



The State University of New York

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

To: SUNY Chancellor
From: Dr. Alain Kaloyeros
Re: Amended SUNY Polytechnic Institute Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan")
Date: April 17, 2015

For campus Office of the President:

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

Handwritten signature of Alain E. Kaloyeros

Signature of Founding President and Chief Executive Officer

Dr. Alain Kaloyeros

FOR SUNY SYSTEM ADMINISTRATION USE ONLY

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

Handwritten signature of Jeffrey A. Boyce

Proposal Review Team Co-Chair

Handwritten date 4-17-15

Date

Handwritten signature of Jeffrey A. Boyce

Print Name

For SUNY Office of the Chancellor:

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

Handwritten signature of Sandra M. Casey

Signature of the Chancellor or designee

Handwritten date 4/20/15

Date

Handwritten signature of Sandra M. Casey

Print Name

# SUNY POLYTECHNIC INSTITUTE

To: Mr. Howard Zemsky, President and CEO and Commissioner of New York State Department of Economic Development  
From: Dr. Alain Kaloyeros, Founding President and Chief Executive Officer of SUNY Polytechnic Institute  
Re: Third Amendment to the SUNY Polytechnic Institute Campus Plan for Designation of Tax-Free Area(s)  
Date: April 17, 2015

---

Under 5 NYCRR 220.9, providing for the amendment of an approved Campus Plan designating Tax-Free NY Areas, I, Dr. Alain Kaloyeros, Founding President and Chief Executive Officer of SUNY Polytechnic Institute (SUNY Poly), hereby certify the following:

- a.) We are submitting an amended description of the total square footage of the space and/or acreage of land proposed for designation as a Tax-Free NY Area. Such amended description encompasses amendments to Paragraphs 1 and 2 of the START-UP NY Campus Plan for Designation of Tax-Free Area(s), an amended spreadsheet identifying the properties in the Tax-Free Area, amended Figures 1 and 7 to add space within NanoFab East. .
- b.) We have provided a copy of the Third Amendment to the Campus Plan for Designation of Tax-Free NY Area, to the municipality or municipalities in which the proposed Tax-Free NY Area is located, local economic development entities, the applicable faculty senate, union representatives, and student government at least 30 days prior to submitting the plan to you and have attached evidence of submission herewith;
- c.) We comply with Public Officers Law Section 74 and the State University of New York's Policy on Conflict of Interest and have attached copies of the policies and/or guidelines herewith;
- d.) We comply with the Commissioner's rules and guidelines on anticompetitive behavior (NY EDL, art. 21, sect. 440);
- e.) 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;
- 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 created vacant land or space to be designated as a Tax-Free NY Area; and

- g.) The information contained in the enclosed Third Amendment to the Campus Plan is, to the maximum extent possible, accurate and complete.



\_\_\_\_\_  
FOUNDING PRESIDENT AND CHIEF EXECUTIVE OFFICER

April 17, 2015  
DATE

Attachments/Enclosures:

- 1.) Amendments to Plan
- 2.) Complete Plan, As Amended
- 3.) Replacements for spreadsheet and the figures depicting the property to be designated.
- 4.) Applicable conflict of interest policies
- 5.) Evidence of submission of the Amended Campus Plan to interested parties.

[AMENDED]

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

Campus Name: SUNY Polytechnic Institute  
Campus Contact Name: Thomas D. Smith  
Campus Contact Title: Associate Vice President for Information Protection and Intellectual Property Management  
Campus Contact Email: tsmith@sunycnse.com  
Campus Contact Phone: 518-956-7368

**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 Polytechnic Institute (SUNY Poly)
Campus Address:
Address(es) of Proposed Tax-Free NY Area(s) :
<b>SUNY Poly Albany Nanotech Complex (including ZEN, NFE, NFS, NF200)</b> 201 - 257 Fuller Road Albany, New York 12203
<b>SUNY Poly Smart Cities Technology Innovation (SCiTI) Center (Kiernan Plaza)</b> 575 Broadway Albany, New York 12207
<b>SUNY Poly Campus at Utica/Rome</b> 100 Seymour Road Utica, New York 13502  330 Technology Drive Utica, New York 13403
<b>SUNY Poly Smart System Technology &amp; Commercialization Center (STC)</b> 5450 Campus Drive Canandaigua, New York 14424

Description of Physical Characteristics of Proposed Tax-Free NY Area(s):

SUNY Poly proposes the designation of 343,376 square feet of facility space and 253.15 acres of land as START-UP NY Tax-Free Area eligible space.

**Background**

SUNY Poly has been established by SUNY as an integrated science, engineering, technology, health and social sciences, business, and management research and education institution. SUNY Poly consists of two co-principal academic locations in Albany and Utica-Rome, and multiple innovation and commercialization hubs spanning upstate New York. By coupling nanotechnology programs and facilities at SUNY Poly's Albany NanoTech Complex with the academic program assets and infrastructure at the SUNY Poly Campus at Utica/Rome, the merged institution creates an unequaled conduit to advance the fields of engineering, engineering technology, computer science, business, health-science, social sciences, and related disciplines through the intrinsically interdisciplinary framework of 21st century higher education.

**SUNY Poly's Statewide Economic Development Hub-Node Model**

The SUNY Poly technology hub-node model recognizes that each regional location possesses complimentary assets, networks and culture that provide unique competitive advantages associated with that region. While each region may have a focus on a specific application or technology capability, SUNY Poly seeks to enable the integration of industry partners and regional capabilities located at the various statewide locations within a broad array of cross-regional partnerships aligned around the targeted strategic industry groups. Aristotle's quote that "the whole is greater than the sum of its parts" surely applies to the New York economy.

SUNY Poly's Albany NanoTech Complex is a fully-integrated educational, research, development, and prototyping facility that provides strategic support through outreach, technology acceleration, business incubation, pilot prototyping, and test-based integration support for over 300 existing corporate partners constituting an unmatched nanotechnology ecosystem of companies comprising the entire food chain in R&D and manufacturing that include IBM, Intel, GlobalFoundries, SEMATECH, Samsung, TSMC, Applied Materials, Tokyo Electron, ASML, and Lam Research, among many others. The benefits afforded by this model will continue to expand with the creation, in 2014, of the New York Power Electronics Manufacturing Consortium and its groundbreaking work on the development and manufacture of the next generation of materials used on semiconductors. This open-innovation model serves as a compelling attraction for potential START-UP NY companies.

Fuller Road Management Corporation (FRMC) and Fort Schuyler Management Corporation (FSMC) support SUNY Poly in conducting its research, development, and deployment (RD&D) and educational activities, particularly in the management and coordination of its portfolio of RD&D centers and facilities. FMRC and FSMC were formed to plan, design, develop, construct, own, and lease facilities necessary to create the environment wherein SUNY Poly can develop and deploy basic and applied nanotechnology innovations and translate them into commercially viable applications. FMRC and FSMC act as the "landlords" and support the brick and mortar and infrastructure needs and functions of SUNY Poly.

The following existing facilities and sites provide details for designation under START-UP NY. The application will be amended as more facilities and sites become available. Designated space includes:

**START-UP NY Designated Space:**

**SUNY Poly Zero Energy Nanotechnology (ZEN) Building** - Total space of 358,413 SF square feet of which 167,734 square feet are vacant for tax free designation under START-UP NY at this time. The number of square feet to be designated as tax free under START-UP NY in the ZEN

Building reflects the determination that, where a business that has existing operations within SUNY Poly's Albany Nanotech Complex and submits an application to participate in START-UP NY, the square footage of the START-UP NY Designated Space in the ZEN Building allocated to such businesses will reflect only the incremental increase over existing operations attributable to expanded operations within the START-UP NY Designated Space in the ZEN Building.

Located at SUNY Poly's Albany NanoTech Complex, the ZEN building will be a first-of-its-kind resource dedicated to enabling innovative research, development and commercialization of green technologies. It will serve as an international showpiece and "living laboratory" for energy efficient and renewable energy technologies, as well as house the New York State Data Center, Tech Valley High School, the Children's Museum of Science and Technology (CMOST), and business incubation and commercialization laboratories.

**SUNY Poly NanoFab South** - Total space of 150,000 square feet of which 9,204 square feet are vacant for tax free designation under START-UP NY at this time.

Located at SUNY Poly's Albany NanoTech Complex and completed in March 2004, this \$50 million facility included 32,000 square feet of cleanroom space. The facility also includes classrooms and offices for the College of Nanoscale Science and Engineering.

**SUNY Poly NanoFab East** - Total space of 250,000 square feet, of which 3,350 square feet are vacant for tax free designation under START-UP NY at this time.

Located at SUNY Poly's Albany NanoTech Complex and completed as part of a \$150 million project in March 2009, this facility contains primarily laboratory and classroom space.

**SUNY Poly NanoFab 200 (also known as CESTM)** - Total space of 70,000 square feet, of which, 29,839 square feet are vacant for tax free designation under START-UP NY at this time.

**SUNY Poly Smart Cities Technology Innovation (SCiTI) Center (Kiernan Plaza)** - Total space of 111,000 square feet, of which 26,131 square feet are vacant for tax free designation under START-UP NY at this time.

The site for SUNY Poly SCiTI center, this landmark building that was originally constructed as the Union Train Station in 1899 but has been vacant since 2009. Catalyzed by \$4 million in funding through Governor Cuomo's Capital Region Economic Development Council (CREDC) initiative to support the purchase and fit-up of the iconic building by SUNY Poly, SCiTI is leveraging the CREDC funding to attract an additional \$26 million in private industry investment; create and retain 250 high-tech jobs; lure technology companies to downtown Albany; and position New York as a global leader in the emerging smart cities technology sector. SEFCU, CHA and Windstream Corporation are the first corporate partners located at SUNY Poly Kiernan Plaza.

#### **SUNY Poly Campus at Utica/Rome**

The SUNY Poly Campus at Utica/Rome is located just north of the City of Utica, the NYS Thruway, and the NYS Canal, encompassing 762 acres of property overlooking the Mohawk Valley. The SUNY Poly Campus at Utica/Rome has direct access from State Route 49 and State Route 12 and is less 5 miles from the Utica NYS Thruway exit. A new four-lane access road was completed in 2012 providing a new and defined entrance to the campus. The campus is surrounded with a robust infrastructure of power, water, and sewer networks to support future developments and growth.

The following existing facilities and sites at the SUNY Poly Campus at Utica/Rome are available for designation under START-UP NY:

**QUAD C Site, 330 Technology Drive** - Total space 253,000 square feet. 105,613 square feet are vacant for tax free designation under START-UP NY at this time. The QUAD C (Computer Chip Commercialization Center) is a facility containing flex-space clean rooms, laboratories, integrated utility and mechanical systems and office and meeting space to be

owned and operated by FSMC on behalf of SUNY Poly. The facility will act as the focal point to attract corporate partnerships, academic research, programs, investment, and a skilled workforce. The QUAD C is currently under construction and will be complete in December 2014.

**Vacant Land** – 6 parcels aggregating 253.15 acres.

**SUNY Poly Smart System Technology & Commercialization Center (STC)** - Total space of 140,000 square feet, of which 1,505 square feet is vacant for tax free designation under START-UP NY at this time.

- 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). Attached.
  - 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. Attached.
  - iv. Provide a campus map with each proposed building shaded. Label each building with the official building number as listed in the SUNY Physical Space Inventory (PSI) along with the building name. For each building shaded and labeled, include floor plans of all areas under consideration with the specific spaces clearly shaded and labeled with official PSI room numbers. If digital files containing Point shapefiles that provide locations of area for designation are available, provide these as well. Attached.
- 2) The total square footage of the space and/or acreage of land proposed for designation as a Tax-Free NY Area is:

343,376 square feet of facility space and 253.15 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.

In partnership with our regional economic development agency, MVEDGE, the Cities of Utica and Rome, the Town of Marcy, and Mohawk Valley Community College, SUNY Poly is considering the following off-campus areas for inclusion:

1. City of Utica Downtown Area:
  - Former GE building on Broad Street
  - InCubator partnership on Genesee Street
  - Additional partnership potential with Munson Williams Pratt Art Institute
  - Masonic Research Lab
  
2. Rome Griffiss Technology Park:
  - Griffiss Institute 46,000SF with plans to add 22,000SF
  - Exelis Building 20,000SF
  - AIS building 46,000SF
  - BAE 28,000SF
  
3. Town of Marcy  
Several vacant and available properties along Route 49 in Marcy, within a mile of the SUNY Poly Utica/Rome campus

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.

TBD

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

The SUNY Poly Albany NanoTech Complex has targeted the nanotechnology-driven industries by addressing the challenges of the nation's 21st century consumer, commercial, bio-tech, energy and defense sectors. SUNY Poly supports small, medium and large companies by providing access to critical technology infrastructure, commercialization know-how, and outreach capabilities within an open innovation model that overcomes the "Valley of Death" by spanning short-, medium-, and long-term horizons. Specifically, SUNY Poly serves as a bridge between each phase of the research, development and deployment (RD&D) commercialization continuum by aligning objectives between federal, state and industry programs to coordinate and leverage the escalating investment, accelerate the time to commercialization, and integrate intellectual property (IP) in materials, equipment, processes, and devices. The result has been a highly integrated continuum of support for technology commercialization projects, targeted workforce education programs, and regional economic development strategies all operated under the SUNY Poly umbrella.

It is anticipated that the experience gained in establishing the existing model for technology commercialization at SUNY Poly's Albany NanoTech Complex, described above, can be leveraged and adapted to support a development infrastructure appropriate for the broad array of programs that traditionally have had the SUNY Poly Campus at Utica/Rome as their home, including engineering, cybersecurity, computer science, engineering technologies, business, communication, nursing, and the arts and sciences. As the activities associated with the merger and the integration of academic programs within SUNY Poly progress and as the START-UP NY program matures, the processes for supporting commercialization and aligning commercialization opportunities with the mission of SUNY Poly will evolve to optimize the value generated for students, faculty, the START-UP NY companies, and the community as a whole.

### **Open-Innovation Public-Private Partnerships: Targeting Strategic Industry Groups**

SUNY Poly has enabled the nanoelectronics industry's development of a coherent technology roadmap by utilizing common integration platforms within shared-user facilities enabling the open innovation of vertically integrated teams among the entire "food chain" of material, equipment and device manufacturers. The establishment of open innovation public-private partnerships has been the key to success in driving regional growth across New York State.

While SUNY Poly has identified nanotechnology as the overarching focus for its activities, it has targeted strategic industry groups that are defined by technology, applications and sectors to reflect the unique aspects associated with each as follows: NanoFabrication, NanoEnergy, NanoBiohealth, Technology Infrastructure Solutions, Information Technologies and Smart City Technologies (SCT).

#### **NanoFabrication**

The NanoFabrication category of companies (Device, Equipment, Ancillary Equipment, Materials & Consumables) represents a focus on the escalating challenges in atomic-scale fabrication (new materials, precision, contamination, complexity). This group also includes a focus on emerging manufacturing process trends with the potential to establish emerging ecosystems of companies where the supply chain may still be in formation, industry R&D is already underway at SUNYPI, and, the potential for new entrants to unseat incumbent suppliers is high. Examples of these opportunities include: 1) 450 mm wafer transition; 2) supply-chain scale-up (e.g., EUV lithography enablement); 3) advanced device packaging; 4) metrology and in-line process control; and 5) reliability assessment, among others.

#### **Technology Infrastructure Solutions**

The Technology Infrastructure Solutions category of companies represents a focus on strategies seeking to bridge the gap between the hundreds of supporting ancillary equipment manufacturers (e.g., abatement, vacuum, fittings, power, HVAC) and the rapidly consolidating array of field-level integration companies including architecture, design, and commissioning engineers, (e.g., M+W Group, EYP/Energy, CH2Mhill, CHA). Establishment of test-bed demonstration facilities, innovative consortia as well as dedicated testing labs are critical to supporting these companies.

#### **NanoBiohealth**

SUNY Poly faculty expertise in a variety of biological and medical disciplines, coupled with the existing infrastructure and know-how in nanoelectronics, uniquely positions the institution to identify and capture new and emerging opportunities for nanotechnology in the biomedical arena. SUNY Poly has initiated an evolving technology development strategy enabling public-private partnerships targeting the entire spectrum of biohealth opportunities including: nanomaterial characterization and correlation with toxicological bio assays; high throughput screening using bio assays for pharmacological assessment; integrating sensing and computational elements in smart systems for portable and low-cost laboratory testing (e.g., DNA sequencing); and wearable real time health monitoring smart systems for personalized medicine, among many others.

#### **Clean Energy and Environmental Technologies**

The integration of nanotechnology to energy and environmental technology applications requires multi-disciplinary expertise, multi-partner technology integration and multi-level educational programs that often require specialized technology development (e.g., manufacturing lines) and demonstration infrastructure (e.g., test-beds) necessary for industry-aligned, government-directed and academic-enabled solutions. The NanoEnergy category targets companies, research institutions and governmental entities to establish public-private partnerships leading to dramatic acceleration in commercialization and reduction in risk of nano-enabled clean energy and environmental solutions.

