The University at Albany
START-UP NY Plan

Submitted to the
NYS Commissioner of Economic Development and
State University of New York

Amended May 15, 2014
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A. OVERVIEW

The University at Albany (UAlbany) is pleased to submit its START-UP NY “University Plan” to the NYS Commissioner of Economic Development and State University of New York (SUNY). Upon implementation, this plan will enable UAlbany to advance its academic, research and service mission by leveraging START-UP NY tax-free incentives to establish public-private partnerships, ultimately leading to enhanced job creation and entrepreneurship at UAlbany and across the broader Capital Region.

Of equal importance, this plan will provide novel opportunities for UAlbany to i) develop new knowledge and discovery, ii) generate new external research funding, iii) create experiential learning opportunities, iv) promote work force training and development programs, and v) invest in underserved, economically distressed communities in the region.

UAlbany’s plan addresses the following key elements of Governor Cuomo’s START-UP NY initiative that are explicitly cited in the enabling legislation and/or required by the control agencies regulating the initiative including:

- Identification of the campus contact person, office and address to administer the START-UP NY initiative
- Identification of designated space and/or land for the START-UP NY initiative
- A description of the type of business or businesses that the University will pursue, as well as a description of how the University will select business under START-UP NY
- Alignment of the START-UP NY initiative with University’s mission
- How START-UP NY businesses will generate positive community and economic benefits

As a major public research university, UAlbany is poised to capitalize on the START-UP NY initiative given the breadth of its leading academic and research programs and its approved NYSUNY 2020 plan featuring the 225,000 square foot Emerging Technologies and Entrepreneurship Complex (E-TEC).
B. START-UP NY CAMPUS CONTACT PERSON, OFFICE AND ADDRESS

UAlbany’s START-UP NY initiative will be administered out of the Office of Business Partnerships and Economic Development in the Division for Research.

The program head and contact will be:

   Michael H. Shimazu  
   Associate Vice President for Business Partnerships and Economic Development  
   University at Albany  
   University Hall 307D  
   1400 Washington Avenue  
   Albany, New York 12222  
   (518) 956-8170  
   mshimazu@albany.edu
C. IDENTIFICATION OF DESIGNATED SPACES AND/OR LAND UNDER START-UP NY

SPACE AVAILABLE IN CAMPUS BUILDINGS

At this time, UAlbany has identified the below list of spaces within its campus boundaries to be designated under the START-UP NY initiative. These identified spaces are based on existing campus facilities vacancies, both current and in the immediate future, in the context of anticipated new faculty and staff hiring, out-year renovation, and projected research growth. UAlbany carefully considered these factors to ensure that its existing academic, research and student support programs are not impacted by the designation of space under the START-UP NY initiative.

**Uptown Academic Podium – 2,420 SF wet lab with support spaces**
- **About this Location** – Home to STEM disciplines, arts and humanities, social sciences, business, and education, the Uptown Academic Podium provides the highest level of access and interconnectedness with UAlbany students, faculty, researchers, and staff. It also provides access to high-quality support services, resources and amenities.
- **Description of Space** – UAlbany has identified Biology Building lab suite B 031 for designation under the START-UP NY initiative. This space is currently vacant and will require upgrades prior to occupancy. The suite includes work bench areas, lab shelving and case work, and equipment and write-up spaces. Also identified are 1,360 square feet on the second floor of the Life Science Building, newly constructed and suitable for work with RNA.

**Downtown Academic Campus – 10,000 SF in Schuyler School Building**
- **About the Location** – The Downtown Academic Campus, at 135 Western Avenue, is in the center of the City of Albany and home to nationally ranked UAlbany programs in Criminal Justice, Social Welfare, and Political Science. The Schuyler School Building was recently acquired by the University and provides an opportunity for businesses to integrate with these instructional and research programming on the downtown campus. Additionally, this facility is geographically situated in an underserved area further creating a nexus to UAlbany’s academic and research programs (e.g., micro-loan entrepreneurship) which could spur growth in economically distressed areas.
- **Description of Space** – UAlbany has identified 10,000 SF of space within the Schuyler Building under the START-UP NY initiative. While the entire 127,000 SF facility is vacant and requires gut renovation, it is a priority of UAlbany’s Capital Plan; and the University will explore opportunities for START-UP NY ventures as opportunities arise.

**East Campus – 24,351 SF of lab and office spaces**
- **About the Location** – Home to the UAlbany’s top ranked School of Public Health, this technology-focused hub located in Rensselaer County consists of instructional, office, and research space, including high quality biology, chemistry, materials science and animal research labs, along with approximately 20 tenants including Taconic Farms and Albany Molecular Research.
- **Description of Space** – UAlbany has earmarked 24,351 SF on its East Campus, including 13 wet labs, most with fume hoods. The East Campus is owned and operated by a UAlbany affiliate, the University at Albany Bioscience Development Corporation.
LAND AVAILABLE ON EXISTING CAMPUS PROPERTIES

UAlbany has very few available campus parcels of land for development given its urban setting and rigid site plan. The following two parcels, each of which could be subdivided, have been identified for designation and potential development under the START-UP NY initiative.

