU-110-1-L-0000-000-A
Southwest corner of County Route 89
and Iroquois Trail - 3.3 acres

Site A: SU-110-1-L-0007-000-A
Southeast corner of NYS Route 104
West and Barnes Drive - 5.8 acres



Site B: SU-110-1-L-0000-000-A





120 Madison Street, Syracuse, NY to SUNY Oswego Metro Center

Walk 0.5 mile, 10 min

SITE C: SU-110-1-B-0000-000-A



Imagery ©2017 Google, Map data ©2017 Google United States 500 ft

- 
via S Warren St and E Fayette St
10 min
Mostly flat
0.5 mile

- 
via E Jefferson St and S Clinton St
10 min

0.5 mile

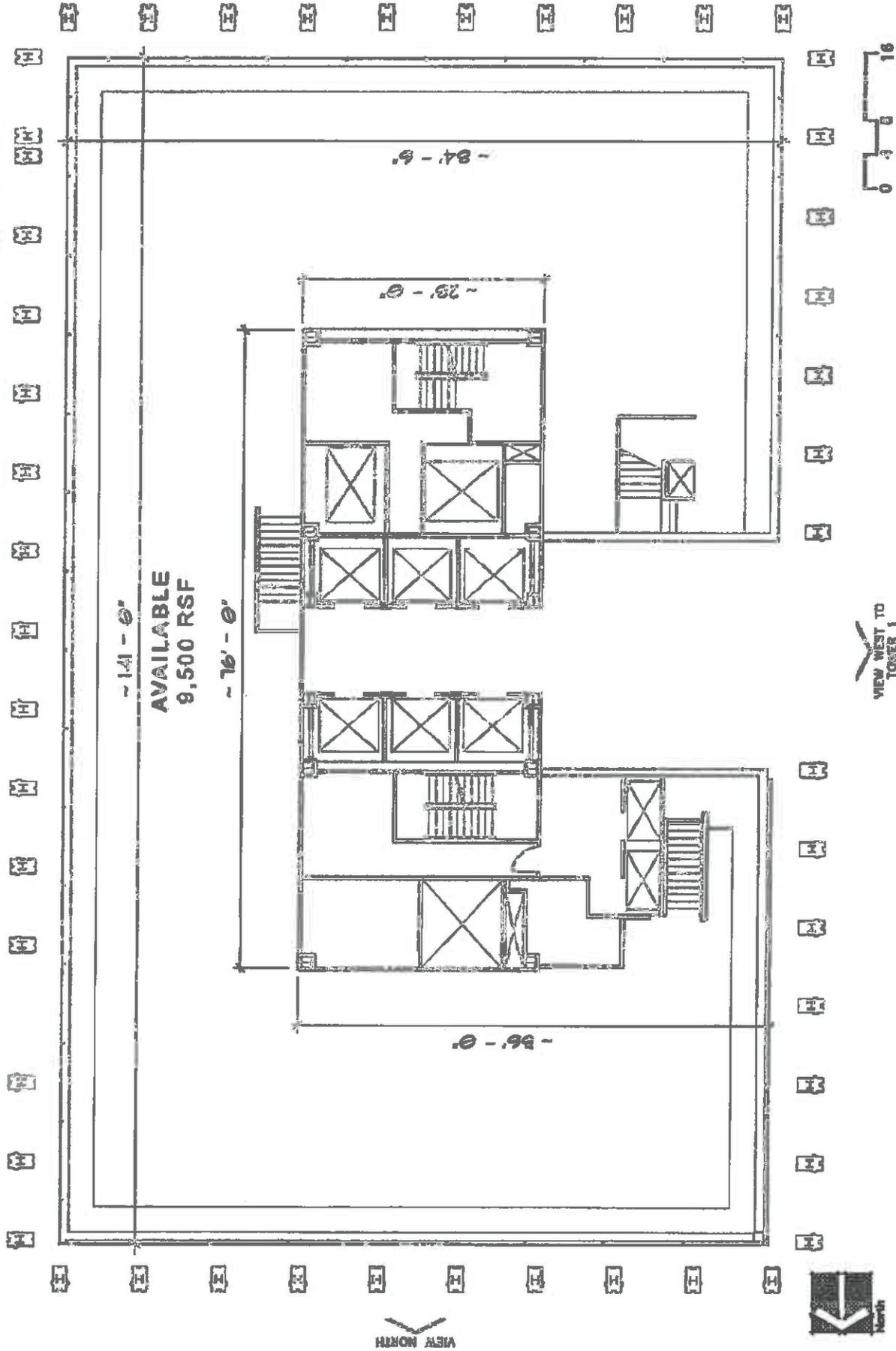
- 
via S Warren St and E Washington St
10 min