#### **Information Technology**

Six years after the launch of the iPhone, there is growing recognition that the foundation is cast for a transformation in smart service systems with field-based data generated by devices with embedded intelligence (e.g., sensing, locating, identifying, storing) in a broadband/wireless deployment that is correlated with data residing in public/private clouds (e.g., benchmark, trend) often using high performance computing (e.g., predictive, data analytics). Information Technology represents broadening focus by SUNY Poly to integrate through a tighter coupling between the enabling smart devices providing embedded intelligence in a broad array of field-based applications and cloud and high performance computing with data analytics and cyber security that are increasingly found to offer new breakthroughs from pharmacology to materials science, from smart phones to smart cities.

### **Smart Cities Technologies (SCT)**

The Smart Cities Technologies (SCT) represent an innovative technology, outreach, and business development strategy targeting the engagement of government agency service providers and their private sector contractors with an expanded focus on the system- and field-level solutions development and test-bed demonstration for a rapidly growing emerging market opportunity. SCT targets companies and governmental agencies seeking to deploy highly integrated systems that utilize enabling smart devices and information technology (e.g., cloud computing, data analytics, and high performance computing) to address markets in urban infrastructure (e.g., transportation, energy) governmental services, healthcare, and education. SUNY Poly is creating a technology, market, and business development capability targeting multi-level companies (device-system-field), multi-governmental entities (local-state-federal), and multi-attainment educational institutions (academia, high schools, community based organizations) in a public-private partnership leading to adoption of SCT solutions spanning infrastructure-to-healthcare.

### **Shared-use facilities available to START-UP NY qualifying companies include:**

**SUNY Poly NanoFab North** - Located at SUNY Poly's Albany NanoTech Complex and completed in December 2005, this \$175 million facility includes 35,000 square feet of cleanroom space with Class 1 capable 300mm wafer production. The NFN facility also houses the world's first extreme ultraviolet ("EUV") Alpha Demo Tool, developed by ASML.

**SUNY Poly NanoFab Central** - Located at SUNY Poly's Albany NanoTech Complex and completed as part of a \$150 million project in March 2009, this building houses 15,000 square feet of 300mm wafer, class 1 capable cleanroom space.

**SUNY Poly NanoFab Xtension** - Located at SUNY Poly's Albany NanoTech Complex, this expansion was completed in 2013 and houses the world's first Global 450mm Consortium. It added an additional 60,000 square feet of Class 1 capable cleanrooms. This expansion will enable the addition of more than 1,000 scientists, researchers, and engineers from SUNY Poly and global corporations.

**NanoFab 200 (also known as CESTM)** - Located at SUNY Poly's Albany NanoTech Complex and completed in June 1997, this \$16.5 million facility includes 4,000 square feet of cleanroom space, plus metrology labs and office space.

**SUNY Poly's Solar Energy Development Center** - Located in Halfmoon, New York, this facility that features a state-of-the-art, 100 kilowatt prototyping and demonstration line for next-generation copper indium gallium selenide (CIGS) thin film solar cells. The facility provides a pilot line for proof-of-concept prototyping, offering critical opportunities to demonstrate emerging concepts in CIGS manufacturing, such as evaluations of innovative materials and novel processes.

**Smart System Technology and Commercialization Center (STC)** - Managed and supported by SUNY Poly, the STC is located outside Rochester, NY. STC offers the largest array of world-class micro- electromechanical systems (MEMS)-related solutions in the industry, all under one roof. At the core of STC's technical capabilities is an infrastructure supporting the [design](#), [fabrication](#) and [packaging](#) of MEMS. The state-of-the-art STC facility includes over 50,000 square feet of certified cleanroom space with 150mm wafer production, complemented by a dedicated 8,000-square-foot MEMS and optoelectronic packaging facility.

**QUAD C Site at SUNY Poly Utica/Rome** with 253,000 square feet. 105,613 square feet are available for tax free designation under START-UP NY. The QUAD C (Computer Chip Commercialization Center) is a facility containing flex-space clean rooms, laboratories, integrated utility and mechanical systems and office and meeting space to be owned and operated by FSMC on behalf of SUNY Poly. The facility will act as the focal point to attract corporate partnerships, academic research, programs, investment, and a skilled workforce. The Quad-C is currently under construction and will be complete in December 2014.

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

Mission, Vision and Objective:

The vision of SUNY Poly is to act as a world-class academic, entrepreneurial, and outreach resource in education, innovation, and economic vitality for SUNY and the citizens of New York State, with emphasis on scholarly excellence in the discovery and dissemination of basic and applied knowledge in the interdisciplinary traditional and emerging fields of science, engineering, and technology.

The mission of SUNY Poly is to serve as an intellectually vibrant, creative, and stimulating environment for innovation, education, and outreach that prepares our students to apply basic and applied knowledge to the challenges, complexities, and opportunities of a modern technological society. Specifically:

- Serve as a powerhouse for innovation and education in the interdisciplinary traditional and emerging disciplines of science, engineering, and technology, from theoretical principles to practical applications.
- Engage in the formulation and dissemination of new discoveries, exciting innovations, stimulating research endeavors, and fundamental and applied knowledge in the science, engineering, technology and related disciplines of the 21st century, through research and creative inquiry.
- Provide an affordable, comprehensive, and integrated range of undergraduate and graduate educational and research programs of the highest quality.
- Provide students with a well-rounded education to prepare them as future leaders in a dynamic and diverse world by demonstrating the interconnectedness of knowledge and cultures and emphasizing the importance of continuous learning.
- Foster economic development and create educational opportunities within New York, the nation, and beyond and promote responsibility and commitment to public service.

In 2004, CNSE was created as “the first of its kind in the country – to provide our industry with the high quality workforce it needs to grow in New York State.” Subsequently, the UAlbany President recommended and the SUNY Board of Trustees (BOT) unanimously approved in April 2004 the creation of the CNSE as a UAlbany academic unit. As stated in the SUNY BOT resolution, the overarching mission of CNSE is to “enable the discovery and dissemination of fundamental knowledge in the emerging interdisciplinary fields of nanotechnology and provide the citizens of New York with a comprehensive education of the highest quality.”

In May 2006, just two years after its formation, CNSE was named by leading industry trade publication Small Times magazine as the nation’s number one college for nanotechnology, rated first overall among all colleges and universities in the United States, as well as number one in the areas of education, facilities and industrial outreach. In May 2007, CNSE was ranked by Small Times as the world’s number one college for nanotechnology, rated first overall among all colleges and universities in the world, as well as number one in the areas of education and facilities, receiving the highest five-star rankings in each category.

Since its establishment in 1966 as the State’s primary public Polytechnic college, SUNYIT has provided a comprehensive range of high quality undergraduate and graduate programs that prepare students to live in a dynamic and diverse world by demonstrating the interconnectedness of knowledge, peoples, and cultures and emphasizing the importance of continuous learning. Areas of emphasis for SUNYIT have been to engage in the development and dissemination of new knowledge by nurturing research and creative endeavors; foster economic development and create educational opportunities within our region, the nation, and beyond; and promote civic responsibility and commitment to public service. Significant efforts have been made to build connections to businesses that would support SUNYIT in achieving its mission, including business management and consulting, computer systems technology, cybersecurity, engineering, healthcare, nanotechnology, and a broad range of applied science and technology firms.

In 2014, the SUNY BOT authorized the combination of CNSE, and all of its related academic programs with SUNYIT at Utica-Rome. This combination will leverage the collective strengths of both entities on an equitable basis to: create

unparalleled opportunities for current and future students from the Mohawk Valley and the whole of New York State in terms of access to current and future SUNY Poly programs and facilities; promote enrollment growth and academic program and full-time faculty expansion at the merged SUNY Poly; and promote economic revitalization of New York State by expanding the CNSE model of vertically and horizontally integrated industry-university consortia and publically led public-private partnerships to convert enabling innovations to market-ready commercialization ventures.

Students learn best in an environment anchored in a real-world setting integrated with the structure to guide and assess their learning outcomes. The ideal setting is a work environment in close proximity to their classrooms and laboratories where faculty and industry supervisors collaborate to create an integrated learning experience. Given the oft-repeated industry concerns that recent graduates do not have the "soft skills" required for success in a work culture, an internship assimilates students into the work culture while they become competent in the technical components of the job.

Proximity enables partner businesses to provide significant internship and job opportunities to students and graduates through a seamless classroom-to-workforce transition in appropriate disciplines and relevant fields. This model supports regional economic development, especially the investments of the Regional Economic Development Council initiative.

SUNY Poly is working to assemble and deploy the critical mass of vertically and horizontally integrated industry-university consortia and publically led public-private partnerships to convert enabling innovations and scientific breakthroughs into real business opportunities and revenue-generating ventures. SUNY Poly is realizing its vision to create a global powerhouse for research, development, workforce education, and economic outreach in nanotechnology and nanotechnology-enabled high tech industries of the 21st century.

SUNY Poly is catalyzing the expansion of a nanotechnology eco-system by supporting a robust "research" pipeline that includes innovation networks, nano-scale institutes and education academies; an array of "development" resources that include technology platforms, alignment initiatives, and business programs, as well as responsive "deployment" capabilities that include industry-compliant facilities, manufacturing consortia and cross-regional models necessary for successful commercialization and regional economic growth.

As a result of the merger with SUNYIT, the knowledge gained through the successful establishment of industry-university consortia and other public-private partnerships described above will now inform the establishment of similar public-private partnerships in research, development, workforce training, and commercialization that will inure to the benefit of programs at the SUNY Poly Campus at Utica/Rome. As the innovation economy grows in Upstate New York through START-UP NY there will be increasing demand for the broad range of skills offered by graduates of the programs at the SUNY Poly Campus at Utica/Rome and engagement with START-UP NY companies will both enhance that demand and support the preparation of students to meet that demand.

- 5) Provide a description of how participation by these types of businesses in the START-UP NY Program will generate positive community and economic benefits, including but not limited to:
- Increased employment opportunities;
  - Increased opportunities for internships, vocational training and experiential learning for undergraduate and graduate study;
  - Diversification of the local economy;
  - Environmental sustainability;
  - Increased entrepreneurship opportunities;
  - Positive, non-competitive and/or synergistic links to existing businesses;
  - Effect on the local economy; and
  - Opportunities as a magnet for economic and social growth.

- **Increased employment opportunities** – The impact of SUNY Poly’s globally recognized public-private collaboration is truly unprecedented. The partnership is projected to create and retain 20,000 nanotechnology jobs across New York State by 2015.
- **Increased opportunities for internships/vocational training for undergraduate/graduate study** - Proximity enables partner businesses to provide significant internship, vocational training and job opportunities to students and graduates through a seamless classroom-to-workforce transition in appropriate disciplines and relevant fields. Projects already underway have harnessed the power of collaboration between academe and business and the START-UP NY Program will provide additional opportunities to create both internships and jobs. The valuable work experience gained through newly created internships and vocational training programs will ensure a qualified workforce exists within the community. SUNY Poly’s students have an impressive direct placement percentage with our existing partners upon graduation.
- **Diversification of the local economy** – As the population diversifies, so to do the needs of the community. The addition of further out-of-state and international companies will result in the expansion of the existing markets for products and services and the creation of markets for products and services that previously did not exist.
- **Environmental sustainability** –Facilities like ZEN, QUAD C, and Marcy Nanocenter encourage cooperation among industry participants to share resources, materials, equipment and talent, obviating the need to build and operate redundant, individual facilities that cannot enjoy the benefits of meaningful collaboration. Such collaborations will accelerate research and development of a broad range of products and services.
- **Increased entrepreneurship opportunities** – As a designated Center for Advanced Technology (CAT), SUNY Poly provides start-ups and small businesses a prospective partner as they attempt to navigate the R & D “valley of death.” Programs such as the New York State Business Plan Competition and iCLEAN will continue to expand as more businesses form synergistic relationships with the college.
- **Positive, non-competitive and/or synergistic links to existing businesses** - In attracting suitable new business partners to our campuses, SUNY Poly will leverage its already existing 300+ strategic partnerships (with companies including GE, Intel, IBM, Samsung, GlobalFoundries, TSMC, Applied Materials, Tokyo Electron, ASML, Lam Research, ANSI, Atotech, AMRI, Silevo and Sora) and the unique ecosystem they constitute. Our potential industry partners will be able to interact with these onsite corporate partners as they look to grow their operations.
- **Effect on the local economy** – By 2015, the direct economic impact of jobs created by SUNY Poly is estimated to exceed \$2.25 billion in salaries and wages alone. As a result, this SUNY Poly led public-private partnership has been one of the most effective economic development tools in NYS. Another example is the Marcy Nanocenter, which involves an estimated investment of \$17 billion and an economic impact of 15,000 new jobs.
- **Opportunities as a magnet for economic and social growth** – As a “spark-plug” for industrial enablement, SUNY Poly has already become a magnet to which businesses wanting to be part of our established ecosystem are attracted. Each new partner creates new synergies and opportunities for further growth.

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

**A. Academic and Research Alignment**

1. Is the business in an industry aligned with current and/or developing University research, scholarly, and creative activity?

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

**B. Economic Benefit**

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

**C. Community Benefits**

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

Prospective businesses will submit their applications to SUNY Poly's business development and economic outreach staff (led by CNSE Vice President for Business Development and Economic Outreach).

Potential partners will be considered not only for the local SUNY Poly regional clusters but also additional partnership programs in other regions across the state as described in this amended campus plan. Regardless of designated regional focus, SUNY Poly will encourage all partner companies to leverage and utilize complimentary capabilities and resources that reside in each region including academic institutions, governmental facilities, and private and not-for-profit entities that combined would enhance the ability of a given partner to achieve success. This strategy will also create the potential for each partner to have broader impact across a wider range of academic and research programs.

Once selected, SUNY Poly partners will be engaged on campus to further develop technology roadmaps, economic outreach strategies, and commercialization pathways.

Given this desired alignment with the research and academic mission of SUNY Poly, applicant companies will be evaluated by business development and economic outreach staff based on the following criteria:

**A. Academic and Research Alignment**

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

7. Does the business offer the use of company resources, intellectual property or expertise to support the academic mission?

B. Economic Benefit

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

C. Community Benefits

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

Upon completion of this evaluation, business development and economic outreach staff, in consultation with the Faculty Council, will make recommendations to the Founding President and Chief Executive Officer who will then make a final decision regarding each applicant. Following approval by the Founding President and Chief Executive Officer, a Sponsoring University Application for Business Participation will be completed and forwarded to the Department of Economic Development for approval.

\*\*\*\*\*

# **Excel Spreadsheet and Figures**

# **Applicable Conflict of Interest Policies**

# PUBLIC OFFICERS LAW

## § 74. Code of ethics.

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

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

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

### **3. Standards.**

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

improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

- g.** An officer or employee of a state agency should abstain from making personal investments in enterprises which he has reason to believe may be directly involved in decisions to be made by him or which will otherwise create substantial conflict between his duty in the public interest and his private interest.
- h.** An officer or employee of a state agency, member of the legislature or legislative employee should endeavor to pursue a course of conduct which will not raise suspicion among the public that he is likely to be engaged in acts that are in violation of his trust.
- i.** No officer or employee of a state agency employed on a full-time basis nor any firm or association of which such an officer or employee is a member nor corporation a substantial portion of the stock of which is owned or controlled directly or indirectly by such officer or employee, should sell goods or services to any person, firm, corporation or association which is licensed or whose rates are fixed by the state agency in which such officer or employee serves or is employed.

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

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

## Table of Contents

[Summary](#)

[Policy](#)

[Definitions](#)

[Other Related Information](#)

[Procedures](#)

[Forms](#)

[Authority](#)

[History](#)

[Appendices](#)

## 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.

 <p>Category: Academic Affairs Community Colleges Legal and Compliance Research</p> <p>Responsible Office: <a href="#">Academic Affairs</a></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>
--	--

[Table of Contents](#)

[Summary](#)

[Policy](#)

[Definitions](#)

[Other Related Information](#)

[Procedures](#)

[Forms](#)

[Authority](#)

[History](#)

[Appendices](#)

## 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 21<sup>st</sup> 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 and/or review 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:** After a campus is notified by the Commissioner of Economic Development that its Campus Plan or any amendment(s) to an approved Campus Plan has been approved, it may submit a Sponsoring University or College Application for Business Participation ("Sponsor Application") to the NYS Commissioner of Economic Development and to the Chancellor or designee for concurrent review and approval. Only Commissioner of Economic Development approval is required.
- 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 31<sup>st</sup> 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](#)

[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.