- **East Campus Land Parcels – 36.1 acres**
  UAlbany has earmarked 36.1 acres of buildable land on its East Campus, in the Town of East Greenbush, for designation under the START-UP NY initiative. In addition to the East Campus’ School of Public Health and existing biotechnology partners, this site is directly adjacent to Regeneron Pharmaceuticals. The land is a strategic location for future growth, particularly in the biomedical and public health disciplines given the campus’s state-of-the-art infrastructure and breadth of human capital.

- **Fuller Road West Land Parcel – 18.7 acres**
  UAlbany has identified 18.7 acres of land on Fuller Road, in the City of Albany, for designation under the START-UP NY initiative. This site includes acreage adjacent to UAlbany student housing facilities and the NanoCollege Complex. It is suitable for low impact development, providing access to the NanoCollege facilities as well as UAlbany researchers, students, faculty and staff.

UP TO 200,000 SQUARE FEET OF SPACE AND LAND BEYOND THE CAMPUS BOUNDARIES

2,800 Square Feet at 418 Broadway, Albany, New York
2,800 square feet of office space at 418 Broadway, Albany, New York is designated for availability to a company or companies that align with or further the University’s academic mission and leverage the breadth of this mission or one of its four transformational research clusters. This building is located within one mile of 99 Pine Street, Albany, New York, where the University at Albany leases space.

5,552 Square Feet at 2 Tower Place, Albany, New York
5,552 square feet of office space at 2 Tower Place, Albany, New York (within the Town of Guilderland) is designated for availability to a company or companies that align with or further the University’s academic mission and leverage the breadth of this mission or one of its four transformational research clusters. This building is located within one mile of the University at Albany uptown campus.

FUTURE ADDITIONAL SPACE AND LAND

**Guidance on Additional On-Campus Space for START-UP NY**
UAlbany’s Executive Space Committee will guide the START-UP NY Campus Advisory Committee on matters of future available space *(note: the START-UP NY Campus Advisory Committee is defined later in the document).* The Executive Space Committee, an already established structure, provides the expertise and knowledge about space allocation, both current and planned, and can provide essential insight into space opportunities and constraints within a particular building or campus location. More information regarding the Executive Committee can be found at: [http://www.albany.edu/facilities/campusplanning/spacemembers.html](http://www.albany.edu/facilities/campusplanning/spacemembers.html).
Guidance on Future Development of Campus Land

Guidance on future land-use planning matters on UAlbany’s state operated campuses would be provided by UAlbany’s Advisory Planning, Architecture, and Aesthetics Committee. This group helps shape land use and site planning decisions, especially important on UAlbany’s Uptown and Downtown campuses, both of which are very densely constructed and designated as regulated historic sites. Additional information for this Committee can be found at http://www.albany.edu/facilities/apaac.html.

With regard to affiliate-owned property, the START-UP NY Campus Advisory Committee will liaison with the appropriate governance bodies within the affiliate concerning property that might be considered for future designation under the START-UP NY initiative.

Additional Off-Campus Space

UAlbany may identify additional off-campus space or land in the future only after consulting with its municipal and economic development stakeholders. Upon such consultation, the University may amend its plan as appropriate.

Future Consideration for Inclusion of Off-Campus Space/Land

The University anticipates that the off-campus spaces/land to be designated under the START-UP NY initiative will support public-private partnerships that will:

1) Align with or further UAlbany’s academic mission

2) Provide community and economic benefits – particularly, in underserved and economically distressed areas; and

3) Be proximate to UAlbany’s campus as required by statute and regulation

Local Government and Economic Development Stakeholders

Prior to including off-campus space/land in UAlbany’s START-UP NY plan, UAlbany will consult with the below local government officials and notify economic development stakeholders as applicable. These include:

- Albany and Rensselaer County, County Executives
- City of Albany, Mayor
- Town of East Greenbush, Supervisor
- Economic Development entities (IDAs and Center for Economic Growth)
In discussions regarding off-campus space/land with these stakeholders, UAlbany will emphasize the importance of targeting underserved and economically distressed populations and giving preference to underutilized properties under the START-UP NY initiative.

D. DESCRIPTION OF THE TYPE OF BUSINESS OR BUSINESSES

Description of Eligible Businesses
Eligible START-UP NY businesses will need to be aligned with or further UAlbany’s academic mission spanning the arts, sciences and professions (for more information, see “Alignment with and Furthering the Academic Mission”)

Businesses must either be a 1) new company/start-up, 2) an out-of-state company relocating to New York State, or 3) an expanding business currently based in New York State. The overarching criterion is that the prospective business must demonstrate that it is creating net new jobs, in addition to aligning with or furthering UAlbany’s mission and providing positive economic and community benefits.

Ineligible businesses will include retail/wholesale businesses, restaurants, real estate brokers, law firms, medical or dental practices, real estate management companies, hospitality industries, finance/financial services, and other personal services. Additionally, utilities and businesses engaged in the generation or distribution of electricity are ineligible.

Moreover, prospective START-UP NY businesses cannot compete against local businesses already in existence.