0.5 mile

Available Tenant Space

**Site C: SU-110-1-B-000-000-A: 9,500 SF Vacant Space
120 Madison Street, Syracuse NY - Syracuse Technology Garden**

January 17, 2011

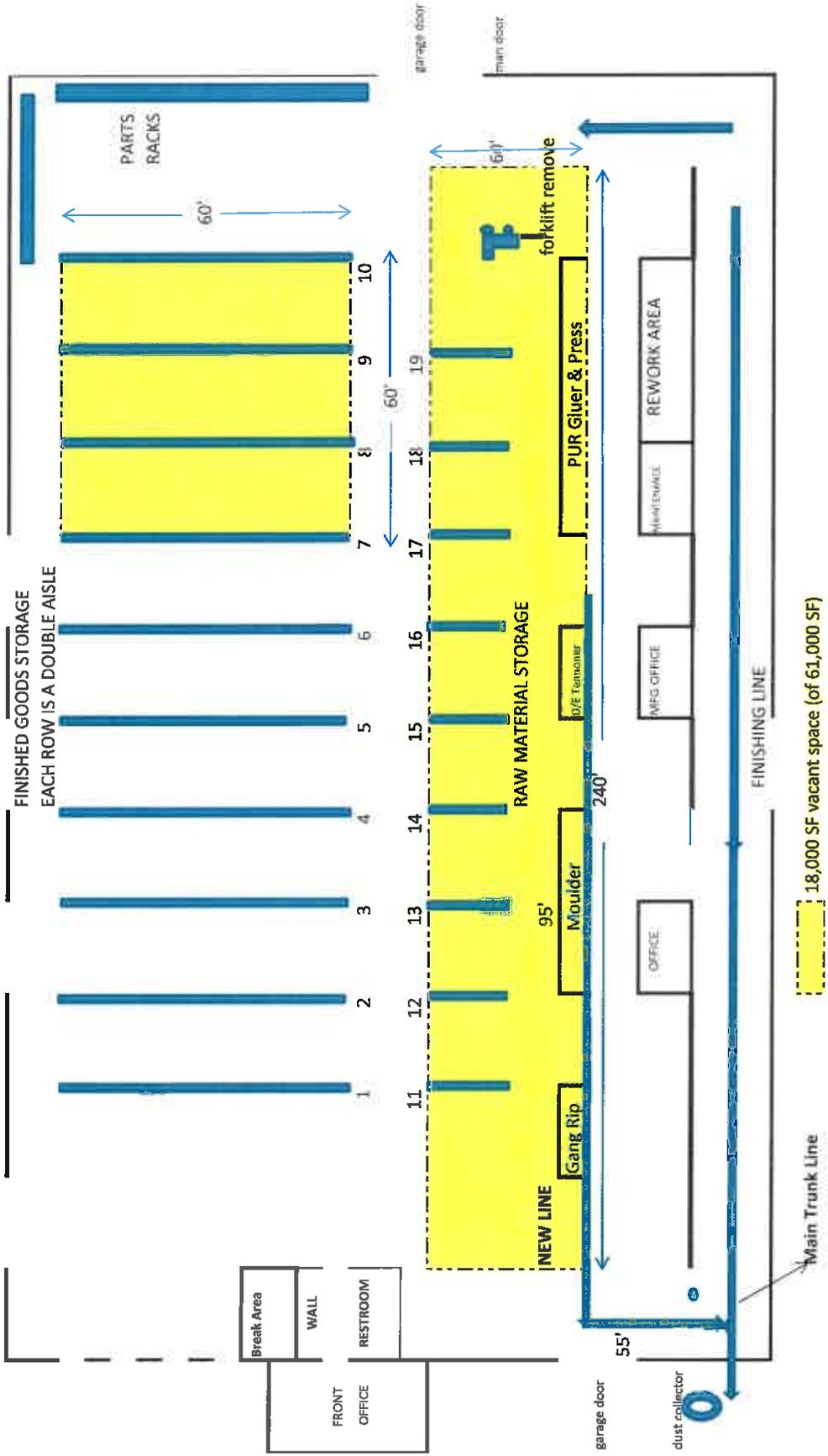


**FIRST FLOOR LEASE PLAN
AXA Tower 2
Syracuse, New York 13202**





Site D: SU-110-1-B-0000-001-A
18,000 SF vacant (of 61,000 SF total)
120 St. Paul St. Oswego, NY 13126
Owned by County of Oswego IDA