---

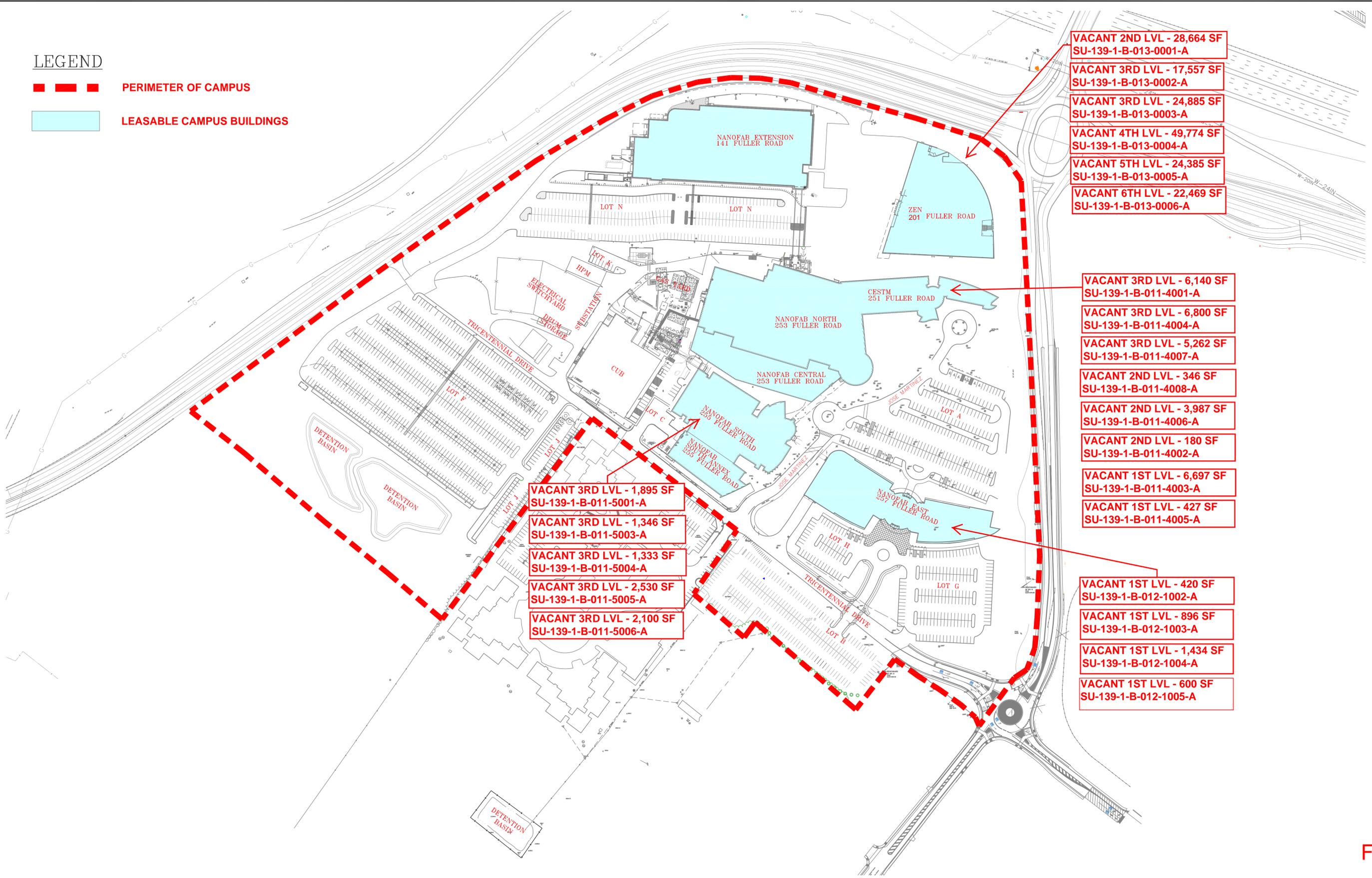
#### Appendices

There are no appendices relevant to this policy.



**LEGEND**

- PERIMETER OF CAMPUS
- LEASABLE CAMPUS BUILDINGS



VACANT 2ND LVL - 28,664 SF  
SU-139-1-B-013-0001-A

VACANT 3RD LVL - 17,557 SF  
SU-139-1-B-013-0002-A

VACANT 3RD LVL - 24,885 SF  
SU-139-1-B-013-0003-A

VACANT 4TH LVL - 49,774 SF  
SU-139-1-B-013-0004-A

VACANT 5TH LVL - 24,385 SF  
SU-139-1-B-013-0005-A

VACANT 6TH LVL - 22,469 SF  
SU-139-1-B-013-0006-A

VACANT 3RD LVL - 6,140 SF  
SU-139-1-B-011-4001-A

VACANT 3RD LVL - 6,800 SF  
SU-139-1-B-011-4004-A

VACANT 3RD LVL - 5,262 SF  
SU-139-1-B-011-4007-A

VACANT 2ND LVL - 346 SF  
SU-139-1-B-011-4008-A

VACANT 2ND LVL - 3,987 SF  
SU-139-1-B-011-4006-A

VACANT 2ND LVL - 180 SF  
SU-139-1-B-011-4002-A

VACANT 1ST LVL - 6,697 SF  
SU-139-1-B-011-4003-A

VACANT 1ST LVL - 427 SF  
SU-139-1-B-011-4005-A

VACANT 3RD LVL - 1,895 SF  
SU-139-1-B-011-5001-A

VACANT 3RD LVL - 1,346 SF  
SU-139-1-B-011-5003-A

VACANT 3RD LVL - 1,333 SF  
SU-139-1-B-011-5004-A

VACANT 3RD LVL - 2,530 SF  
SU-139-1-B-011-5005-A

VACANT 3RD LVL - 2,100 SF  
SU-139-1-B-011-5006-A

VACANT 1ST LVL - 420 SF  
SU-139-1-B-012-1002-A

VACANT 1ST LVL - 896 SF  
SU-139-1-B-012-1003-A

VACANT 1ST LVL - 1,434 SF  
SU-139-1-B-012-1004-A

VACANT 1ST LVL - 600 SF  
SU-139-1-B-012-1005-A

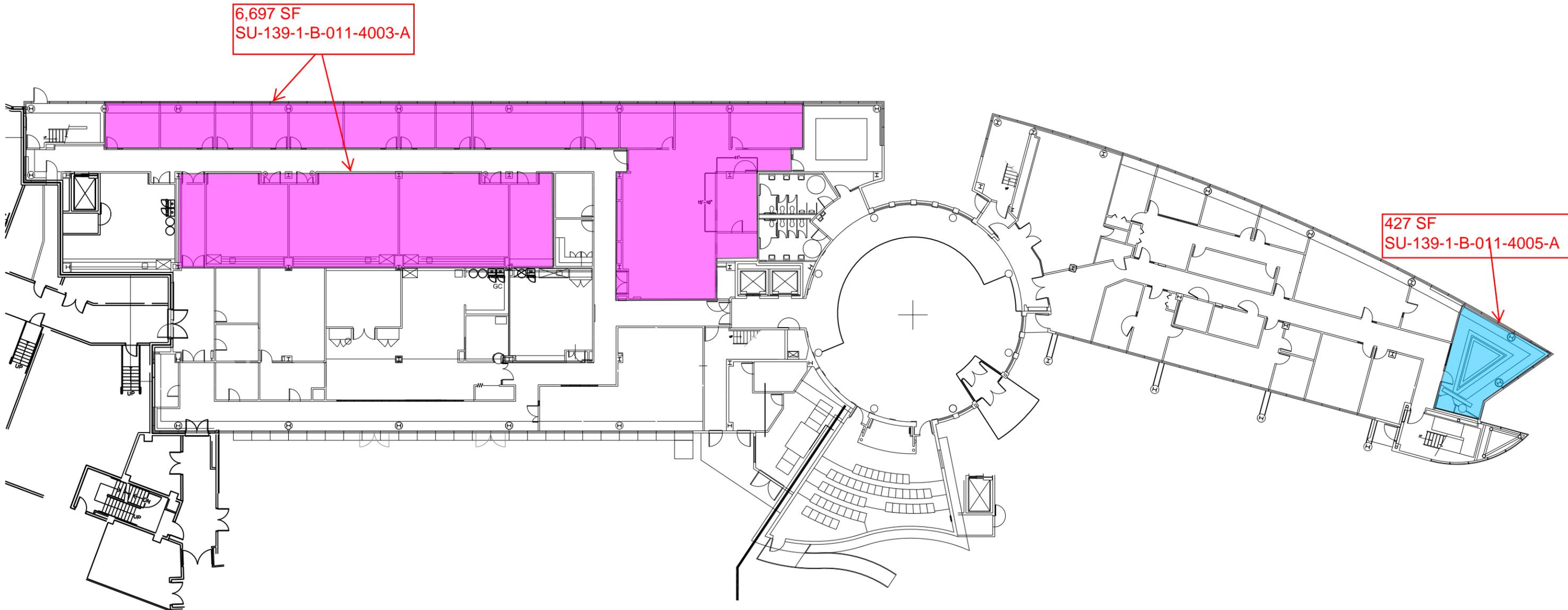
**FIGURE 1**

REV.	DATE	DESCRIPTION	BY
2	12/17/2013	ISSUE FOR REVIEW	MCW
1	12/16/2013	ISSUE FOR REVIEW	MCW



**SUNY COLLEGE of NANOSCALE  
SCIENCE AND ENGINEERING**

SHEET TITLE			
<b>COLLEGE of NANOSCALE SCIENCE AND ENGINEERING SITE PLAN</b>			
DRAWN	DATE	NAME	SCALE
CHECKED			NTS
ISSUED/APPROVE			REV. 2
BUILDING			SHEET NO. G-100



1 CESTM FIRST FLOOR  
A-001

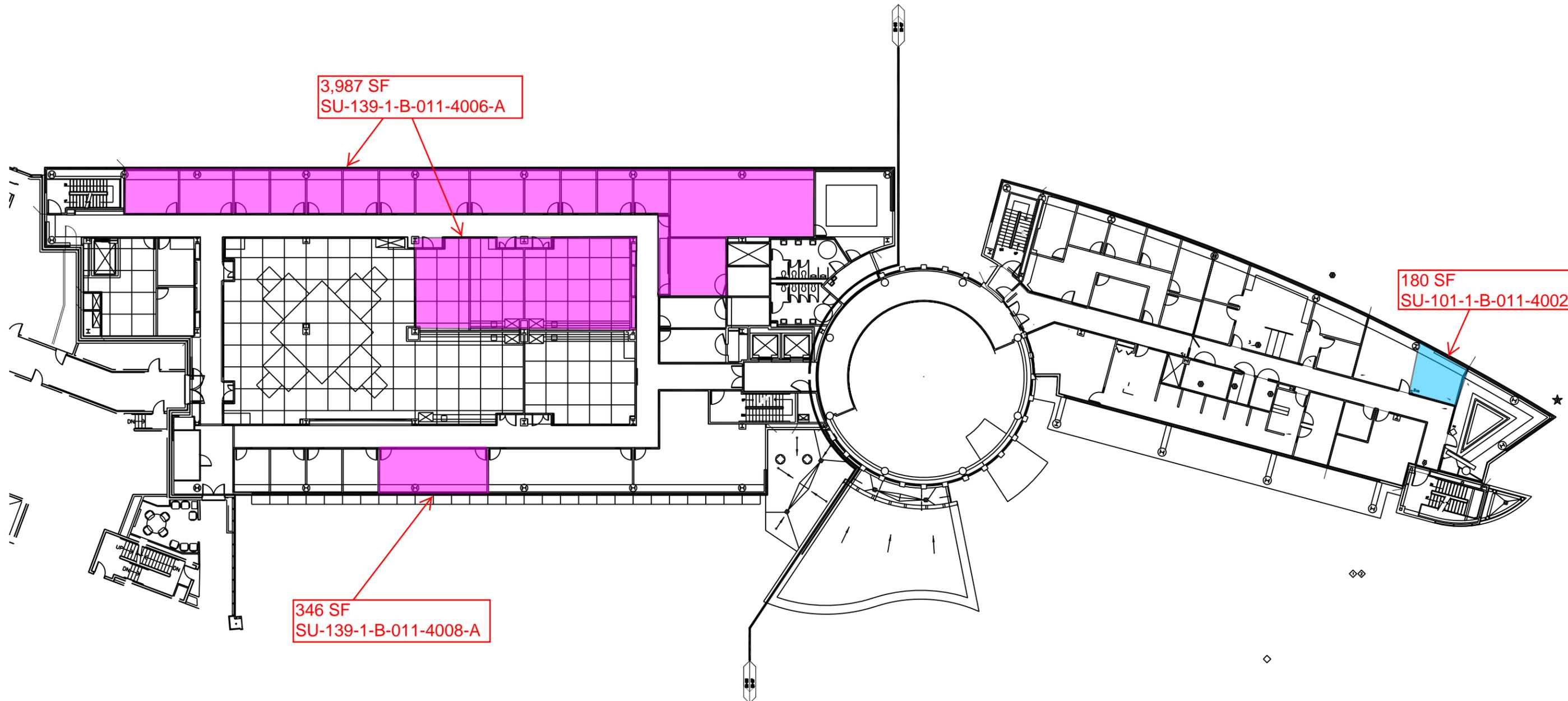
Figure 2

REV.	DATE	DESCRIPTION	CI
1	2/26/2014	ISSUE FOR START-UP NY	CI



**SUNY COLLEGE of NANOSCALE  
SCIENCE AND ENGINEERING**

SHEET TITLE			
COLLEGE of NANOSCALE SCIENCE AND ENGINEERING -CESTM			
DRAWN	DATE	NAME	SCALE
CHECKED			NTS
ISSUED/APPROVE			REV. 1
BUILDING			SHEET NO. A-001



1 CESTM SECOND FLOOR  
A-002

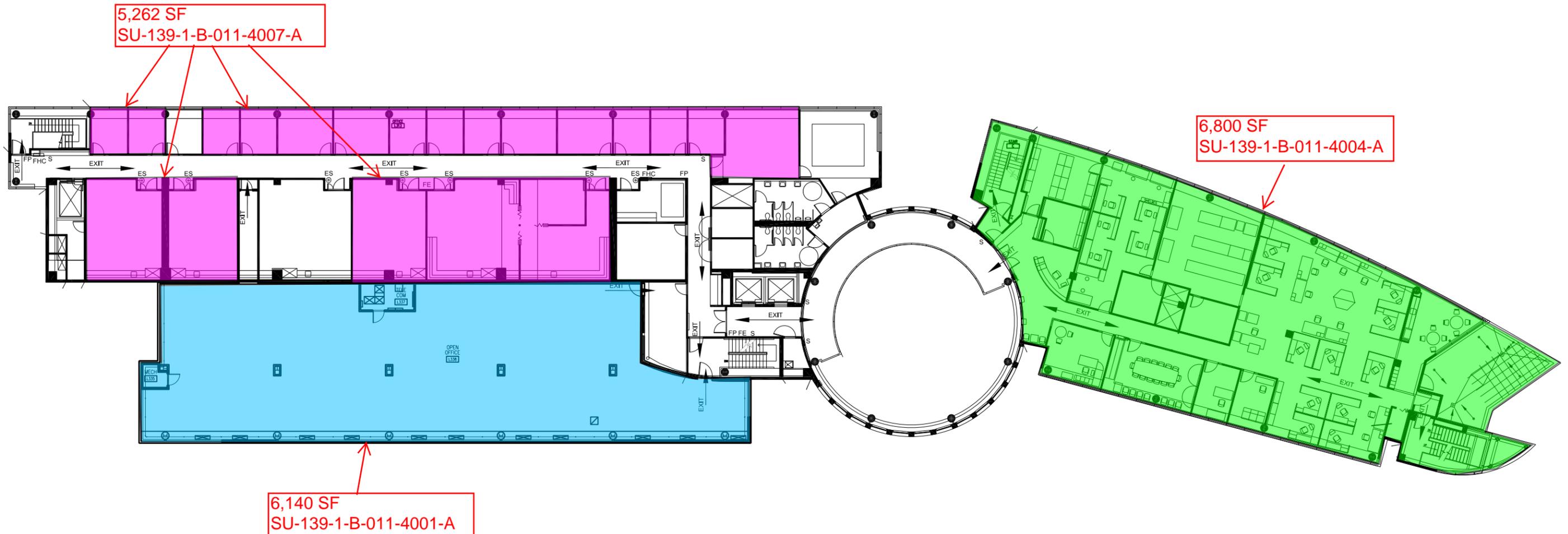
Figure 3

REV.	DATE	DESCRIPTION	CI
1	2/26/2014	ISSUE FOR START-UP NY	CI



**SUNY COLLEGE OF NANOSCALE  
SCIENCE AND ENGINEERING**

SHEET TITLE			
COLLEGE of NANOSCALE SCIENCE AND ENGINEERING -CESTM			
DRAWN	DATE	NAME	SCALE
CHECKED			NTS
ISSUED/APPROVE			REV. 1
BUILDING			SHEET NO. A-002