E. ALIGNING WITH OR FURTHERING THE ACADEMIC MISSION

UAlbany will only consider businesses that align with or further its academic mission under the START-UP NY initiative. Public-private partnerships that meet this test might feature:

- Sponsorship of current and/or developing faculty research, scholarship, and creative work
- Experiential learning and workforce opportunities for students and graduates (e.g., internships, fellowships, full-time jobs)
- Access to specialized instrumentation, tools, and/or laboratory equipment
- Support for scholarships, fellowships, or endowed chairs
- Instructional contributions and student mentoring
- Access to intellectual property, expertise, or other business resources
- Support for campus facilities and/or other institutional services/amenities

UAlbany’s START-UP NY plan capitalizes on the campus’s following strategic priorities:

- **Climate, Environmental and Economic Sustainability**—Predicting, Planning and Conserving our Environment for Future Generations
- **Emerging Technologies**—Improving Human Efficiency and Security through Computational and Forensic Sciences
- **Human Health and Biomedical Sciences**—Translating Science into Human Health
- **Public Service and Policy**—Improving the Human Condition through Research on Policy and Practice
• Business and Entrepreneurship--Creating a Culture of Innovation and Entrepreneurship in a Secure Global Marketplace
• Liberal Arts and Sciences--The Critical Foundation of an Educated Person Prepared for Citizenship, Work, and Life

Leveraging UAlbany’s NYSUNY 2020’s Four Transformational Research Clusters

Building on its NYSUNY 2020 plan approved by Governor Andrew M. Cuomo, UAlbany will seek to harness the intellectual capital of four transformational research clusters. Prospective businesses that have synergistic connections with these research disciplines will be well positioned to capitalize on the START-UP NY initiative as detailed below.

Research Cluster #1: Climate and Environmental Science Research
Leveraging our internationally acclaimed Department of Atmospheric and Environmental Science (DAES) and Atmospheric Science Research Center (ASRC), UAlbany will target businesses that align with or further its Climate and Environmental Science Research Cluster under NYSUNY 2020. This cluster will pursue advances in environmental science and climate prediction with the potential to serve as an R&D arm for climate sensitive businesses and industries. UAlbany can offer cutting-edge facilities to spur fruitful collaborations for mutual benefit -- including outstanding opportunities for the University’s students to obtain invaluable experience on business applications related to their research and studies.

Research Cluster #2: Biomedical Science and Biotechnology
UAlbany will capitalize on its internationally recognized strength in the Life Sciences to pursue advances in areas of neurodegenerative diseases and neurodevelopment, infectious disease, and cancer. The University’s RNA Institute, Cancer Research Center and Center for Functional Genomics have successfully led the way in interfacing with businesses to advance basic and applied research through public-private partnership. The available infrastructure at these facilities and others ensures that the University is ready and prepared to offer emerging biotechnology companies and existing companies new opportunities for collaboration with our researchers and students.

Research Cluster #3: Forensic Sciences and Cyber Security
The University’s forensic sciences and cyber security cluster is poised to partner with new business and industry to develop novel advances across a range of disciplines including crime scene and digital forensics. The University is well-prepared to work with companies to translate research discoveries into practical tools and technologies that would transform cybersecurity, digital forensics, and criminal investigations locally, nationally, and around the world.

Research Cluster #4: Advanced Data Analytics
UAlbany will pursue new business and industry collaborations that leverage the University’s research strength across a wide array of advanced data analytics and informatics including natural language processing, artificial intelligence, software engineering, information science, computer architecture, knowledge representation and planning. Utilizing an interdisciplinary approach in which technology is developed from an understanding of both the application domain and the ways in which humans think, UAlbany’s research strengths will be enhanced by collaborations with the private sector leading to the commercialization of research that will help businesses compete in an increasingly data-driven economy.
Leveraging the Breadth of the University at Albany's Mission

Comprehensive Undergraduate, Graduate and Professional Education
As a major public research university, UAlbany provides a wide range of academic programs spanning the arts, sciences and professions including over 250 undergraduate and graduate degree offerings. The University’s plan will leverage START-UP NY initiative benefits to partner with business and industry in order to strengthen its nationally ranked and/or distinctive academic programs across the University including, but not limited to, biomedical science, business, counseling and clinical psychology, computer science, criminal justice, economics, education, English, information and technology management, library and information studies, math, nonprofit management, political science, public affairs, public finance and budgeting, public health, public management administration, social work and sociology.

Research and Discovery
The University’s Plan will focus on opportunities with business and industry to leverage, capitalize and grow its diverse research portfolio, which includes more than 60 research centers.

Entrepreneurship and Innovation
Entrepreneurship and innovation are emerging university-wide priorities for both faculty and students. Under UAlbany’s approved NYSUNY 2020 plan, the University is developing an Emerging Technologies and Entrepreneurship Complex (E-TEC) and corresponding ecosystem to transform pioneering research and innovation into commercial activity and public-private partnership opportunities. Leveraging the E-TEC ecosystem, which brings together business development and technology transfer, the University is particularly well positioned to support the creation and growth of new business and industry under the START-UP NY initiative.

The University envisions START-UP NY businesses to support and foster entrepreneurship through new and existing programs such as student venture funds, social entrepreneurship, business plan competitions, SBIR/STIR partnerships and other business development opportunities.