Site D: SU-110-1-B-0000-001-A
 120 St. Paul Street, Oswego, NY 13126

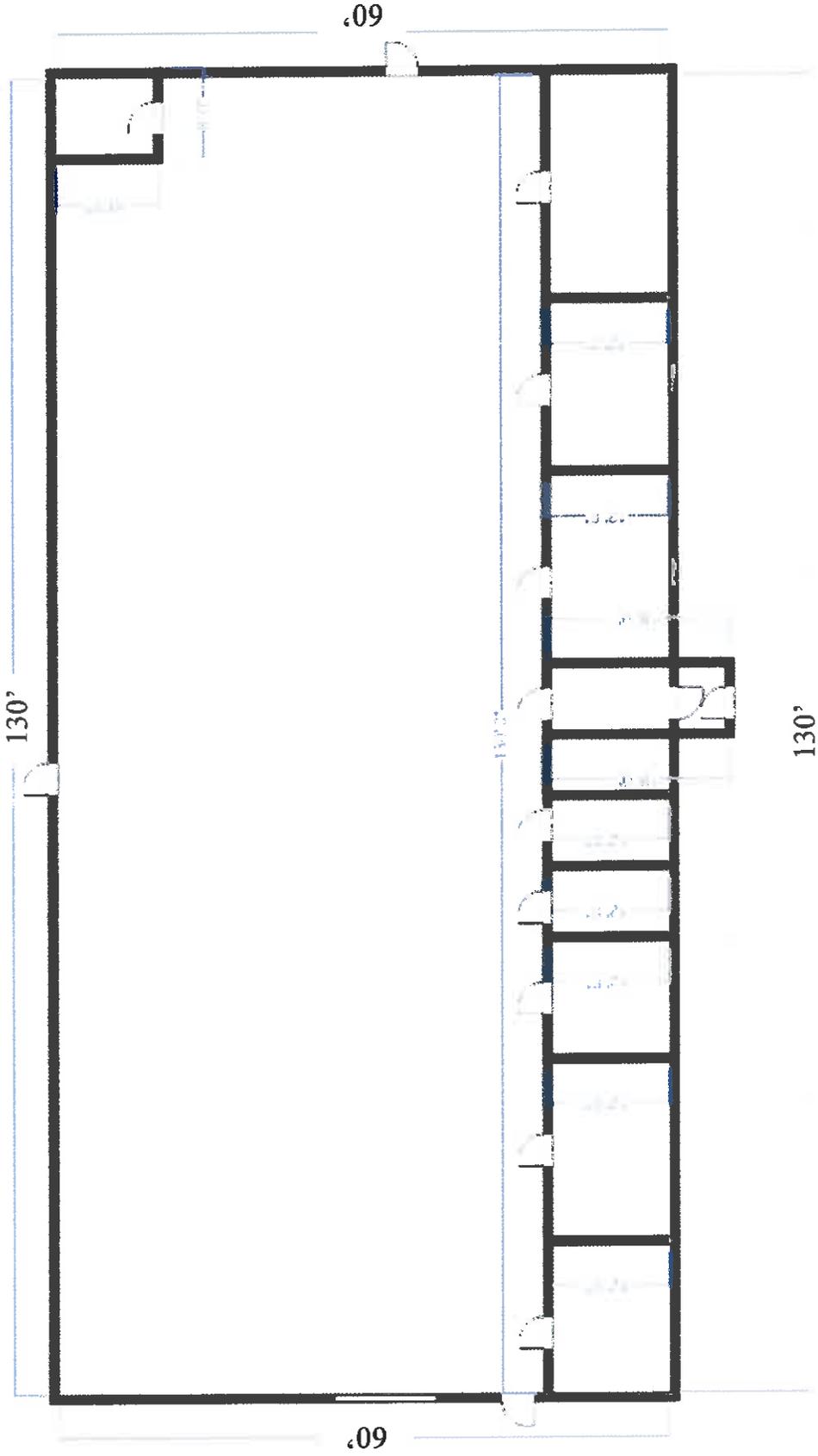


Site E: **SU-110-1-B-0000-002-A**

15 County Route 59 Phoenix, NY 13135 (Town of Schroepfel)

Tax ID#: 303.00-02-03.02