1 CESTM THIRD FLOOR  
A-003

Figure 4



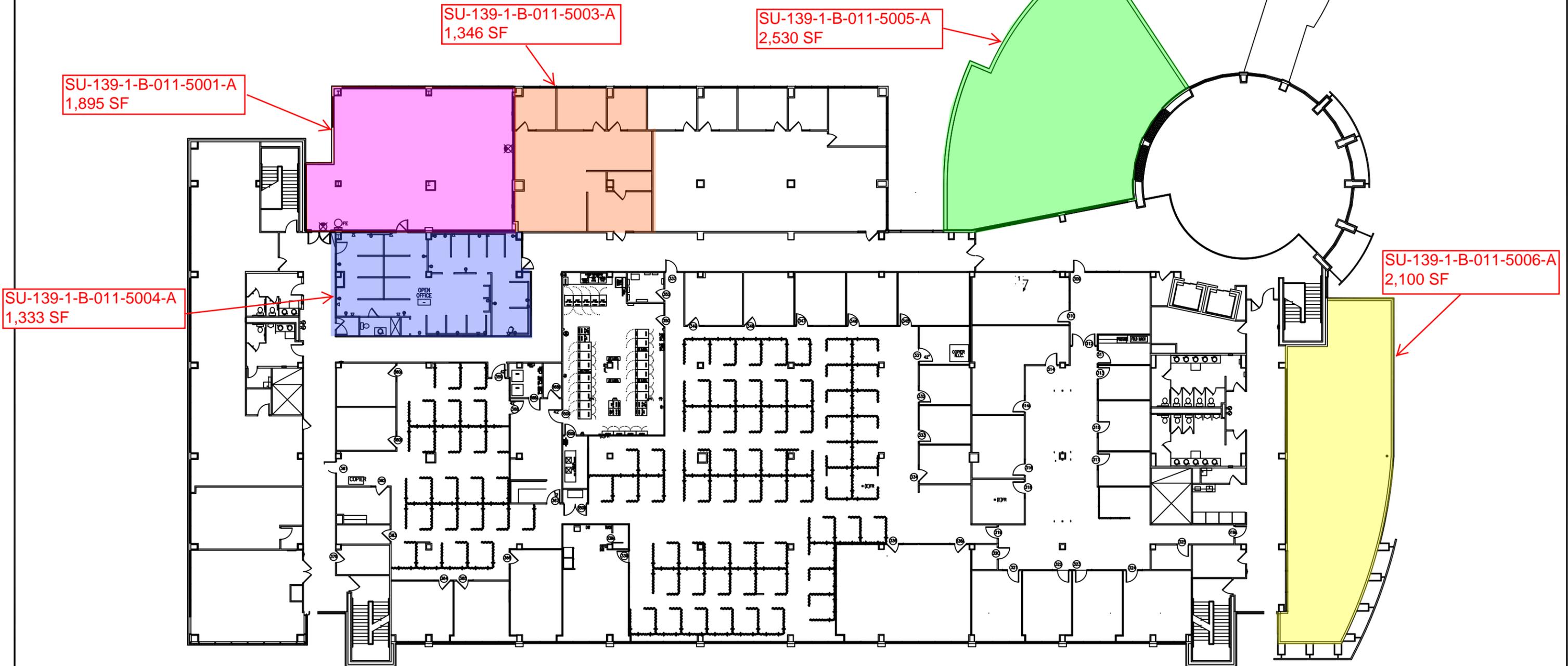
REV.	DATE	DESCRIPTION	CI
1	2/26/2014	ISSUE FOR START-UP NY	CI



SUNY COLLEGE of NANOSCALE  
SCIENCE AND ENGINEERING

SHEET TITLE			
COLLEGE of NANOSCALE SCIENCE AND ENGINEERING -CESTM			
DRAWN	DATE	NAME	SCALE
CHECKED			NTS
ISSUED/APPROVE			REV. 1
BUILDING			SHEET NO. A-003

**FIGURE 6**



**1 NFS THIRD FLOOR**  
A-003

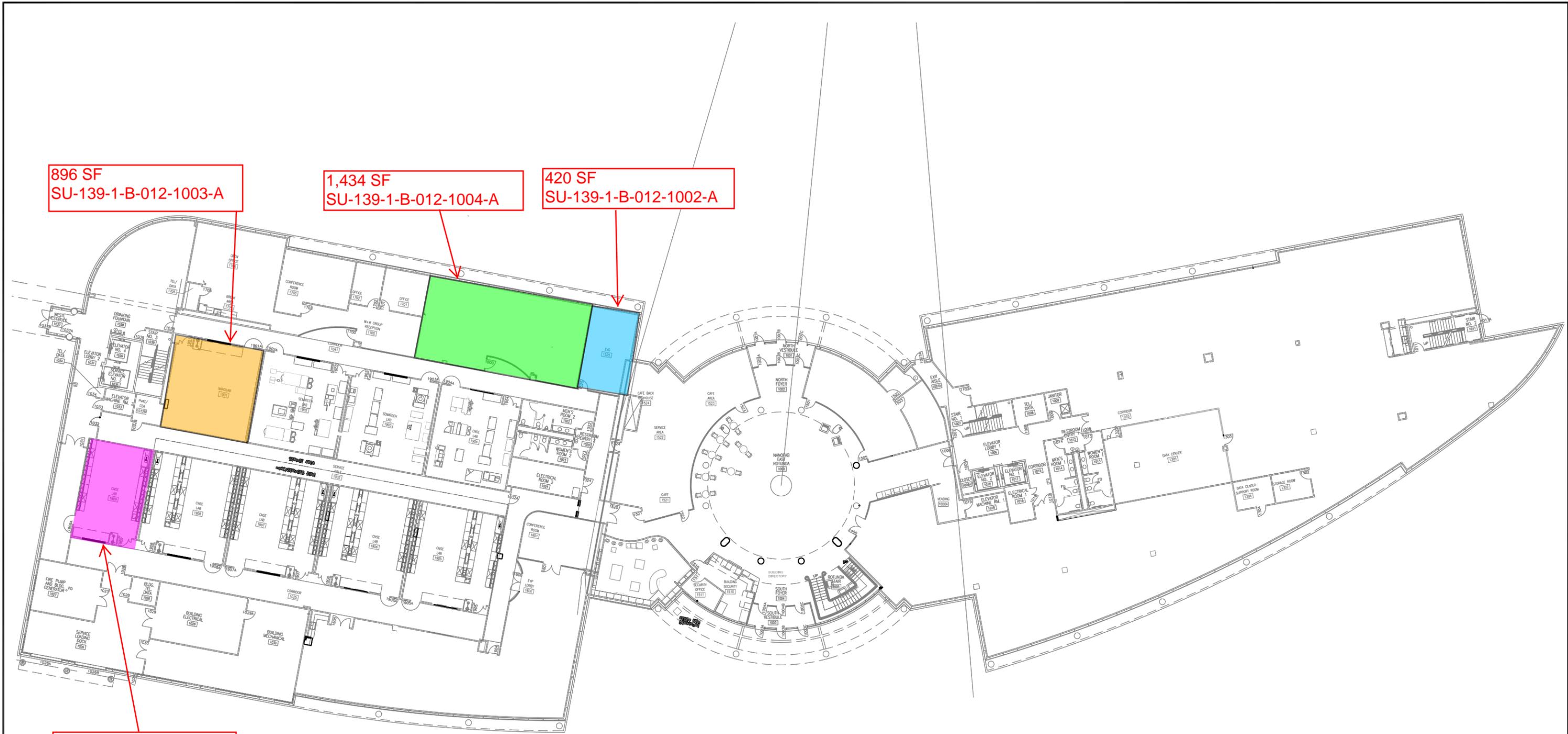


REV.	DATE	DESCRIPTION	CI
1	2/26/2014	ISSUE FOR START-UP NY	CI



**SUNY COLLEGE OF NANOSCALE  
SCIENCE AND ENGINEERING**

SHEET TITLE			
<b>COLLEGE of NANOSCALE SCIENCE AND ENGINEERING - NFS</b>			
DRAWN	DATE	NAME	SCALE
CHECKED			NTS
ISSUED/APPROVE			REV. 1
BUILDING			SHEET NO. A-003



896 SF  
SU-139-1-B-012-1003-A

1,434 SF  
SU-139-1-B-012-1004-A

420 SF  
SU-139-1-B-012-1002-A

600 SF  
SU-139-1-B-012-1005-A

1 NFE FIRST FLOOR  
A-001

Figure 7



REV.	DATE	DESCRIPTION	CI
1	2/26/2014	ISSUE FOR START-UP NY	CI



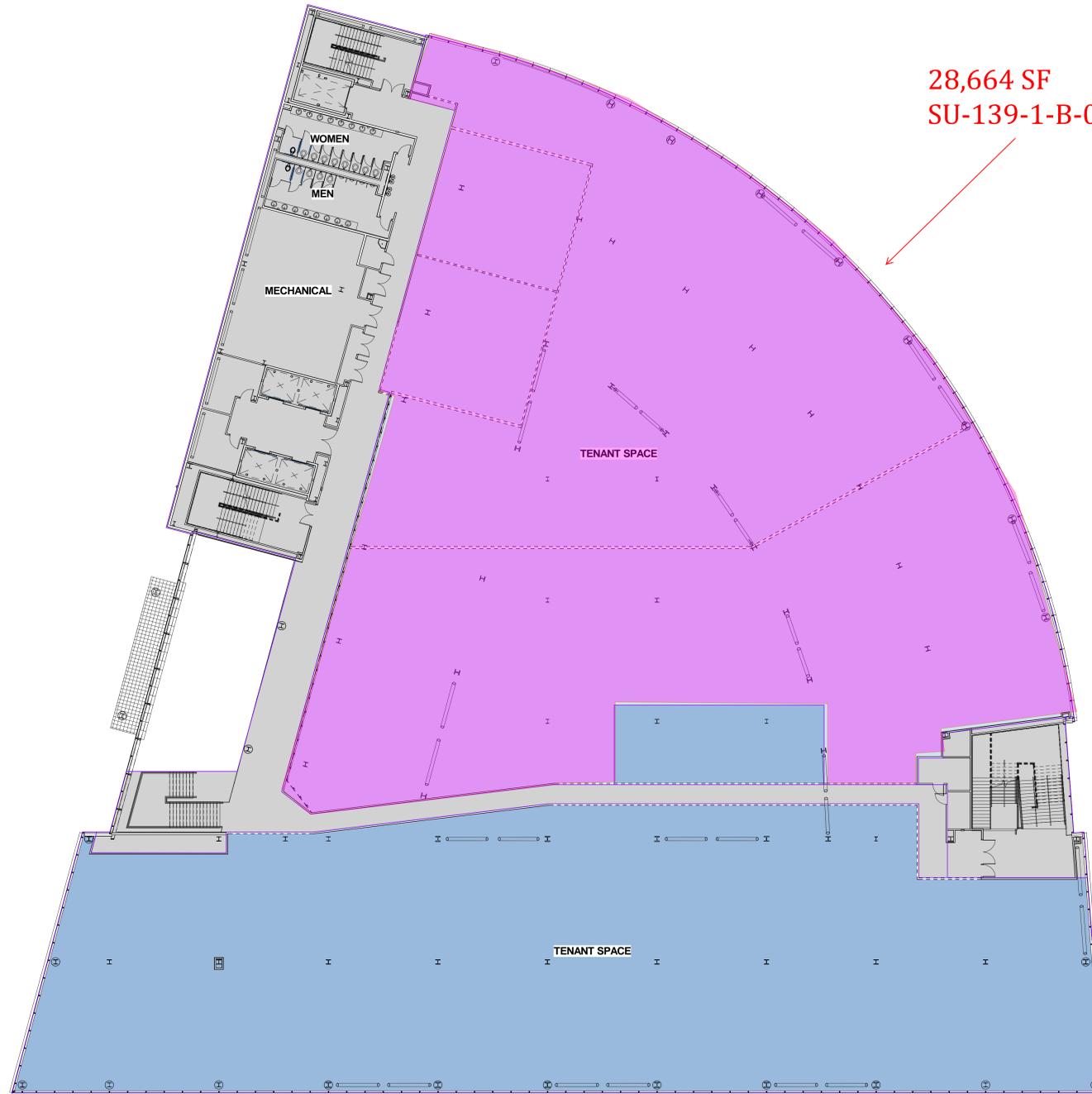
**SUNY COLLEGE OF NANOSCALE  
SCIENCE AND ENGINEERING**

SHEET TITLE			
<b>COLLEGE of NANOSCALE SCIENCE AND ENGINEERING - NFE</b>			
DRAWN	DATE	NAME	SCALE
CHECKED			1/32" - 1'-0"
ISSUED/APPROVE			REV. 1
BUILDING			SHEET NO. A-001

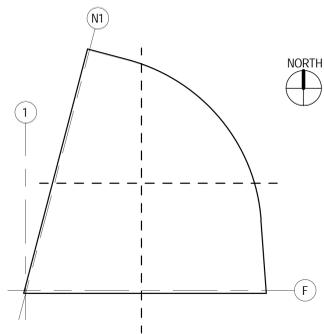
CONSULTANTS:



III Winners Circle  
 P.O. Box 5269  
 Albany, NY 12205-0269  
 Phone: (518) 453-4500  
 Fax: (518) 458-1735



28,664 SF  
 SU-139-1-B-013-0001-A



KEY PLAN:

--	--	--

REV	DESCRIPTION	DATE

**ZEN BUILDING**  
**FRMC**  
**257 Fuller Road**  
**Albany NY, 12203**



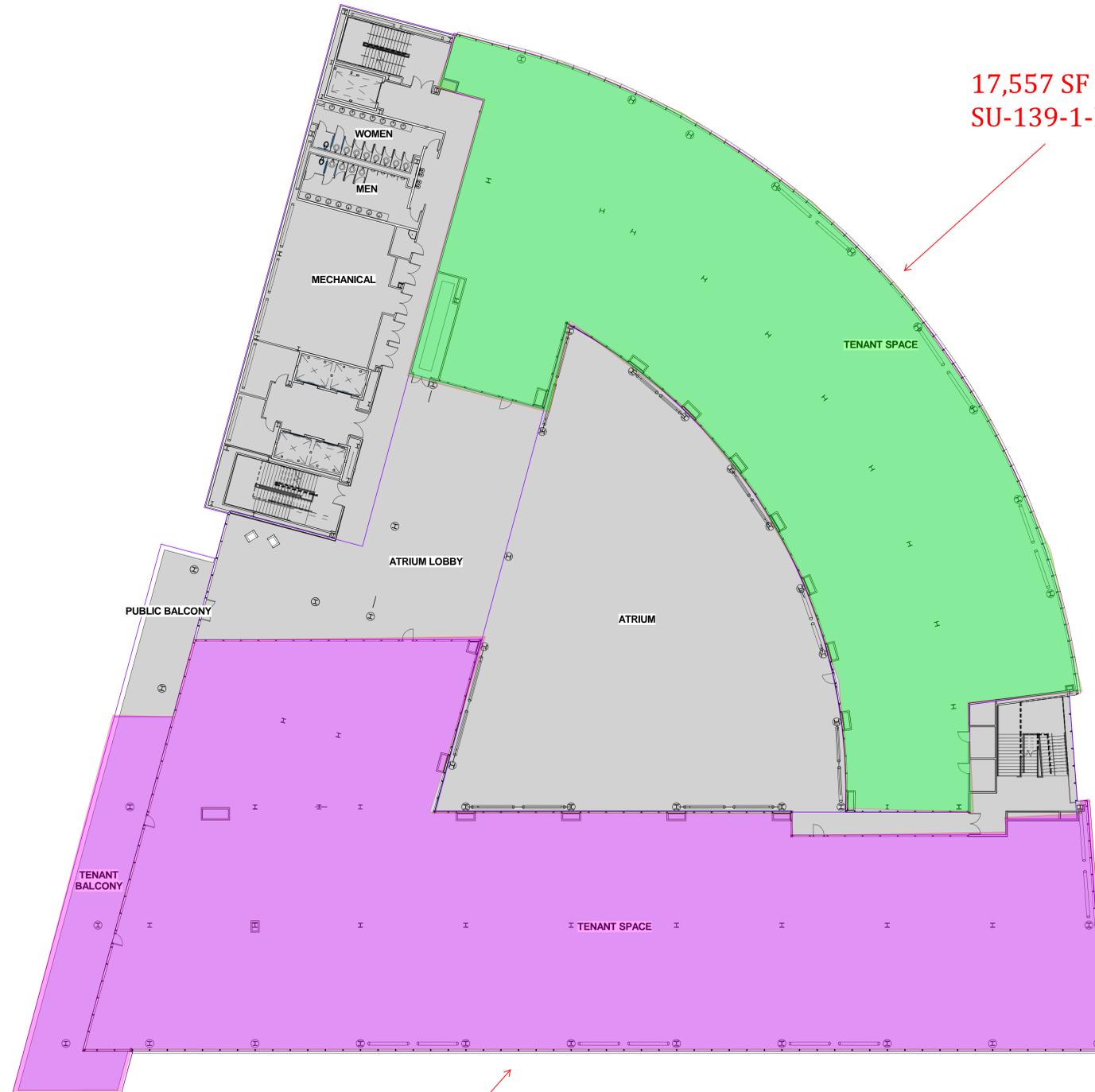
DATE:	12/11/13
SCALE:	1/16" = 1'-0"
EYP PROJECT NO.:	1012042.33
DESIGNED BY:	Designer
DRAWN BY:	Author
CHECKED BY:	Approver