Community Engagement in Economically Distressed Areas
As a public research university, UAlbany is committed to engaging the communities surrounding its three campuses – particularly regions that are underserved. The University’s active community engagement agenda through its academic disciplines and extracurricular volunteer work will be enhanced by START-UP NY business initiatives that focus in particular on underserved areas in our communities. Public-private partnerships created through the START-UP NY program can offer new opportunities for our students, faculty and researchers to tackle real-life problems from an interconnected academic and business perspective. The University’s plan will capitalize on the START-UP NY initiative to engage businesses that will contribute to the revitalization of economically distressed regions to create jobs and positive economic impact.

Under the START-UP NY initiative, UAlbany’s plan will enable the pursuit of public-private partnerships that advance the University’s mission, while creating jobs and positive economic impact throughout the region.

F. HOW START-UP NY BUSINESSES WILL GENERATE POSITIVE COMMUNITY AND ECONOMIC BENEFITS

UAlbany’s proposed START-UP NY plan anticipates attracting new businesses and new jobs to the Capital Region over the next ten (10) years. These businesses will include out-of-state companies, new start-ups or expanding businesses from New York State.
Eligible START-UP NY businesses that align with the academic mission under the University's START-UP NY plan will not only create new employment opportunities, but will attract new investment locally spurring additional economic growth across the Capital Region economy.

This economic growth will result in a number of benefits including:

- Increased employment opportunities
- Diversification of the regional economy
- Expanded purchasing/spending in the local economy
- Greater economic impact through increased population
- More home ownership and residential investment throughout the region

The University's START-UP NY plan will place enhanced priority on prospective businesses that will engage and benefit underserved communities.

The positive economic and community impact of the START-UP NY initiative in the Capital Region will be further enhanced by the alignment of the University’s plan with key strategic goals of the Capital Region Economic Development Council:

- to leverage resources among academic, not-for-profit, governmental and commercial organizations
- to open new doors for business, cultivate opportunities for startup companies, and build the competency of research, education and health care
- to prepare for tomorrow by supporting education and workforce development
- to focus development within the urban core

Through public-private partnerships under START-UP NY, the University will be able to expand educational and training programs, establish new experiential learning opportunities for students, generate new research and discovery, and/or transfer and commercialize more research and technology to the market place – all outcomes that will allow the university to better serve the Capital Region.

G. DESCRIPTION OF HOW UALBANY WILL SELECT BUSINESSES

Accepting Businesses Applications
Upon its plan being approved by SUNY and the Commissioner of Economic Development, UAlbany will begin accepting business applications under the START-UP NY initiative. The Office of Business Partnerships and Economic Development will first determine if a business applicant meets certain minimum eligibility requirements under the START-UP NY initiative and University’s Plan. Information regarding the UAlbany START-UP NY initiative will be available on a secure and dedicated webpage at http://www.albany.edu/start-up-ny.

START-UP NY Campus Advisory Committee
The University will establish a START-UP NY Advisory Committee to review, evaluate business applications, which will include a determination of alignment with the academic mission, and make recommendations to the President (or designee) for final campus approval. The membership of the group will include appropriate senior administrative officers, as well as faculty and student representatives. Through its work, the committee will provide a broad University perspective when implementing this high profile program.

The evaluation and selection process will have two different approval pathways – 1) for space and land associated under the State University of New York at Albany and 2) for space and land
associated with a University affiliate, such as the University at Albany Foundation OR the 200,000 square feet of property owned by a third party landlord or developer.

#1) State University of New York at Albany – Evaluation and Selection Process

UAlbany’s newly established Office of Business Partnerships and Economic Development will serve as the “front door” for all prospective businesses seeking to secure START-UP NY designation. If a business applicant satisfies certain minimum criteria, the Office of Business Partnerships and Economic Development will refer the “business application” to the START-UP NY Campus Advisory Committee for review and evaluation.

Whenever necessary, the START-UP NY Campus Advisory Committee will seek guidance and feedback from various campus committees and units on matters including academic and research alignment, space and land, budget/finance impact and community impact as appropriate.

Evaluation and Selection
The START-UP NY Campus Advisory Committee will select prospective businesses for participation in the University’s program on the basis of their ability to align with or further the academic mission of the University, their potential for economic benefits and their potential for benefits to the community. At least half of the evaluation for prospective businesses will be based on the furtherance of the University’s academic mission, with economic and community benefits comprising the remaining considerations. Through this approach, the University’s START-UP plan will consider a number of related factors in assessing business applications which may include, but are not be limited to:
**Academic and Research Alignment**
- Is the business in an industry aligned with current and/or developing University research, scholarly, and creative activity?
- Does the business provide experiential learning and workforce opportunities (e.g., internships, fellowships, full-time jobs) for students and graduates?
- Does the business provide areas for partnership and advancement for faculty and students?
- Will the business provide access to research instrumentation, tools, and/or equipment necessary to advance the academic and research mission?
- Will the business fund scholarships, campus facilities or other academic services or amenities?
- Will the business and/or its employees contribute to instruction or provide student mentoring?
- Does the business offer the use of company resources, intellectual property or expertise to support the academic mission?

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

**Community Benefits**
• Does the business have the support of one or more municipal or community entities?
• Is the business recruiting employees from the local workforce?
• Does the business invest in underserved, economically distressed regions?
• Will the business rely on suppliers with in the local and regional economy?