7,800 SF Building (entire building)



Site E: **SU-110-1-B-0000-002-A**

15 County Route 59 Phoenix, NY 13135 (Town of Schroepfel)

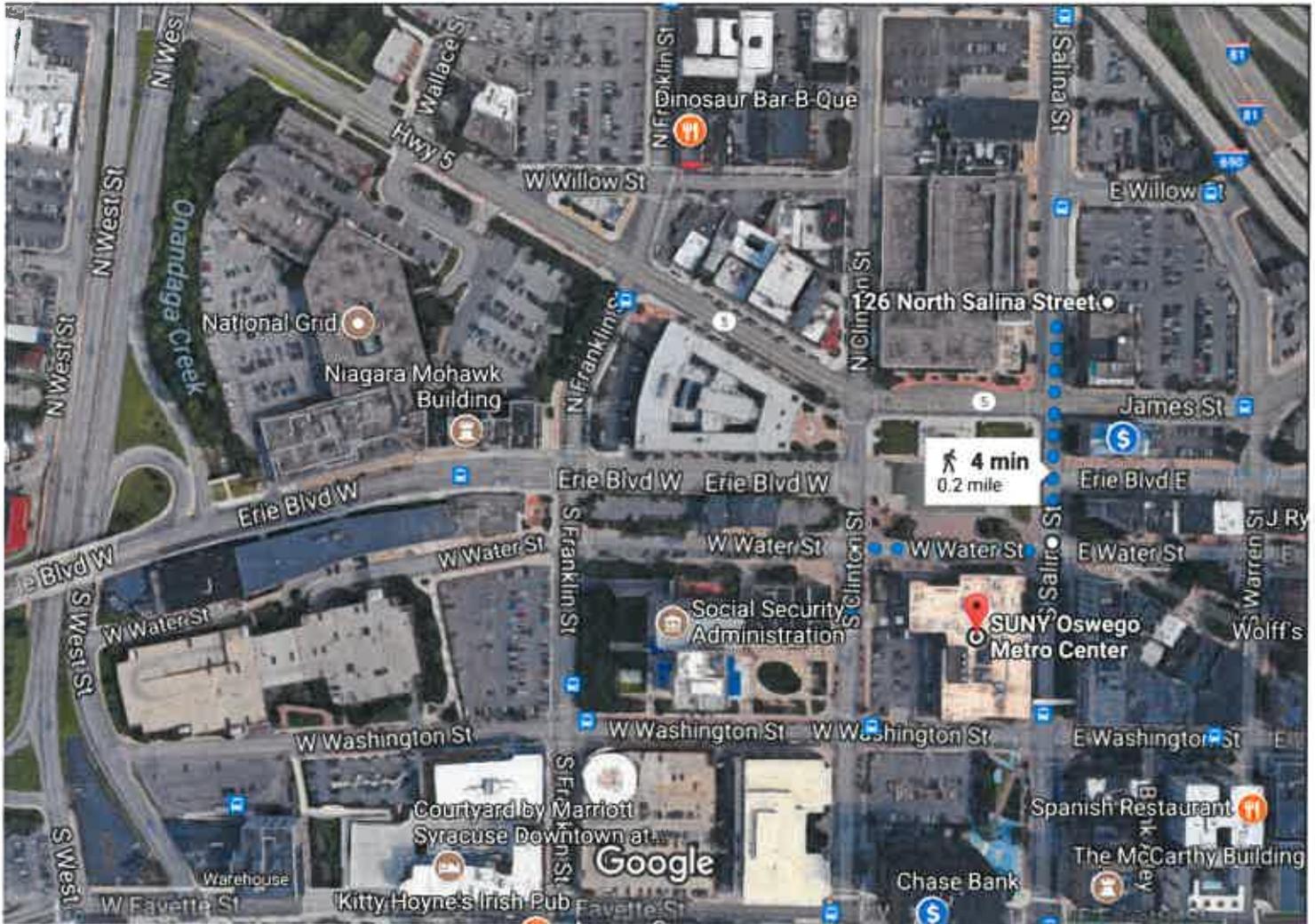
7,800 SF Building (entire building)