**FIGURE 8**

CONSULTANTS:

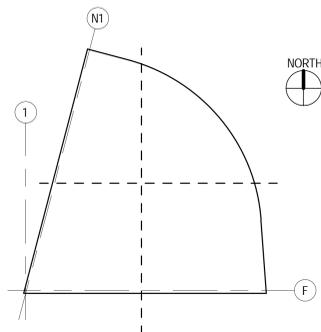


III Winners Circle  
 P.O. Box 5269  
 Albany, NY 12205-0269  
 Phone: (518) 453-4500  
 Fax: (518) 458-1735



17,557 SF  
 SU-139-1-B-013-0002-A

24,885 SF  
 SU-139-1-B-013-0003-A



KEY PLAN:

--	--	--

REV	DESCRIPTION	DATE

**ZEN BUILDING**  
 FRMC  
 257 Fuller Road  
 Albany NY, 12203

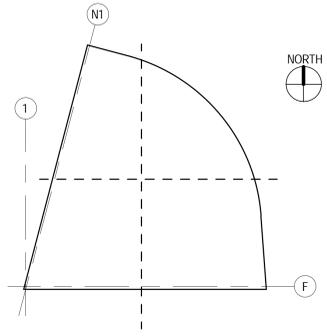
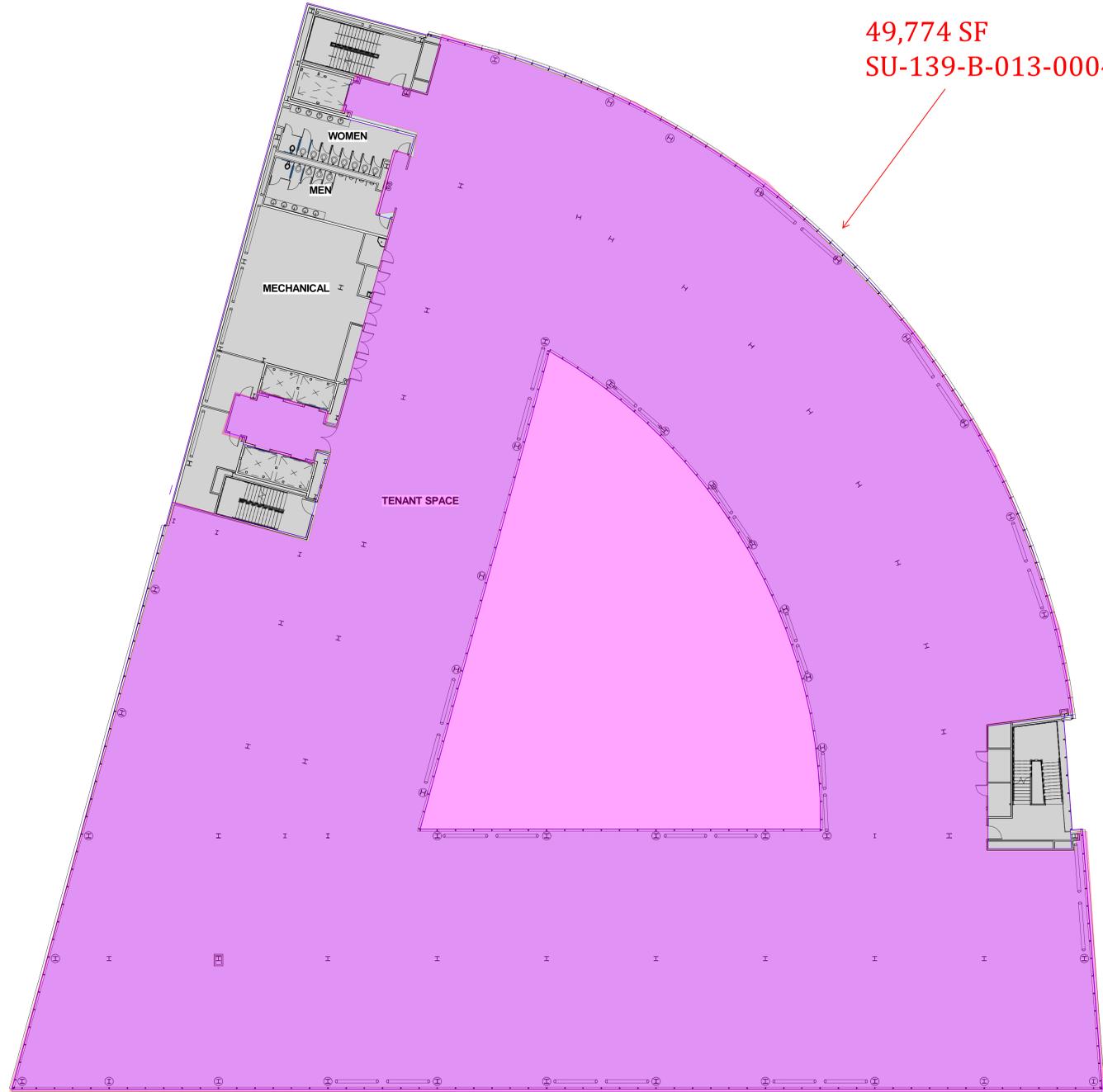
DATE:	12/11/13
SCALE:	1/16" = 1'-0"
EYP PROJECT NO.:	1012042.33
DESIGNED BY:	Designer
DRAWN BY:	Author
CHECKED BY:	Approver

FIGURE 8a

CONSULTANTS:



III Winners Circle  
 P.O. Box 5269  
 Albany, NY 12205-0269  
 Phone: (518) 453-4500  
 Fax: (518) 458-1735



KEY PLAN:

REV	DESCRIPTION	DATE

**ZEN BUILDING**  
**FRMC**  
 257 Fuller Road  
 Albany NY, 12203



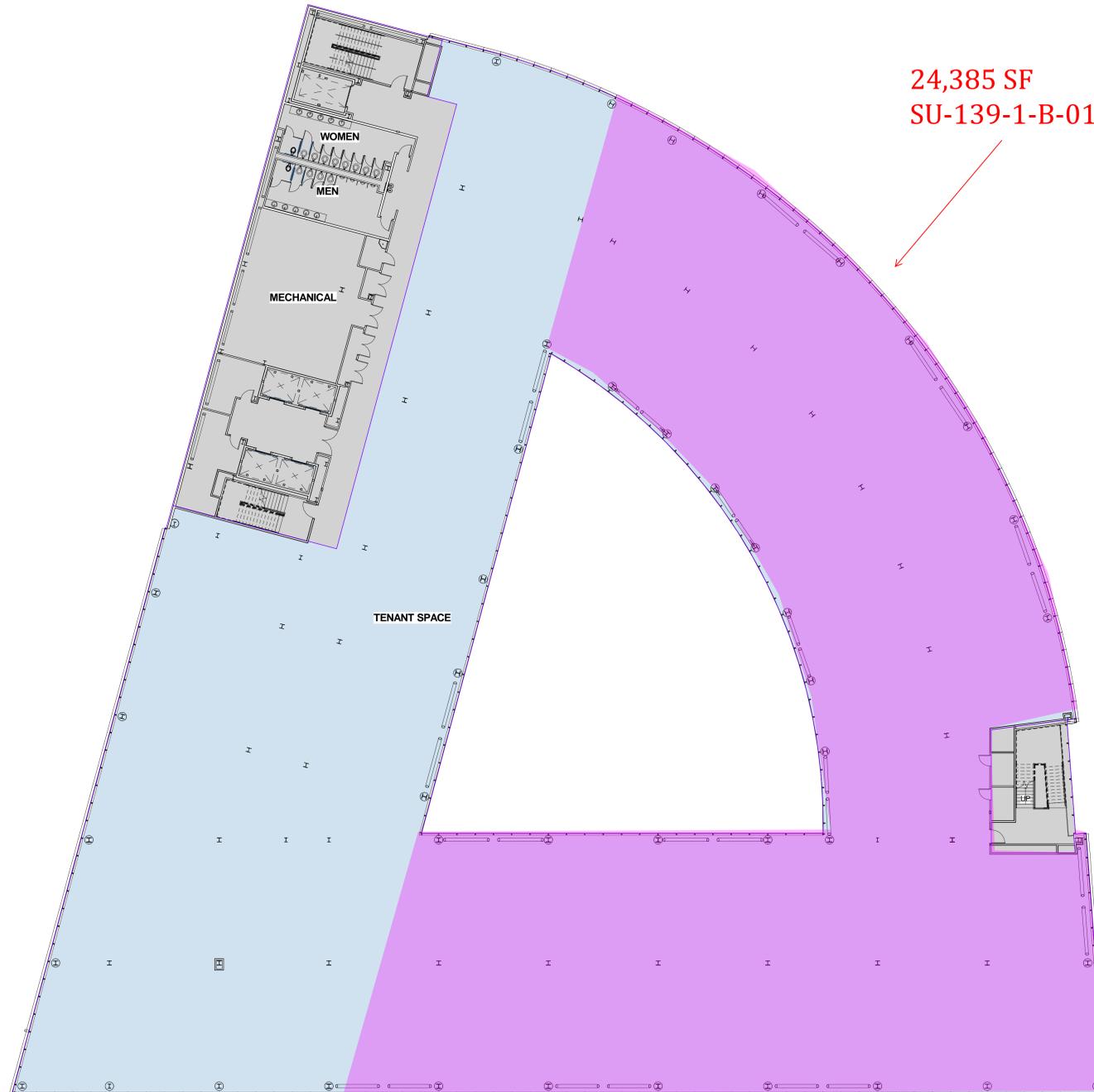
DATE:	12/11/13
SCALE:	1/16" = 1'-0"
EYP PROJECT NO.:	1012042.33
DESIGNED BY:	Designer
DRAWN BY:	Author
CHECKED BY:	Approver

**FIGURE 8b**

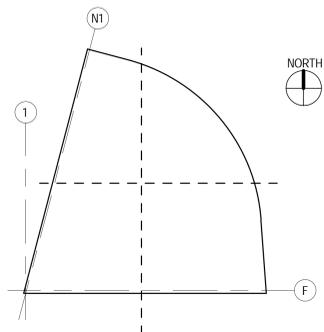
CONSULTANTS:



III Winners Circle  
 P.O. Box 5269  
 Albany, NY 12205-0269  
 Phone: (518) 453-4500  
 Fax: (518) 458-1735



24,385 SF  
 SU-139-1-B-013-0005-A



KEY PLAN:

--	--	--

REV	DESCRIPTION	DATE

**ZEN BUILDING**  
 FRMC  
 257 Fuller Road  
 Albany NY, 12203



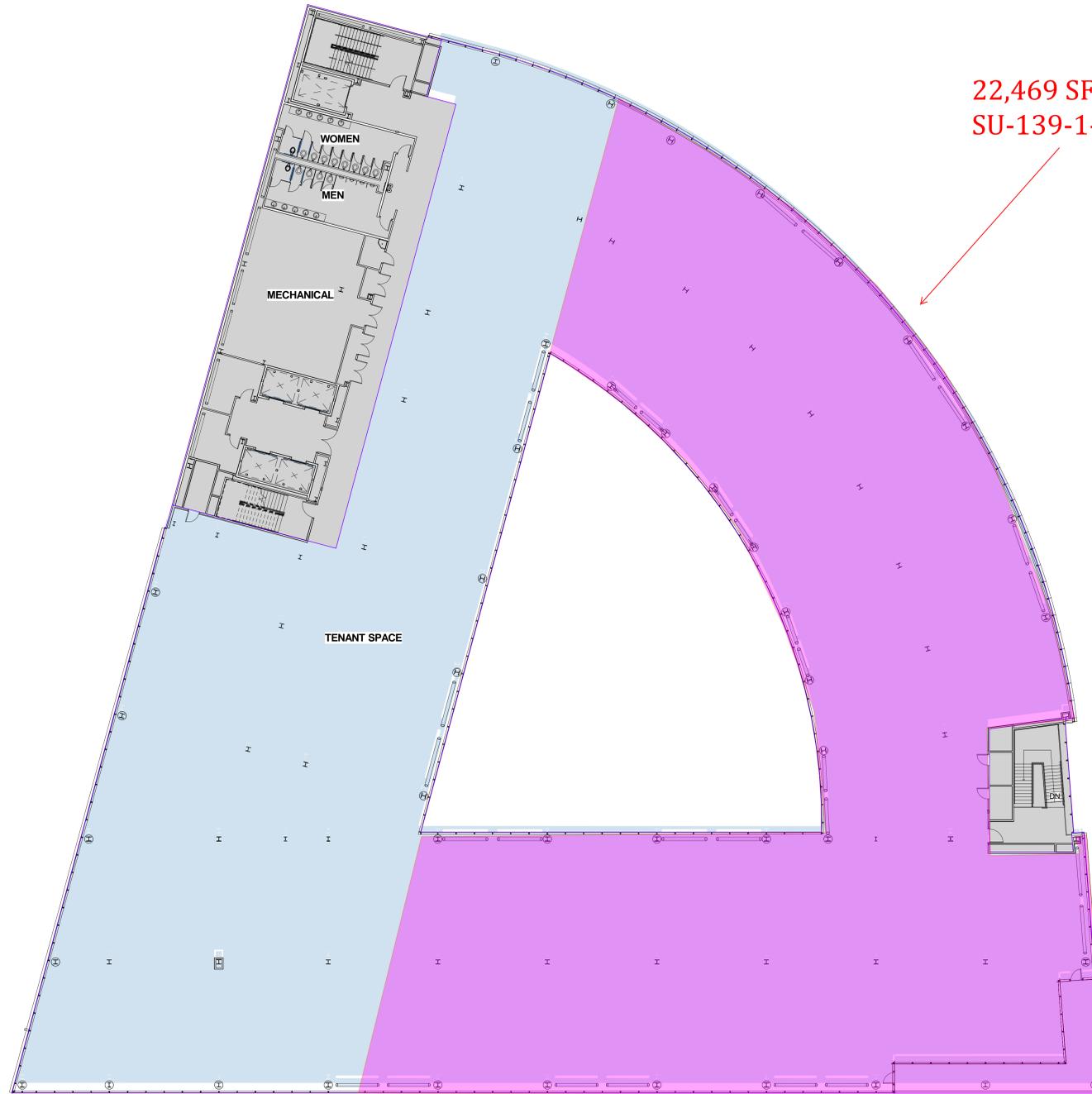
DATE:	12/11/13
SCALE:	1/16" = 1'-0"
EYP PROJECT NO.:	1012042.33
DESIGNED BY:	Designer
DRAWN BY:	Author
CHECKED BY:	Approver

FIGURE 8c

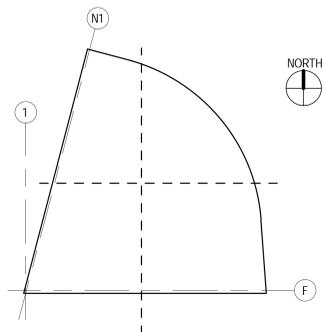
CONSULTANTS:



III Winners Circle  
 P.O. Box 5269  
 Albany, NY 12205-0269  
 Phone: (518) 453-4500  
 Fax: (518) 458-1735



22,469 SF  
 SU-139-1-B-013-0006-A



KEY PLAN:



REV	DESCRIPTION	DATE
-----	-------------	------

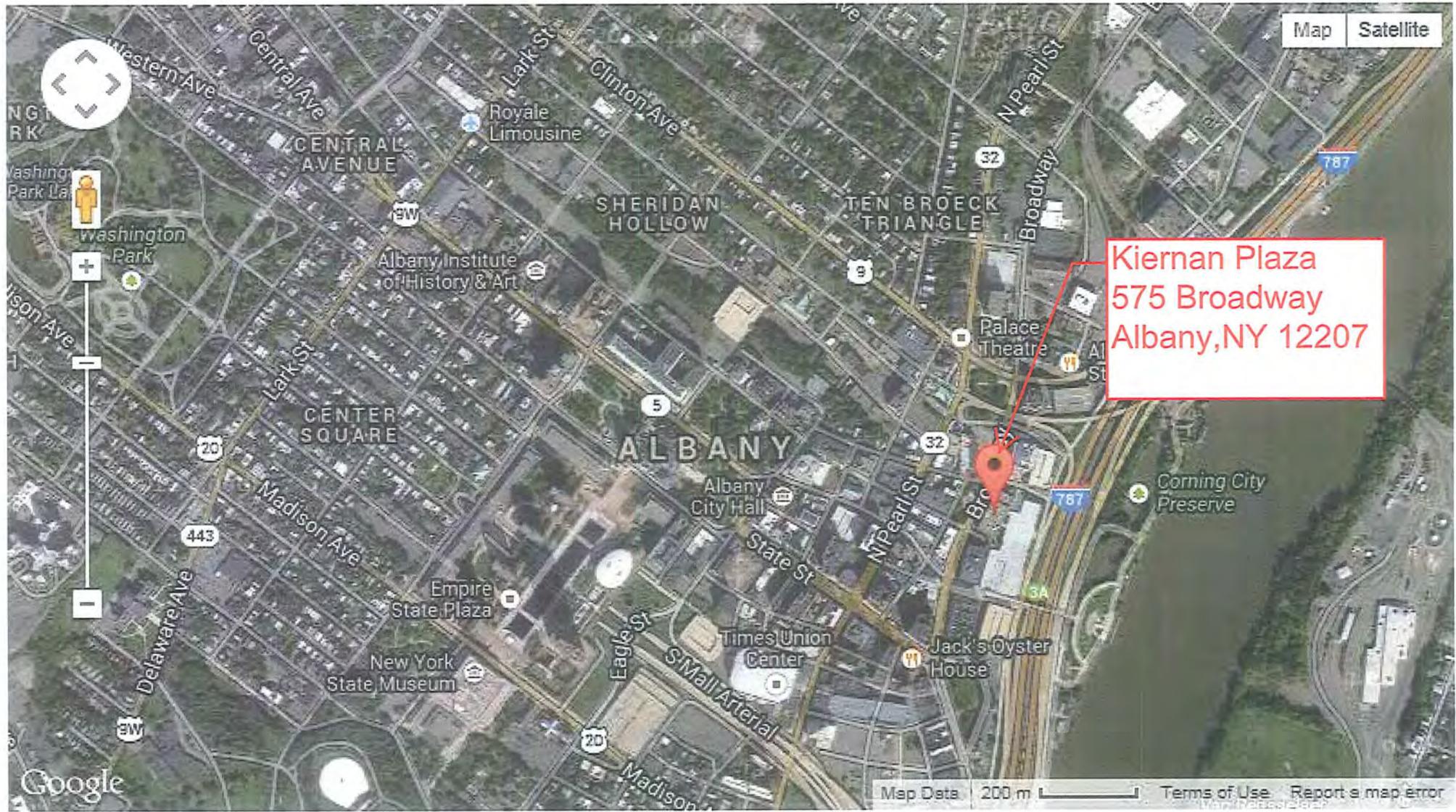
**ZEN BUILDING**  
**FRMC**  
 257 Fuller Road  
 Albany NY, 12203

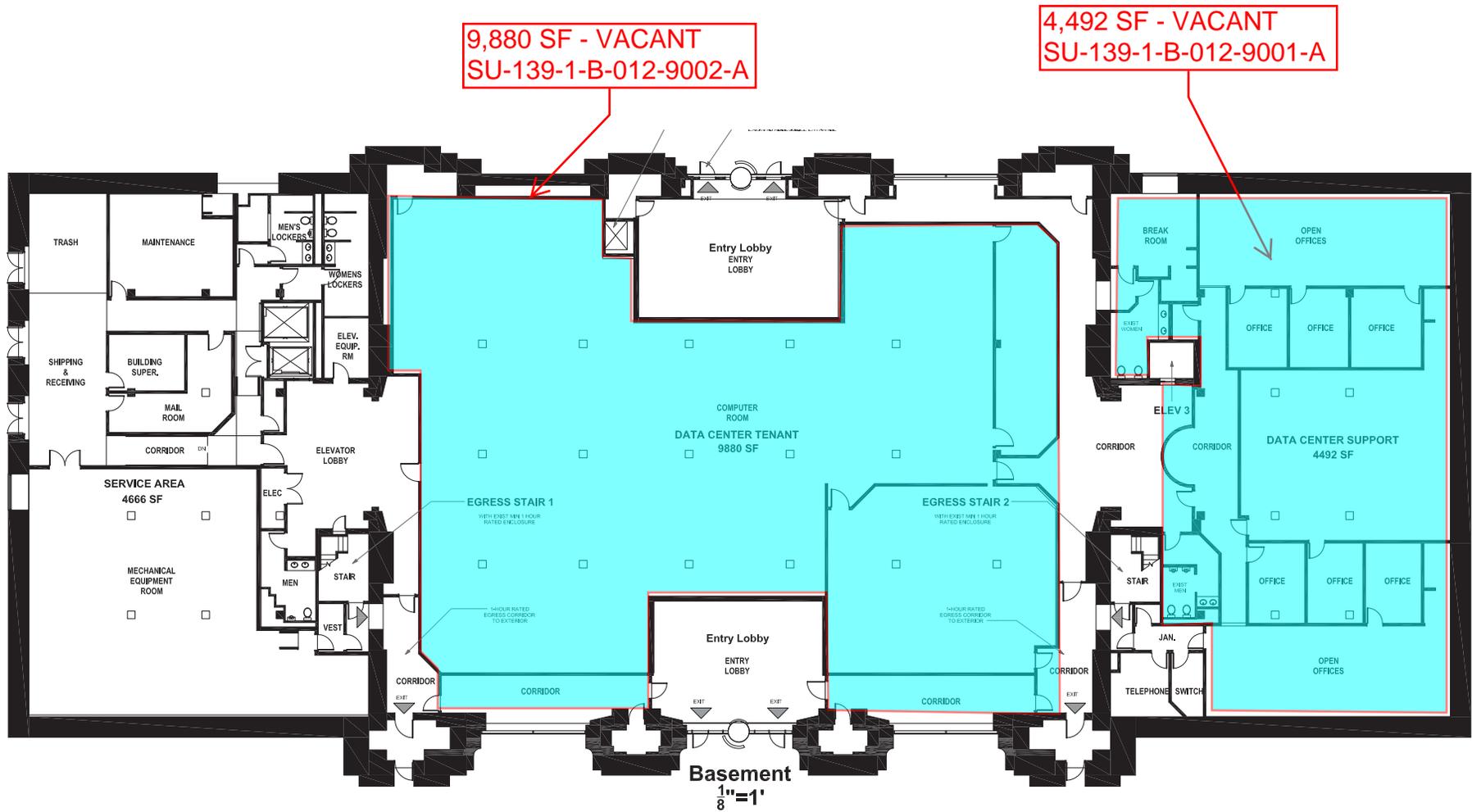


DATE:	12/11/13
SCALE:	1/16" = 1'-0"
EYP PROJECT NO.:	1012042.33
DESIGNED BY:	Designer
DRAWN BY:	Author
CHECKED BY:	Approver

FIGURE 8d

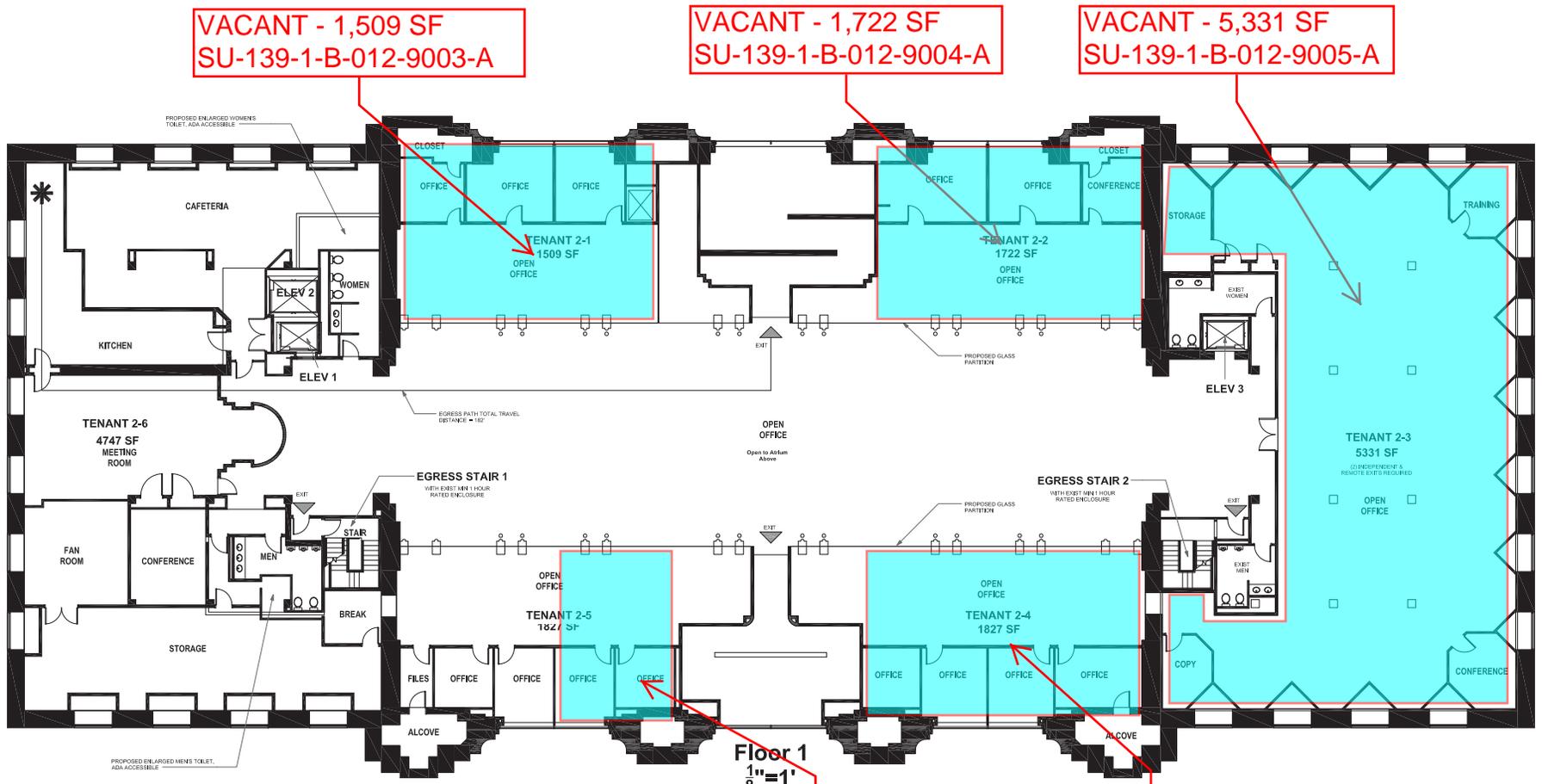
FIGURE 9





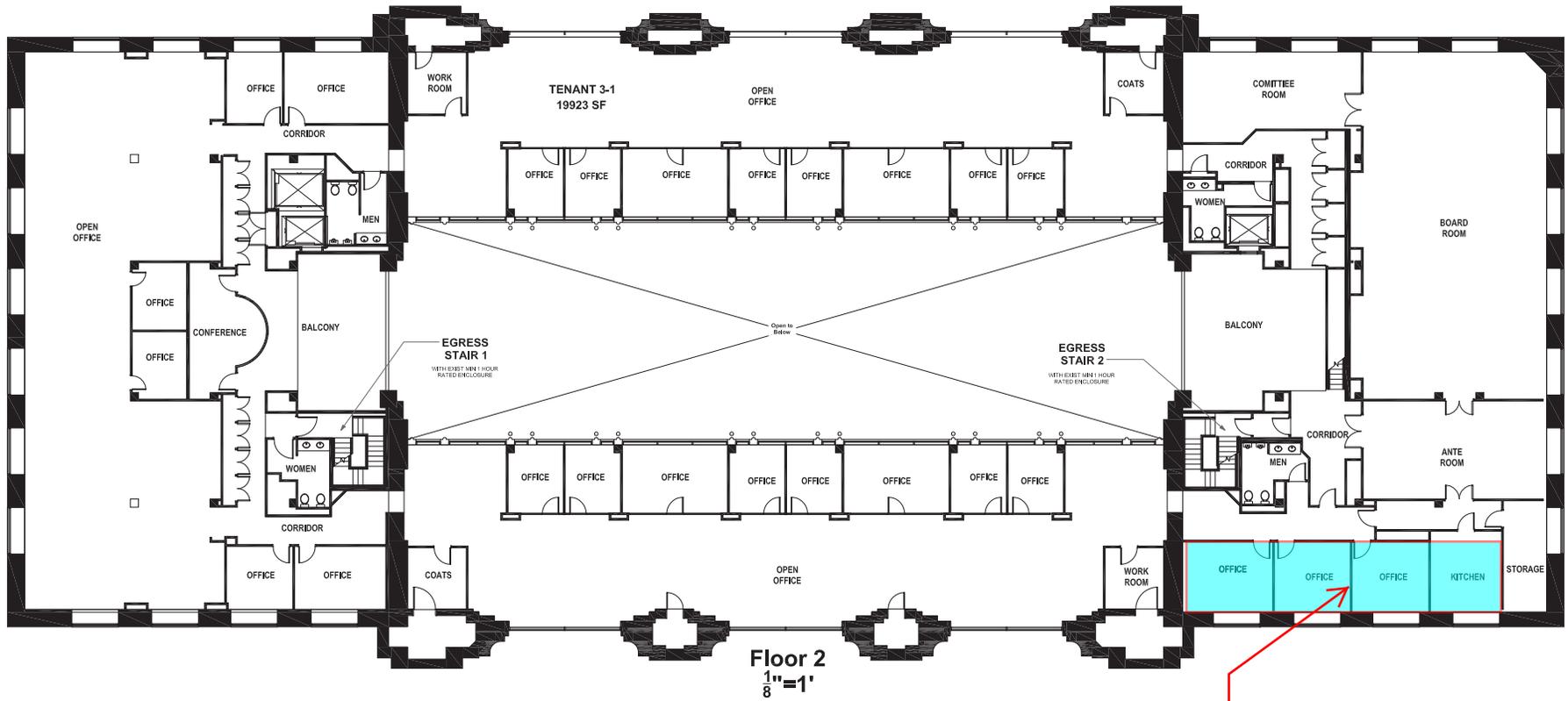
SCiTI CENTER  
KIERNAN PLAZA  
GROUND LEVEL

FIGURE 9a



**SCITI CENTER**  
**KIERNAN PLAZA**  
**LOBBY LEVEL**

FIGURE 10



VACANT - 770 SF  
 SU-139-1-B-012-9008-A

SCIT CENTER  
 KIERNAN PLAZA  
 SECOND LEVEL

FIGURE 11



**LEGEND**

- WETLAND LIMITS
- WETLAND BUFFER

PARCEL SIZE = 57 ACRES +/-

**EXISTING STC FACILITY - 140,000 SF TOTAL**

**SU-139-1-B-012-6001-A 1,145 SF**

**SU-139-1-B-012-6002-A 360 SF**

**SMART SYSTEM TECHNOLOGY & COMMERCIALIZATION CENTER (STC) CANANDAIGUA, NY**

**FUTURE DEVELOPMENT BUILDING OPTIONS**

BUILDING SIZE	REQUIRED PARKING 1/1,000SF
STC EXPANSION - 51,000 SF	51
BUILDING 1 - 40,000 SF - 2 STORY	40
BUILDING 2 - 57,600 SF - 2 STORY	58
BUILDING 3 - 72,000 SF - 3 STORY	72
BUILDING 4 - 157,200 SF - 2 & 3 STORY	158
BUILDING 5 - 79,200 SF - 3 STORY	80
BUILDING 6 - 123,200 SF - 4 STORY	124
BUILDING 7 - 212,800 SF - 2 STORY	213

**REQUIRED PARKING 1/1,000SF**

STC EXPANSION - 51,000 SF	51
BUILDING 1 - 40,000 SF - 2 STORY	40
BUILDING 2 - 57,600 SF - 2 STORY	58
BUILDING 3 - 72,000 SF - 3 STORY	72
BUILDING 4 - 157,200 SF - 2 & 3 STORY	158
BUILDING 5 - 79,200 SF - 3 STORY	80
BUILDING 6 - 123,200 SF - 4 STORY	124
BUILDING 7 - 212,800 SF - 2 STORY	213