Upon review and approval from the START-UP NY Campus Advisory Committee, the business application will be advanced to the President (or designee) for final campus approval. Upon the President’s or designee’s approval, the Office of Business Partnerships and Economic Development will complete the “Sponsoring University Application for Business Participation.” This form, along with the business application, will be submitted to the NYS Commissioner of Economic Development for final approval.

**#2) University Affiliate or Third Party Landlord or Developer for the Off-Campus 200K Square Feet Designation**

For business applications that seek to utilize land or space owned by a University Affiliate (for example, the University at Albany Foundation) or by a third party landlord or developer, the process requires an additional step.

UAlbany’s Office of Business Partnerships and Economic Development will continue with the first review to ensure that prospective businesses seeking to secure START-UP NY designation satisfy certain minimum criteria.

Before the application is moved forward to the START-UP NY Campus Advisory Committee and the President, it requires an evaluation by the University affiliate for economic viability, corporate governance and business planning reasons.

Again, existing University committees can be solicited to assist with the review process and an Ad-hoc Academic Review Committee can be convened as needed to provide the University and its affiliates with the full array of information needed to assess each application.
Upon Final Approval

Upon final approval, the University will work with the business to facilitate implementation of the terms and conditions of agreement under the START-UP NY initiative. The University will cooperate with the Commissioner in its monitoring and reporting responsibilities.

H. OTHER ISSUES

Confidentiality
Recognizing that for any number of reasons, a business may require total confidentiality, the University will, as appropriate, execute non-disclosure agreements with prospective business partners in order to explore potential business relationships.

Conflict of Interest
The University’s evaluations and selection process will account for prospective conflict of interest issues through adherence to the section four hundred thirty-nine of Article 21 of the Economic Development Law, as well as the policies of the State University of New York, the Research Foundation of the State University of New York and the University at Albany Foundation.
Accelerated Decision-Making Process
Some prospective START-UP NY businesses may require a more rapid decision-making process. Accordingly, the President of the University reserves authority to select and advance businesses under the START-UP NY program to NYS Commissioner of Economic Development for final approval.
START-UP NY CAMPUS PLAN FOR DESIGNATION OF TAX-FREE AREA(S)

Campus Name: University at Albany, State University of New York
Campus Contact Person: Michael Shimazu, Associate Vice President for Business Partnerships and Economic Development

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: University at Albany
Campus Address: 1400 Washington Avenue; Albany, NY 12222

Address(es) of Proposed Tax-Free NY Area(s):

1. Uptown Campus – 1400 Washington Avenue, Albany NY 12222 – space
2. Downtown Campus – 135 Western Avenue, Albany NY 12203 – space
3. East Campus – 5 University Place, Rensselaer, NY 12144 – space
4. Uptown Campus – 1400 Washington Avenue, Albany NY 12222 – land
5. East Campus – 5 University Place, Rensselaer, NY 12144 – land
6. Off-campus 418 Broadway, Albany, NY 12207 – space
7. Off-campus 2 Tower Place, Albany, NY 12203 – space

Description of physical characteristics:

1. Uptown Campus – space – 2,420 SF biology wet lab case work and benches; existing building on well-established suburban/urban campus, adjacent to University instruction and researchers; minor upgrades needed in some spaces
2. Downtown Campus – space – 10,000 SF in 127,000 SF Schuyler Building; urban campus suitable for mixed use commercial; major renovation of spaces required; building is currently not in use
3. East Campus – space – 24,351 SF of wet lab and offices of various sizes on established suburban, multi-tenant campus; mixed commercial, university, and lab research use; minor upgrades needed; owned by UAlbany affiliate: University at Albany Biosciences Development Corporation (UABDC)
4. Uptown Campus – land – 18.7 acres of land on Fuller Road West
portion of campus; land is suburban/urban with close proximity to residences and Nanotech campus; site is undeveloped and would require utilities and road extension
5. East Campus – land – 36.1 acres of land in suburban mixed use campus; land is undeveloped with limited road frontage; would require utilities extensions; land owned by UABDC
6. Off-campus 418 Broadway – space – 2,800 square feet of office space in downtown Albany; owned by TL Metzger & Associates, LLC
7. Off-campus 2 Tower Place, Albany, NY 12203 – space – 5,552 square feet of office space in the Town of Guilderland; owned by Stuyvesant Plaza, Inc.

ii. Provide digital files containing Polygon shapefile that delineates area for designation.
   Attach to Campus Plan See attachments

iii. Provide digital files containing Point shapefile that provides locations of area for designation. Point shapefile must include a unique identifier for each feature.
    Attach to Campus Plan See attachments

iv. Provide digital files containing a chart that includes name of city, town or village where the area for designation is located; street address; zip code; name of property owner; type of property; parcel identification number (if applicable and available); vacant Building name/number; type of vacant space; total square footage of area for designation; unique identifier; and any geographic information system (GIS) maps, as indicated on the application form, of the area comprising the proposed Tax-Free NY Area, showing existing streets, highways, waterways, natural boundaries and other physical features.
    Attach to Campus Plan

2) The total square footage of the space or acreage of land proposed for designation as a Tax-Free NY Area
   SPACE – 36,771 SF on campus and 8,532 SF off campus
   LAND – 54.8 acres

3) Provide a description of the type of business or businesses that may locate on the area to be designated.
   See UAlbany’s START-UP NY Plan (Attachment #1; page 5)

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.
   See UAlbany’s START-UP NY Plan (Attachment #1; page 6)

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.