126 N Salina St, Syracuse, NY 13202 to SUNY Oswego Metro Center

Walk 0.2 mile, 4 min

SITE F: SU-110-2-B-0000-000-A



Imagery ©2017 Google, Map data ©2017 Google United States 200 ft



via N Salina St and W Water St
Mostly flat

4 min
0.2 mile

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 of 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: Academic Affairs Community Colleges Legal and Compliance Research</p> <p>Responsible Office: Academic Affairs</p>	<p>Policy Title: START-UP NY Program Participation Policy</p> <p>Document Number: 6800</p> <p>Effective Date: February 10, 2014</p> <p>This policy item applies to: Community Colleges State-Operated Campuses</p>
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Summary

START-UP NY is a state economic development program that positions SUNY campuses as magnets for entrepreneurs and businesses from around the globe. START-UP NY aligns with SUNY's mission of teaching, research and public service; enabling engagement with industry, knowledge acceleration, translation of research into practical applications, and delivering the 21st century workforce businesses need to grow and thrive. START-UP NY will transform university communities to deliver unprecedented economic benefits to New York. To participate in the program, all campuses must comply with this policy and any applicable rules and regulations issued by the NYS Commissioner of Economic Development.

This policy governs the review process that all participating campuses must follow to secure SUNY's approval of the plans, applications, and other documents required by the NYS Commissioner of Economic Development to participate in the START-UP NY program. It also prescribes special requirements for the disclosure and management of actual or potential conflicts of interest in matters pertaining to the campus' START-UP NY program. Any conflict between this policy and any other applicable Conflict of Interest policy shall be resolved in favor of disclosure of any potential, actual, or perceived conflict of interest relating to the campus' START-UP NY program to the President or Chief Executive Officer of the sponsoring campus.

Policy

- A. Campus Plans for Designation of Tax-Free Area(s):** Any campus intending to submit a Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan") to the NYS Commissioner of Economic Development must first have it reviewed and approved by the Chancellor or designee. The Chancellor or designee shall approve or reject all Campus Plans within fifteen (15) business days of receipt. Any rejected Campus Plan shall be accompanied by an explanation of the basis for rejection. Once approved by the Chancellor or designee a campus may submit its Campus Plan to the NYS Commissioner of Economic Development in accordance with the Commissioner's rules and regulations. Any Campus Plan that is rejected can be resubmitted for Chancellor

or designee approval and will be reviewed in accordance with this policy and related procedures. Any amendments to approved Campus Plans must be submitted for Chancellor or designee approval and will be reviewed in accordance with this policy and related procedures.