FIGURE 12

# STC/Tenant Space Allocations

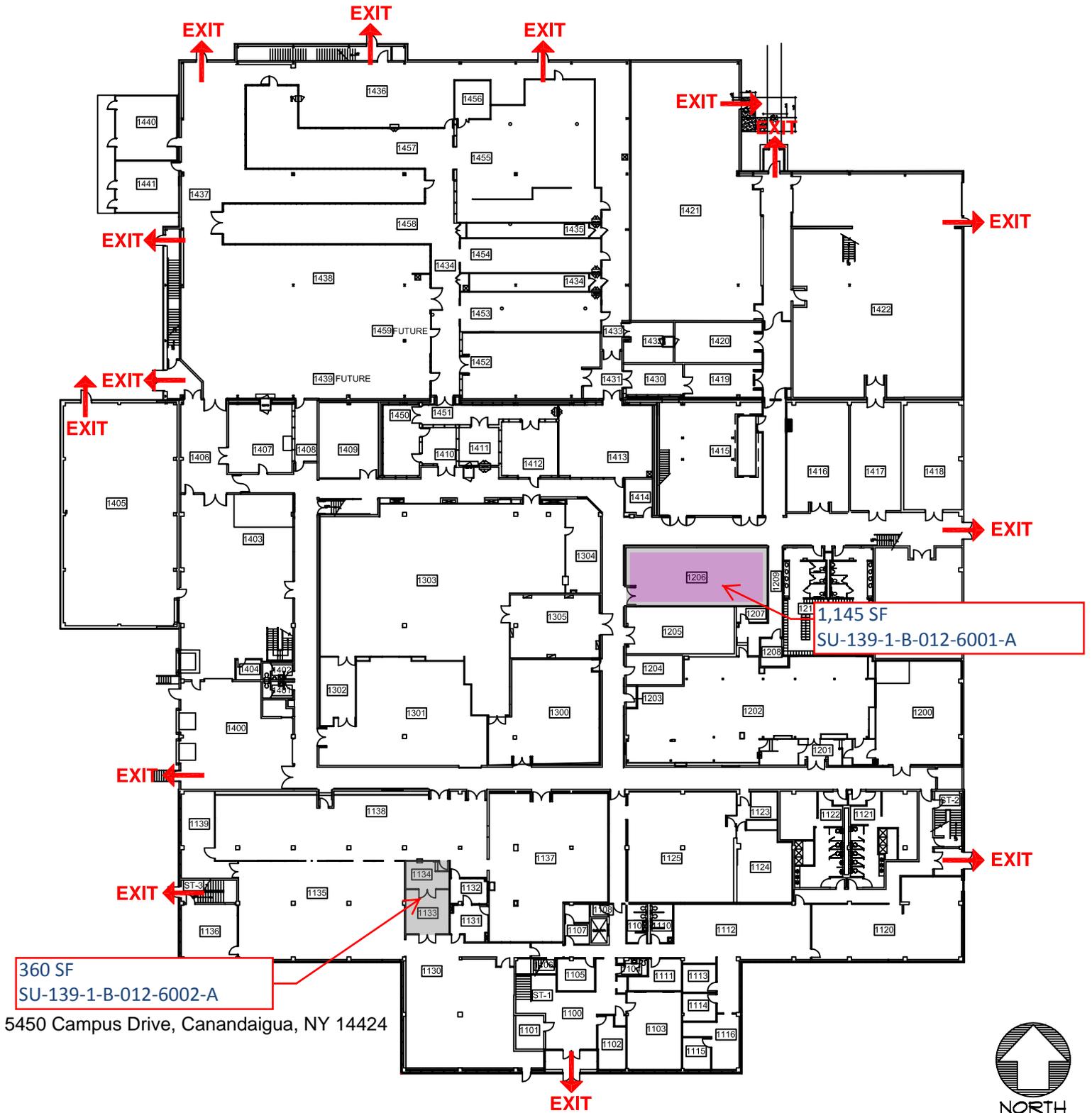
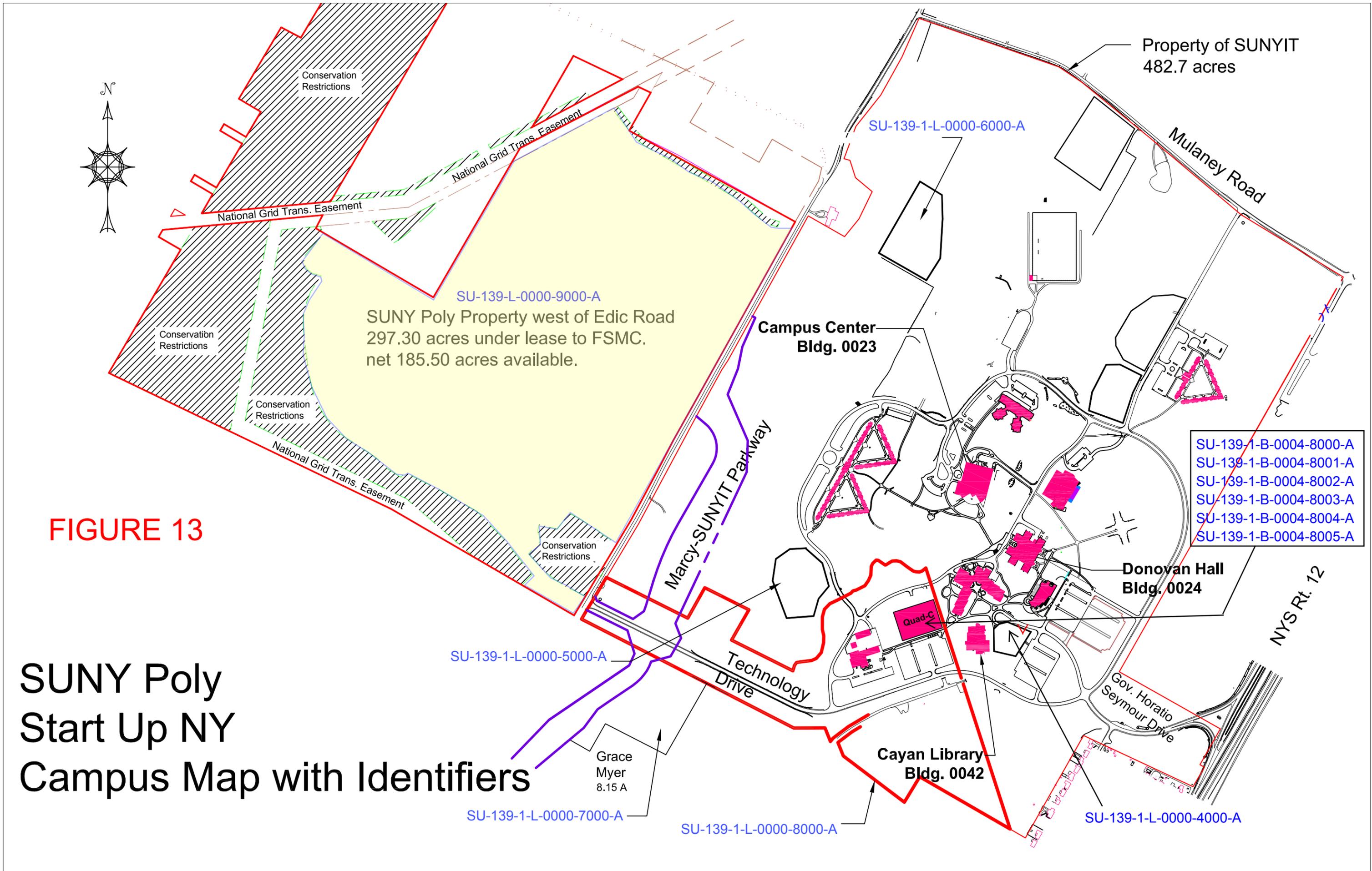


FIGURE 12A

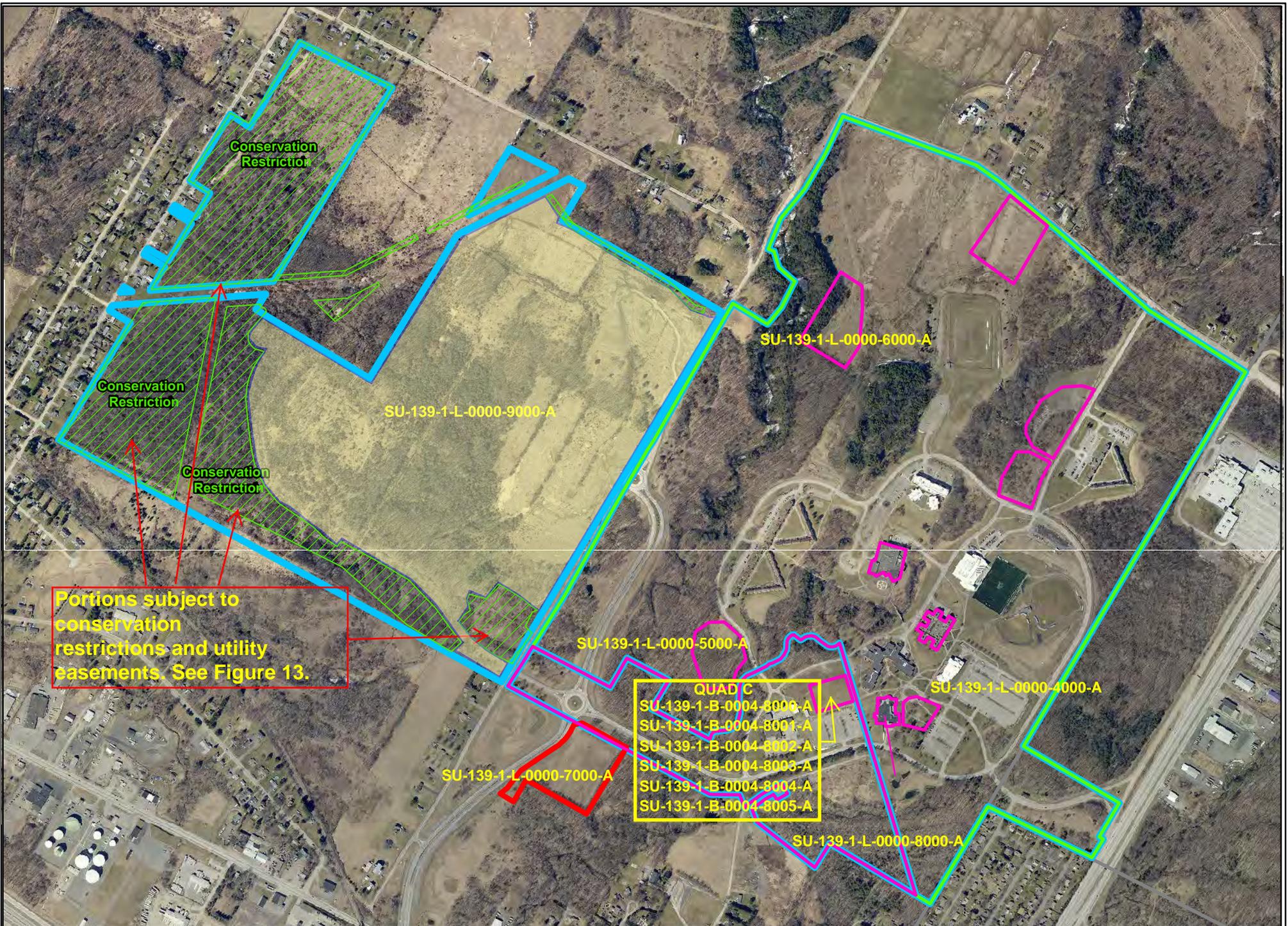
CONFIDENTIAL



**FIGURE 13**

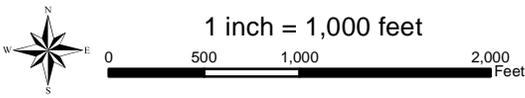
**SUNY Poly  
Start Up NY  
Campus Map with Identifiers**

- SU-139-1-B-0004-8000-A
- SU-139-1-B-0004-8001-A
- SU-139-1-B-0004-8002-A
- SU-139-1-B-0004-8003-A
- SU-139-1-B-0004-8004-A
- SU-139-1-B-0004-8005-A



Portions subject to conservation restrictions and utility easements. See Figure 13.

QUAD C  
 SU-139-1-B-0004-8000-A  
 SU-139-1-B-0004-8001-A  
 SU-139-1-B-0004-8002-A  
 SU-139-1-B-0004-8003-A  
 SU-139-1-B-0004-8004-A  
 SU-139-1-B-0004-8005-A



**FIGURE 14**

This information was compiled for planning purposes and may not be reproduced or transmitted for commercial purposes or for any other purpose without the prior authorization of Herkimer Oneida Counties Comprehensive Planning Program (HOCCPP). HOCCPP shall not be liable for misuse or misrepresentation of this information. HOCCPP make no claim as to the accuracy or completeness of the data contained herein.

Date: October 8, 2014  
 Date of Photography: April 2013

**Figure 17**

**Site #4**

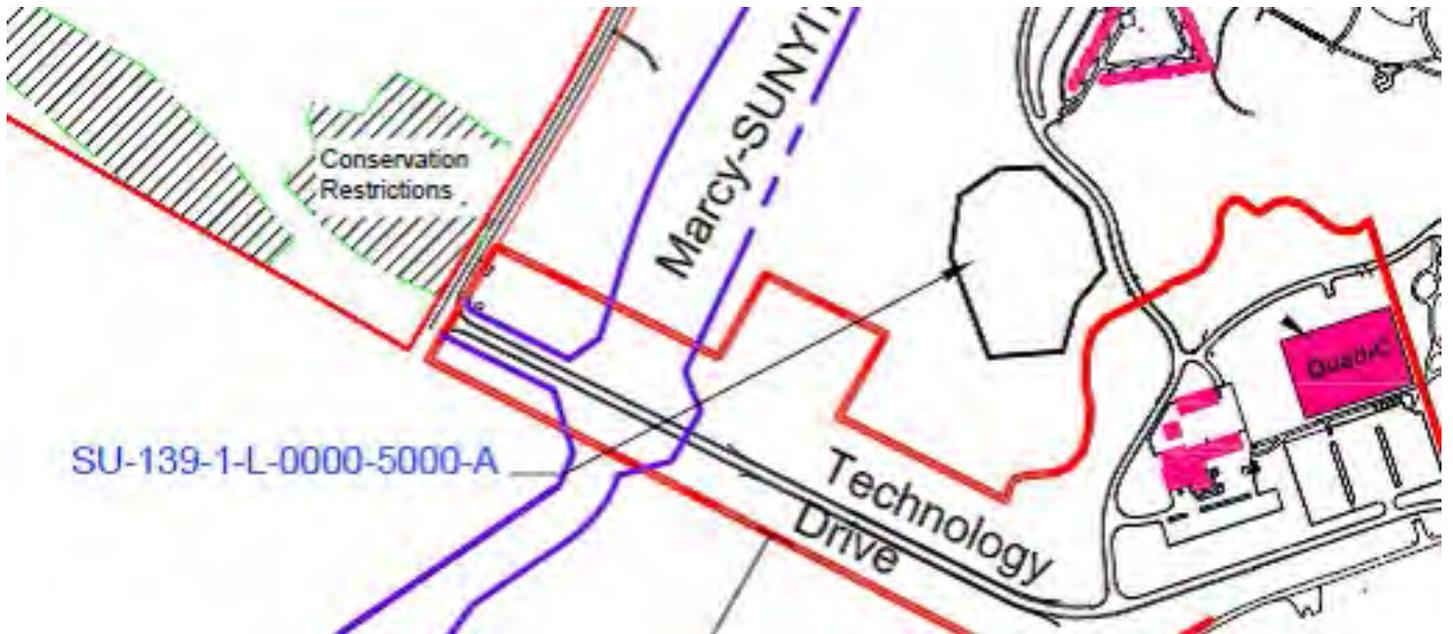
**Adjacent to Cayan Library - 1.3 acres**