See UAlbany’s START-UP NY Plan (Attachment #1; page 8)

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

See UAlbany’s START-UP NY Plan (Attachment #1; page 8)
UAlbany Uptown Campus - Biology Building, Life Science Building & Fuller Rd West Vacant Land
Room Numbers: 2019, 2023, & 2023A
Unique ID: SU-101-1-B-00041-219-A
Total Area: 1,360 SF
Unique ID: SU-101-1-B-00523-000-U
Total Area: 10,000 SF
Room Number: 117
Unique ID: SU-101-1-B-00409-117-A
Total Area: 903 SF
Room Numbers: 109, 109A, 0109B, & 109C
Unique ID: SU-101-1-B-00402-109-A
Total Area: 489 SF

Room Number: 128
Unique ID: SU-101-1-B-00402-128-A
Total Area: 453 SF

Room Number: 129
Unique ID: SU-101-1-B-00402-129-A
Total Area: 457 SF
UAlbany East Campus - Sterling Winthrop
1st Floor / C Wing / Rooms 112, 114, 115 AA-B, 123, & 124

Room Number: 112
Unique ID: SU-101-1-B-00403-112-A
Total Area: 447 SF

Room Number: 114
Unique ID: SU-101-1-B-00403-114-A
Total Area: 946 SF

Room Numbers: 115 & 115B
Unique ID: SU-101-1-B-00403-115-A
Total Area: 683 SF

Room Numbers: 115A & 115AA
Unique ID: SU-101-1-B-00403-1AA-A
Total Area: 498 SF

Room Number: 123
Unique ID: SU-101-1-B-00403-123-A
Total Area: 195 SF

Room Number: 124
Unique ID: SU-101-1-B-00403-124-A
Total Area: 285 SF
Room Numbers: 201 & 201A
Unique ID: SU-101-1-B-00405-201-A
Total Area: 422 SF

Room Number: 202
Unique ID: SU-101-1-B-00405-202-A
Total Area: 492 SF

Room Number: 204
Unique ID: SU-101-1-B-00405-204-A
Total Area: 449 SF

Room Number: 206 & 206A
Unique ID: SU-101-1-B-00405-206-A
Total Area: 601 SF

Room Number: 205
Unique ID: SU-101-1-B-00405-205-A
Total Area: 669 SF

Room Numbers: 210A, & 210B
Unique ID: SU-101-1-B-00405-210-A
Total Area: 268 SF

Room Numbers: 215 & 215 A
Unique ID: SU-101-1-B-00405-215-A
Total Area: 444 SF

Room Numbers: 217 & 217 A
Unique ID: SU-101-1-B-00405-217-A
Total Area: 466 SF
Room Numbers: 204, 204A, 205, 206, 206A & 205
Unique ID: SU-101-1-B-00402-204-A
Total Area: 1,396 SF

Room Number: 237A
Unique ID: SU-101-1-B-00402-237-A
Total Area: 397 SF
Room Number: 320
Unique ID: SU-101-1-B-00401-320-A
Total Area: 99 SF

Room Number: 322
Unique ID: SU-101-1-B-00401-322-A
Total Area: 286 SF
Room Number: 406
Unique ID: SU-101-1-B-00401-406-A
Total Area: 876 SF

Room Number: 407, 407A & 407B
Unique ID: SU-101-1-B-00401-407-A
Total Area: 552 SF

Room Number: 410
Unique ID: SU-101-1-B-00401-410-A
Total Area: 1,777 SF
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Unique ID: SU-101-2-B-99002-000-A
Total Area: 5,552 SF