- B. Sponsoring University or College Applications for Business Participation:** Any campus intending to submit a Sponsoring University or College Application for Business Participation ("Sponsor Application") to the NYS Commissioner of Economic Development must first have it reviewed and approved by the Chancellor or designee. The Chancellor or designee shall approve or reject all Sponsor Applications within thirty (30) business days of receipt. Any rejected Sponsor Application shall be accompanied by an explanation of the basis for rejection. Once approved the campus may submit the Sponsor Application to the NYS Commissioner of Economic Development in accordance with the Commissioner's rules and regulations. Any Sponsor Application that is rejected can be resubmitted for Chancellor or designee approval and will be reviewed in accordance with this policy and related procedures. Any amendments to approved Sponsor Applications must be submitted for Chancellor or designee approval and will be reviewed in accordance with this policy and related procedures.
- C. Delegations:** The Chancellor or designee may charge a group of individuals, collectively called the SUNY START-UP NY Proposal Review Team, to evaluate all submitted Campus Plans and Sponsor Applications prior to accepting or rejecting them.
- D. Conflicts of Interest:** Service as an Official shall not be used as a means for private benefit or inurement for any Official, a Relative thereof, or any entity in which the Official or Relative thereof has a Business Interest. A conflict of interest exists whenever an Official has a Business Interest or other interest or activity outside of the university that has the possibility, whether potential, actual, or perceived, of (a) compromising the Official's judgment, (b) influencing the Official's decision or behavior with respect to the START-UP NY Program, or (c) resulting in personal or a Relative's gain or advancement. Any Official who is an owner or employee of an entity that is the subject of any matter pertaining to the university's START-UP NY Program, or who has a Business Interest in any entity that is the subject of any matter pertaining to the university's START-UP NY Program, or whose Relative has such a Business Interest, shall not vote on or otherwise participate in the administration by the university of any START-UP NY matter involving such entity. Any Official or other campus representative who becomes aware of a potential, actual or apparent conflict of interest, either their own or that of another Official, related to a sponsoring university or college's START-UP NY program must disclose that interest to the President or Chief Executive Officer of the sponsoring college or university. Each such President or Chief Executive Officer shall maintain a written record of all disclosures of actual or potential conflicts of interest made pursuant to this policy, and shall report such disclosures on a calendar year basis, by January 31st of each year, to the University Auditor or to the Chancellor's designee, in which case the University Auditor shall be copied on the correspondence to such designee. SUNY shall then forward such reports to the Commissioner of Economic Development for the State of New York, who shall make public such reports.
- E. Exceptions:** There are no exceptions to this policy.

Definitions

Business Interest means that an individual (1) owns or controls 10% or more of the stock of an entity (or 1% in the case of an entity the stock of which is regularly traded on an established securities exchange); or (2) serves as an officer, director or partner of an entity.

Official means an employee at the level of dean and above as well as any other person with decision-making authority over a campus' START-UP NY Program, including any member of any panel or committee that recommends businesses for acceptance into the START-UP NY program.

Relative means any person living in the same household as another individual and any person who is a direct descendant of that individual's grandparents or the spouse of such descendant.

Sponsoring College or University means any entity defined or described in NYS Education Law Sec. 352 and Article 126.

START-UP NY Program means the SUNY Tax-free Areas to Revitalize and Transform Upstate New York Program established by Article 21 of the Economic Development Law.

Tax-Free NY Area means vacant land or space designated by the Commissioner of Economic Development Article

21 of the Economic Development Law that is eligible to receive benefits under the START-UP NY program.

Other Related Information

[Start-Up NY Regulations](#); available at the [Start-Up NY Website](#).

At least thirty days before submitting the Campus Plan to the Commissioner of Economic Development the campus must provide a copy of the Plan to the chief executive officer of the municipality or municipalities in which the proposed Tax-free NY Area is located, local economic development entities, the applicable university or college faculty senate, union representatives and the campus student government. The campus shall include in their submission to the Commissioner of Economic Development certification of such notification, as well as a copy of any written response from chief executive officer of the municipality or municipalities in which the proposed Tax-free NY Area is located, local economic development entities, the applicable campus or college faculty senate, union representatives and the campus student government.

[StartUp-NY.gov](#) website and program information.