Red Area Indicates Single Leased Block
Unique ID: SU-101-2-B-99001-000-A
Total Area: 2,800 SF
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<th>Acres</th>
<th>Description</th>
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<th>Within1mile OfCampus</th>
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<td>TL Metzger &amp; Associates, LLC</td>
<td>2</td>
<td>418 Broadway</td>
<td>Albany</td>
<td>12207</td>
<td>418 Broadway</td>
<td>G</td>
<td>2,800</td>
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<td>Third floor of downtown Albany location, suitable for office use, minutes from downtown amenities.</td>
<td>no</td>
<td>yes</td>
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<td>Stuyvesant Plaza, Inc.</td>
<td>2</td>
<td>2 Tower Place Executive Park</td>
<td>Albany</td>
<td>12203</td>
<td>2 Tower Place</td>
<td>G</td>
<td>5,552</td>
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<td>First floor office suite located in Stuyvesant Plaza office park; adjacent to commercial and retail, very close proximity to UAlbany and Nanotech.</td>
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<td>yes</td>
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<td>135 Western Ave</td>
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<td>Schuyler</td>
<td>C</td>
<td>10,000</td>
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<td>Portions of Schuyler building on Downtown Campus - blg requires gut renovation, no floor plan available</td>
<td>yes no</td>
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<td>Biology</td>
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<td>Uptown Campus: Biology 11831; ground floor level, 2 rooms - wet lab and office space</td>
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<td>Parcel on Fuller Rd west bound by residences, Freedom Quad, and Nano</td>
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<td>12144</td>
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<td>C-wing</td>
<td>C</td>
<td>498</td>
<td>E.Campus, C-Wing, room 115A &amp; 115AA, first floor office - could be part of larger 115 suite</td>
<td>yes</td>
<td>no</td>
<td>42°37'40.313&quot;N</td>
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<td>195</td>
<td>E.Campus, C-Wing, room 123, first floor storage</td>
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<td>no</td>
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<td>422</td>
<td>E.Campus, D-Wing, room 201,201A: second floor office space, 2 rooms, one for reception</td>
<td>yes</td>
<td>no</td>
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<td>D-wing</td>
<td>C</td>
<td>492</td>
<td>E.Campus, D-Wing, room 202: second floor wet lab</td>
<td>yes</td>
<td>no</td>
<td>42°37'41.754&quot;N</td>
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<td>C</td>
<td>449</td>
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<td>E-Campus, D-Wing, room 204; second floor wet lab</td>
<td>yes</td>
<td>no</td>
<td>42°37'41.599&quot;N</td>
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<td>D-wing</td>
<td>C</td>
<td>601</td>
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<td>E-Campus, D-Wing, rooms 206,206A: second floor office with small equipment room</td>
<td>yes</td>
<td>no</td>
<td>42°37'41.413&quot;N</td>
<td>73°44'23.464&quot;W</td>
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<td>D-wing</td>
<td>C</td>
<td>669</td>
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<td>E-Campus, D-Wing, room 205: second floor wet lab</td>
<td>yes</td>
<td>no</td>
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<td>......</td>
<td>DB-wing</td>
<td>C</td>
<td>584</td>
<td></td>
<td>E-Campus, DB-Wing, basement rooms 14, 14A, 14B, for storage or support</td>
<td>yes</td>
<td>no</td>
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<td>......</td>
<td>DB-wing</td>
<td>C</td>
<td>620</td>
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<td>E-Campus, DB-Wing, basement rooms 15, 15A, 15B, 15C, 15D, 15E, for storage or support</td>
<td>yes</td>
<td>no</td>
<td>42°37'42.063&quot;N</td>
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<td>DB-wing</td>
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<td>E-Campus, DB-Wing, basement room 16 for storage or support</td>
<td>yes</td>
<td>no</td>
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<td>......</td>
<td>DB-wing</td>
<td>C</td>
<td>594</td>
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<td>E-Campus, DB-Wing, basement room 18 for storage or support</td>
<td>yes</td>
<td>no</td>
<td>42°37'41.961&quot;N</td>
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<td>DB-wing</td>
<td>C</td>
<td>587</td>
<td></td>
<td>E-Campus, DB-Wing, basement rooms 19, 19A, 19B, 19C, 19D, 19E, for storage or support</td>
<td>yes</td>
<td>no</td>
<td>42°37'42.112&quot;N</td>
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<td>DB-wing</td>
<td>C</td>
<td>583</td>
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<td>E-Campus, DB-Wing, basement rooms 20, 20A, 20B, for storage or support</td>
<td>yes</td>
<td>no</td>
<td>42°37'42.411&quot;N</td>
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<td>Town of East Greenbush</td>
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<td>DB-wing</td>
<td>C</td>
<td>629</td>
<td></td>
<td>E-Campus, DB-Wing, first floor office suite, 124, 124A, 124C, 124D, 124 E, 3 offices, large open area, foyer</td>
<td>yes</td>
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<td>42°37'42.887&quot;N</td>
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<td>......</td>
<td>D-wing</td>
<td>C</td>
<td>268</td>
<td></td>
<td>E-Campus, D-Wing, first floor, 2 offices, 210A and 210B, approx 130 SF each</td>
<td>yes</td>
<td>no</td>
<td>42°37'41.051&quot;N</td>
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<td>5 University Place</td>
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<td>D-wing</td>
<td>C</td>
<td>444</td>
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<td>E-Campus, D-Wing, room 215, 215A: second floor lab with attached office</td>
<td>yes</td>
<td>no</td>
<td>42°37'40.485&quot;N</td>
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<td>......</td>
<td>D-wing</td>
<td>C</td>
<td>466</td>
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<td>E-Campus, D-Wing, room 217, 217A: second floor lab with attached office</td>
<td>yes</td>
<td>no</td>
<td>42°37'40.346&quot;N</td>
<td>73°44'23.262&quot;W</td>
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</tbody>
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**Notes**

- **A** = entire building
- **H** = entire building off campus
- **G** = partial building
- **C** = room within building
- **D** = land on campus
- **E** = land off campus
- **S** = floor within building
- **N** = SU for SUNY, CU for CUNY and PV for Privates
- **YYYY** = is the PSI building number or for land a campus assigned number.
- **2** = on campus
- **1** = off campus
- **X** = is T or C for Land, Building or Combination
- **U** = is an additional number, generally 000 but where there are several units within a single building each would get a unique identifier.
- **V** = is SU for SUNY, CU for CUNY and PV for Privates
- **Y** = is a 3-dgt mc. code for sponsor campus - 101 is Albany
- **Z** = is a 1 for on-campus and a 2 for off-campus
- **-** = indicates A - if the property/space is currently available for a new business, U - is unavailable (for any reason other than I), or I - is currently in use by a StartUp NY approved business.
§ 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 o 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.
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.
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
rfcompliance@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 that 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:

<table>
<thead>
<tr>
<th>Responsible Party</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Members, Officers, and Key Employees</td>
<td>Annual Disclosures</td>
</tr>
<tr>
<td>Principal Investigators</td>
<td>Grant-Related Disclosures</td>
</tr>
<tr>
<td>Employees</td>
<td>Situational Disclosures as needed</td>
</tr>
</tbody>
</table>

**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:
   1. Vice presidents
   2. Senior directors;
   3. Assistant Vice-Presidents; and
   4. Directors;
   5. 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
<table>
<thead>
<tr>
<th>Date</th>
<th>Summary of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>December 7, 2012</td>
<td>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</td>
</tr>
</tbody>
</table>
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.