Procedures

[START-UP NY Program Participation. Procedures for](#)

Forms

[SUNY START-UP NY Campus Plan for Designation of Tax-Free Area\(s\) Memorandum](#)

[SUNY START-UP NY Campus Plan for Designation of Tax-Free Area\(s\) Template](#)

[START-UP NY Sponsoring University or College Application for Business Participation Memorandum](#)

[ESD START-UP NY Sponsoring University or College Application for Business Participation](#)

[ESD START-UP NY Business Application Instructions](#)

[ESD START-UP Business Application](#)

Authority

[State University of New York Board of Trustees Resolution 14-\(\) . START-UP New York Program Administration, adopted January 14, 2014](#)

[Law. New York Economic Development Law Article 21 \(Start-Up NY Program\)](#)

[Start-Up NY Regulations](#)

History

Enacted into law in June 2013, START-UP NY is a groundbreaking new initiative from Governor Andrew M. Cuomo that provides major incentives for businesses to relocate, start up or significantly expand in New York State through affiliations with public and private universities, colleges and community colleges. Businesses will have the opportunity to operate state and local tax-free on or near academic campuses, and their employees will pay no state or local personal income taxes.

Appendices

There are no appendices relevant to this policy.

 <p>Category: HR / Labor Relations Legal and Compliance</p> <p>Responsible Office: University Counsel</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.



Applicability and Definitions

As used in this policy, the term "Research Foundation" or "Foundation" shall mean The Research Foundation of State University of New York.

The terms "officer" and "employee" shall include any person employed by, representing or acting on behalf of the Research Foundation, or who is in a significant decision-making capacity (including Project Director(s) and Co-Project Director(s)) with respect to the professional, technical, or scientific aspects of a program or project conducted or administered through the Foundation.

Policy

No officers or employees of the Research Foundation 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 that is in substantial conflict with the proper discharge of their duties in the best interests of the Research Foundation.

No officers or employees of the Research Foundation should have any financial interest that will, or may be reasonably expected to, bias the design, conduct, or reporting of sponsored programs.

Standards

1. No officers or employees of the Research Foundation shall accept other employment that will impair their independence of judgment in the exercise of their duties and responsibilities.
2. No officers or employees of the Research Foundation shall accept employment or engage in any business or professional activity that will require them to disclose information confidential to the Research Foundation that they have gained by reason of their position or authority.
3. No officers or employees of the Research Foundation shall disclose information confidential to the Research Foundation acquired by them in the course of their duties except as required by law nor shall they use such information to further their personal interests, unless such information has previously been made public.
4. No officers or employees of the Research Foundation shall use or attempt to use their position to secure undue privileges or exemptions for themselves or others.
5. No officers or employees of the Research Foundation shall engage in any transaction as a representative or agent of the Research Foundation with any business entity in which they, their spouse or any dependent, or any business partners have a direct or

indirect financial interest that might conflict with the proper discharge of their duties or responsibilities.

6. No officers or employees of the Research Foundation, or corporation, firm, or association of which they, their spouse or any dependent, or any business partner is a member, shall sell, contract for, or provide goods or services to the Research Foundation in connection with a program or project administered through the Foundation in a manner that is inconsistent with the Foundation's established procurement policy.
7. Officers and employees of the Research Foundation 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.
8. Officers and employees of the Research Foundation shall abstain from holding personal investments in enterprises that they have reason to believe may be directly involved in decisions to be made by them or that will otherwise create conflict between their duties in the best interests of the Research Foundation and their private interests.

Disclosure Statement

The Disclosure Statement that is made a part of this conflict of interest policy as Exhibit A must be completed by principal investigators and co-principal investigators.

Disclosure statements must be filed in accordance with campus policy at the time of application and updated either annually or as new reportable significant financial interests are obtained.

Real, Apparent, or Potential Conflicts

All real, apparent, or potential conflicts of interest as defined under the standards must be disclosed for review and determination as to whether a violation of this policy exists.

In the event of a real, apparent, or potential conflict, the campus operations manager, or designee, shall immediately advise the campus president and the Research Foundation Central Office of General Counsel and Secretary of the substance of the disclosure. The campus shall be the office of record for all final determinations. The campus operations manager shall assure that Research Foundation policies and procedures for maintaining records of such determinations are in place. Copies of final determinations shall be forwarded to the campus president.

Where a conflict of interest as defined by Research Foundation policy is discovered, appropriate steps must be taken to manage, reduce, or eliminate such conflict of interest. These steps can include:

1. public disclosure of significant financial interests
2. monitoring of research by independent reviewers
3. modification of research plan
4. disqualification for participation in the portion of the sponsored research that would be affected by significant financial interests

5. divestiture of significant financial interests
6. severance of relationships that create actual or potential conflicts

The reviewer may allow the research to go forward without imposing such conditions or restrictions if the reviewer determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from significant financial interests are outweighed by interests of scientific progress, technology transfer, or the public health and welfare.

In instances where disciplinary action is contemplated as a result of activities disclosed by the reporting requirements, such actions shall be consistent with Research Foundation policy.

Upon receipt or notification of such complaint or inquiry, the campus operations manager or designee shall immediately advise the campus president, the person against whom the complaint is made, and the Office of General Counsel and Secretary of the substance of the complaint or inquiry. The procedures for investigating complaints and inquiries shall be consistent with those set forth in Exhibit B of this policy, Procedures for Investigating Conflict of Interest, attached hereto and made a part hereof.

Any determination by the campus operations manager or designee shall be forwarded to the president of the campus. The campus shall be the office of record for all final determinations. The campus operations manager shall assure that Research Foundation policies and procedures for maintaining such determinations are in place.

Appeal

An officer or employee who disagrees with the determination of the campus operations manager may appeal to the president of the Research Foundation, or the president's designee, for reconsideration of such determination. The determination of the president shall be final and binding.

Violation

In addition to any penalty contained in any provision of law or federal policy, officers or employees who knowingly and intentionally violate any of these provisions may be suspended from employment with the Research Foundation, or their relationship with the Research Foundation may be terminated.

Location	UniqueID	Owner	PropertyType	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	SqFt	Acres	Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
Southeast corner of NYS Route 104 West and Barnes Drive	SU-110-1-L-0007-000-A	SUNY Oswego	1	7060 State Route 104 West	Oswego	13126		N/A	D	N/A	5.8	Construction-ready parcel with direct road frontage on business corridor	YES	N/A	43.44889310	-76.5423170	Flat parcel with availability of electric, water and sewer
Southwest corner of County Route 89 and Iroquois Trail	SU-110-1-B-0000-000-A	SUNY Oswego	1	7060 State Route 104 West	Town of Oswego	13126		N/A	D	N/A	3.3	Construction-ready lakeside parcel with direct road frontage	YES	N/A	43.44889310	-76.5423170	Flat parcel with direct road frontage and availability of electric, water and sewer.
Syracuse Technology Garden	SU-110-1-B-0000-000-A	CenterState CEO	1	120 Madison Street	Syracuse	13202		Technology Garden	B	9,500	N/A	Tenant-ready space in technology business incubator, designated NYS Innovation Hot Spot	YES	N/A	43.0450650	-76.1498710	MOU in place making this "on campus" space. Vacant, flexible space with access to shared conference rooms, secretarial, wifi, tech theater, equipment
120 St. Paul Street, Oswego	SU-110-1-B-0000-001-A	County of Oswego Industrial Development Agency	1	120 St. Paul Street	Oswego	13126		N/A	C	18,000	N/A	Tenant-ready space in manufacturing facility	YES	N/A	43.4679680	-76.4868610	MOU in place making this "on campus" space. Vacant, manufacturing space adjacent to hardwood finishing business
15 County Route 59, Phoenix	SU-110-1-B-0000-002-A	County of Oswego Industrial Development Agency	1	15 County Route 59, Phoenix	Town of Schrotoppel	13135		N/A	A	7,800	N/A	Entire one-story, manufacturing building	YES	N/A	43.2489770	-76.3078040	MOU in place making this "on campus" space. Entire vacant manufacturing building in Industrial Park setting
126 North Salina Street, Syracuse	SU-110-2-B-0000-000-A	Third National Associates, LLC	2	126 North Salina Street	Syracuse	13202		100 Clinton Square	B	7,022	N/A	Tenant-ready space in office building	NO	YES	43.051775	-76.151855	Vacant office space; building located .2 miles from SUNY Oswego Branch Campus (2 South Clinton Street, Syracuse)

- ** A=entire building
- B=floor within building
- C=room within building
- D=land on campus
- E=land off campus

Dedicated Land or Buildings Unique ID Standard
See Sheet 2: SUNY Unique ID Codes