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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  

3 Duderstadt, James, et al., A University for the 21st Century, University of Michigan Press, 2003, p324
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. Researchers 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.

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.
(a) CASE Statement of Ethics

The CASE Board of Trustees adopted this Statement of Ethics in 1982.

Institutional advancement professionals, by virtue of their responsibilities within the academic community, represent their colleges, universities, and schools to the larger society. They have, therefore, a special duty to exemplify the best qualities of their institutions and to observe the highest standards of personal and professional conduct.

In so doing, they promote the merits of their institutions, and of education generally, without disparaging other colleges and schools.

Their words and actions embody respect for truth, fairness, free inquiry, and the opinions of others.

They respect all individuals without regard to race, color, sex, sexual orientation, marital status, creed, ethnic or national identity, handicap, or age.

They uphold the professional reputation of other advancement officers and give credit for ideas, words, or images originated by others.

They safeguard privacy rights and confidential information.

They do not grant or accept favors for personal gain, nor do they solicit or accept favors for their institutions where a higher public interest would be violated.

They avoid actual or apparent conflicts of interest and, if in doubt, seek guidance from appropriate authorities.

They follow the letter and spirit of laws and regulations affecting institutional advancement.

They observe these standards and others that apply to their professions and actively encourage colleagues to join them in supporting the highest standards of conduct.

Principles of Practice for Fund-Raising Professionals at Educational Institutions

Approved by the CASE Board of Trustees in November 2005

Philanthropy is a voluntary exchange in which the values and aspirations of donors are matched with the values and aspirations of those they benefit.
Educational fund-raising professionals work on behalf of those served by their institutions during this exchange of values and represent their universities, colleges and schools to donors, volunteers, and the larger public. In doing so, they also represent the integrity of the institution and of the fund-raising profession. They must, in discharging responsibilities, observe and promote the highest standards of personal and professional conduct and continually strive to increase their knowledge of the profession.

The following principles are consistent with CASE's position on commission-based compensation developed by the Commission on Educational Fund Raising (now the Commission on Philanthropy) in 1991 and reaffirmed in 2005, and the Donor Bill of Rights. They are intended to provide guidance and direction to educational fund-raisers and volunteers as they make ethical choices during the philanthropic exchange of values. The principles are not, and cannot be, an exhaustive list of rules to be applied to every decision in which ethical principles may be involved.

These ethical principles go hand-in-hand with the expectation that educational fund raising professionals are expected to comply with the letter and the spirit of all laws relevant to charitable giving.

**Ethical Principles**

**Personal Integrity** Individuals will:

- be fair and honest and conduct themselves with integrity;
- not maintain any vested interest in a professionally related activity that could result in personal gain without prior full disclosure and approval;
- respect that their relationships with prospective donors, donors, volunteers, and employees are professional relationships and may not be exploited.

**Confidentiality** Individuals will:

- safeguard and respect donor and prospective donor information;
- honor the wishes of an individual and/or organizational constituent with regard to how directory information and/or giving history is used;
- record and keep only information relevant to cultivation, solicitation, and stewardship;
- identify the source of retained information;
- safeguard prospective donor, donor, and other constituent lists compiled by the institution as the property of the institution; these lists may not be distributed or used for unauthorized purposes or for personal gain;
- make every effort to ensure that volunteers, vendors, and external entities with access to constituent information understand and agree to comply with the organization's confidentiality and public disclosure policies.

**Public Trust** Individuals will:
• ensure donated funds are used in accordance with donors' intentions;
• obtain specific instructions from a donor before altering conditions of a restricted gift (consistent with applicable law);
• provide prompt, responsive and truthful replies to donor and public inquiry in accordance with the organization's stated policies;
• place the mission and interest of the institution and its donors above personal gain;
• pursue only gifts that fall within, or advance, the institution's mission and/or approved priorities.

Disclosure Individuals will:
• be truthful about the institution's mission, intended use of funds, and capacity of the institution to use donations effectively for the intended purpose;
• be truthful and specific about the identification of the organization they represent and their employment or volunteer status;
• understand and disclose their areas of expertise and will give appropriate advice regarding the involvement of the donors' legal, accounting, financial and tax advisors;
• help ensure appropriate and consistent accounting, budgeting, and reporting methodologies.

Compensation Individuals will
• not accept commission-based compensation or compensation based on a percentage of funds raised;
• not accept external compensation for the receipt of a gift or information leading to a gift;
• not agree to pay compensation to individuals in respect of a gift or information leading to a gift.

Revised:
1/27/2010
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.

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**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

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Effective: February 10, 2014
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.