**Figure 18**

**Site #5**

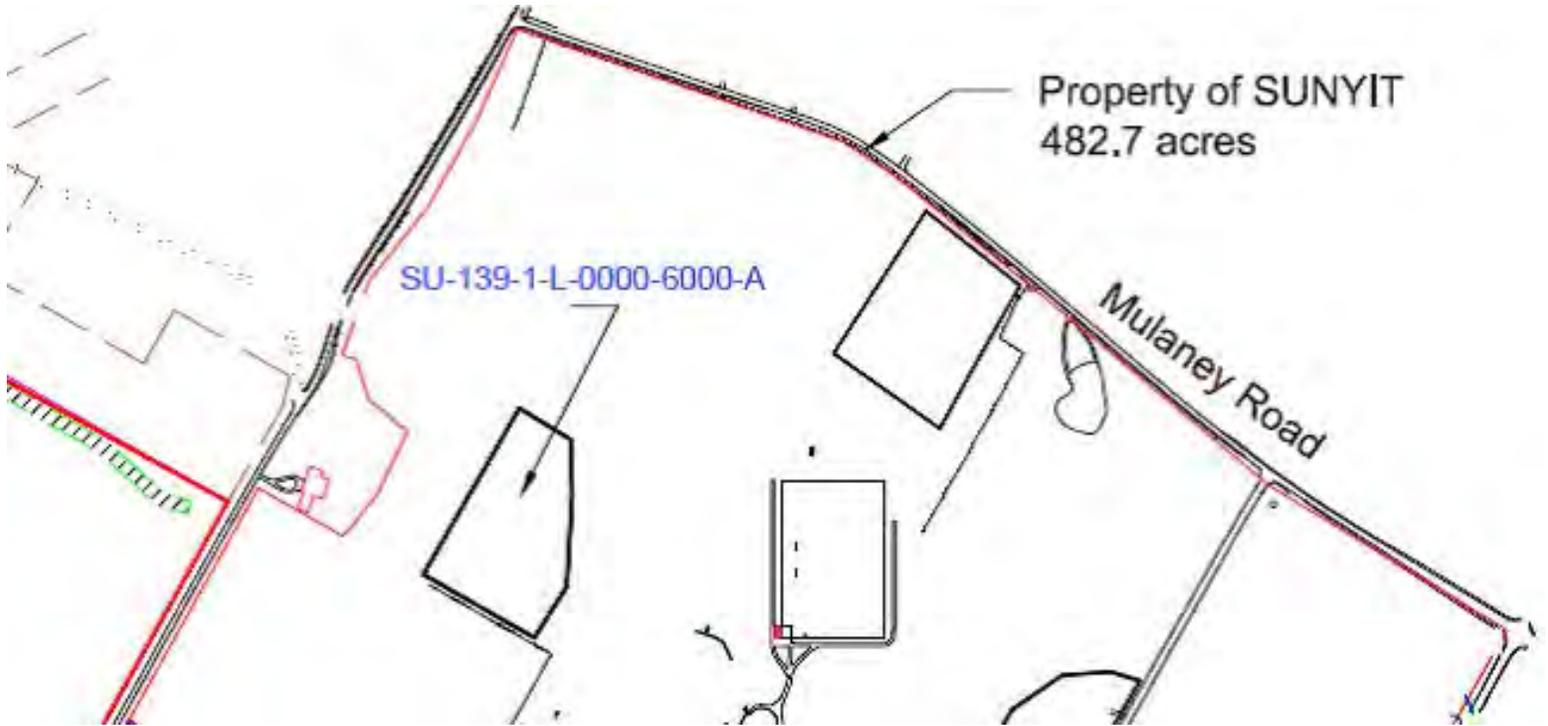
**Adjacent to Adirondack Dorm - 4.2 acres**



**Figure 19**

**Site #6**

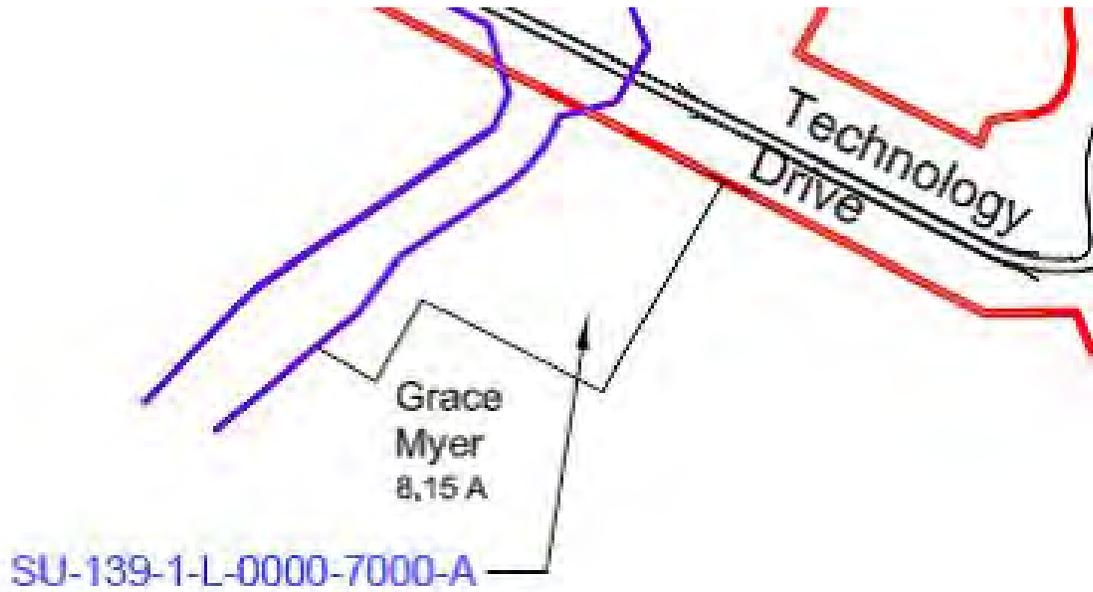
**Adjacent to Soccer Field - 5.5 acres**



**Figure 20**

**Site #7**

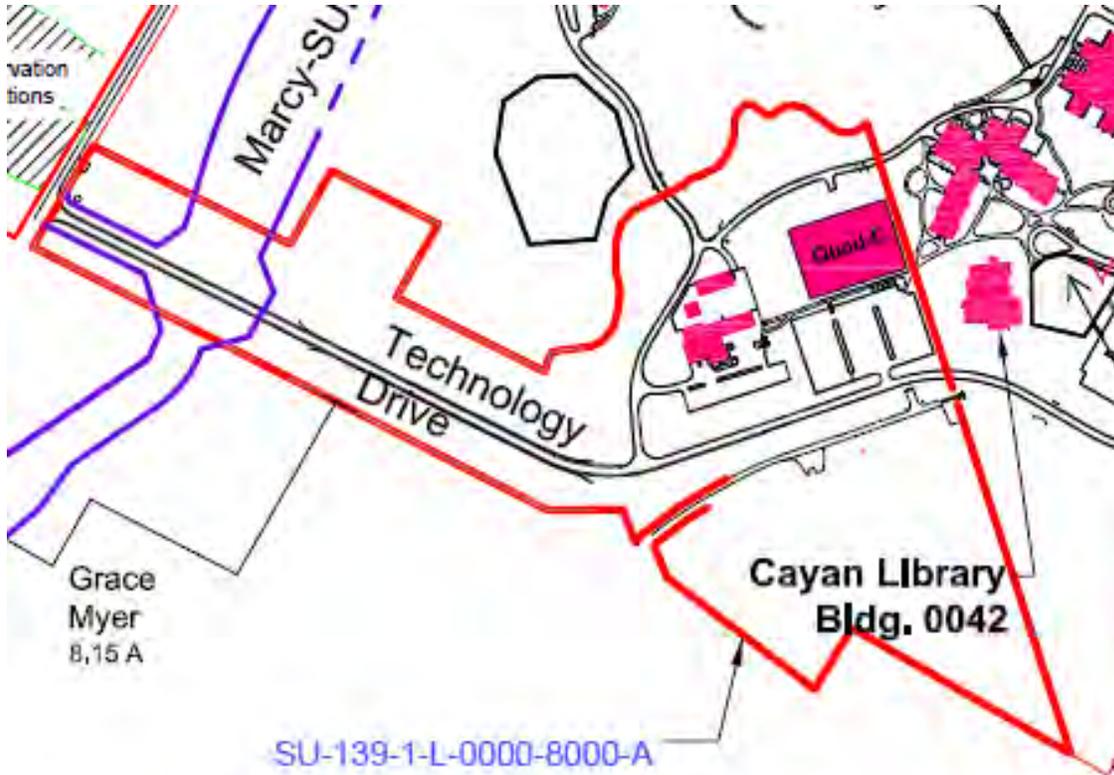
**Campus Entrance/Edic Road - 8.15 acres**



**Figure 21**

**Site #8**

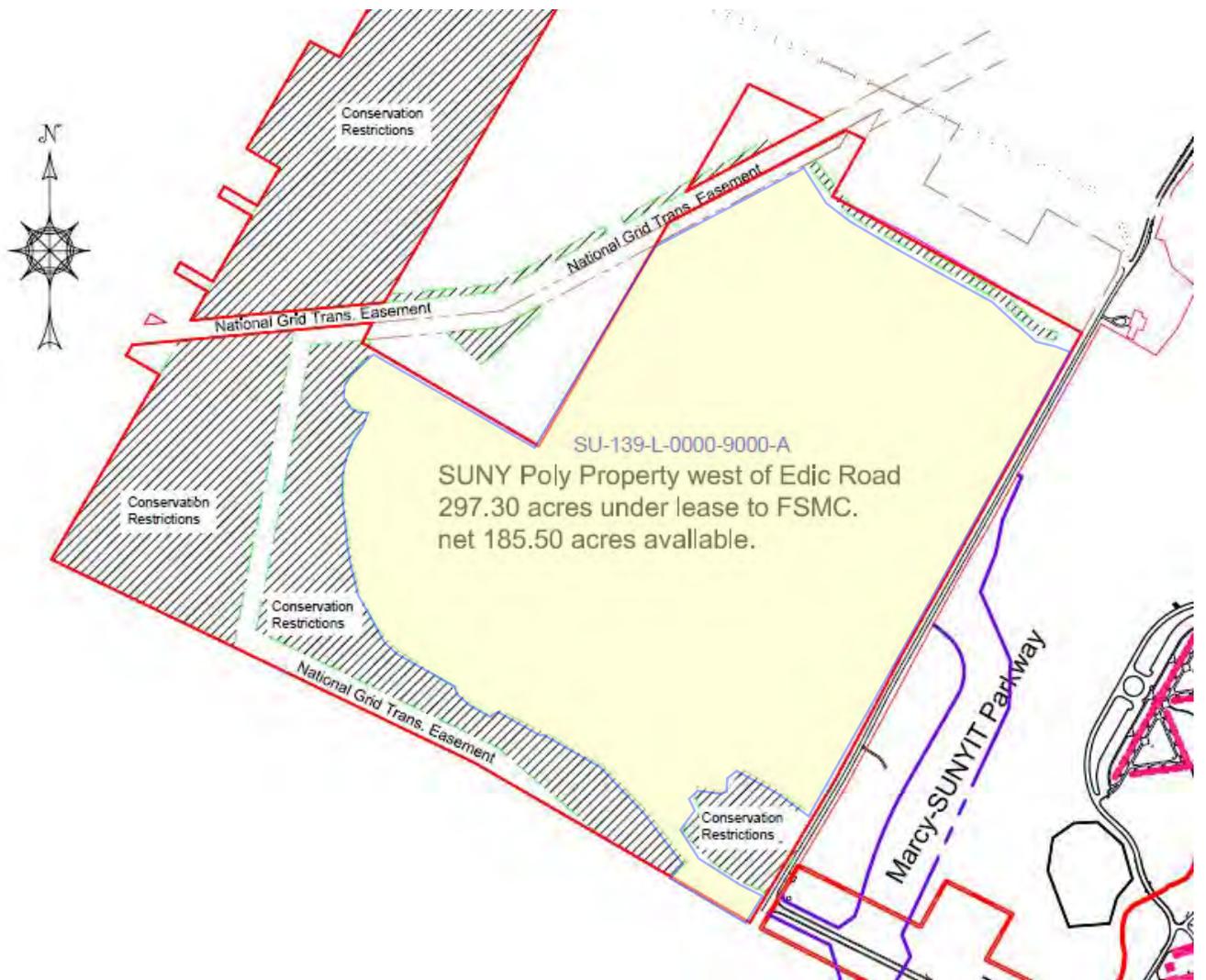
**Parcel F – 48.5 acres**



# Figure 22

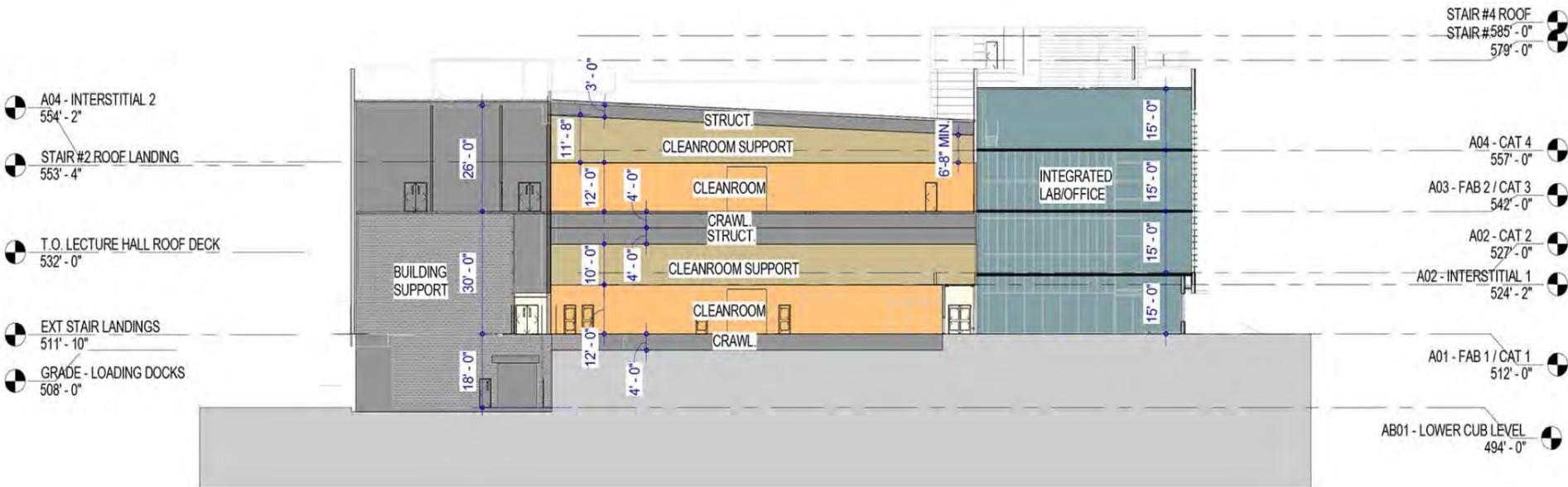
## Site #9

### Marcy-Nano Site – 185.5 buildable acres



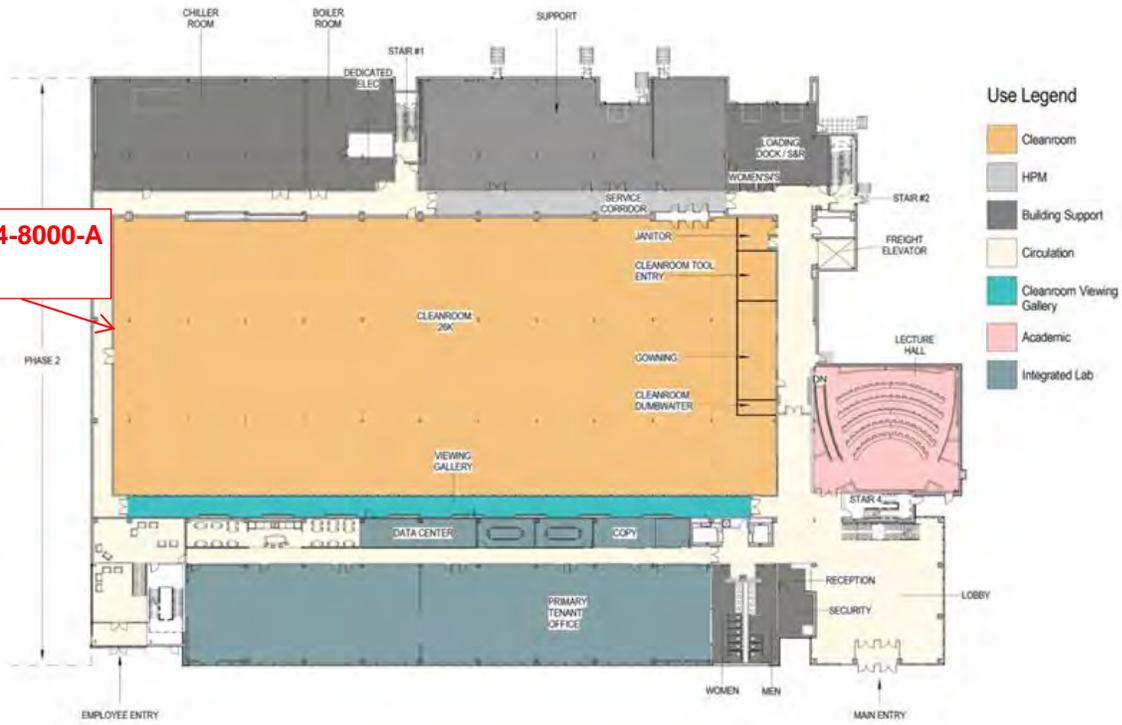
# Figure 27

## QUAD C Building Section



# Figure 28

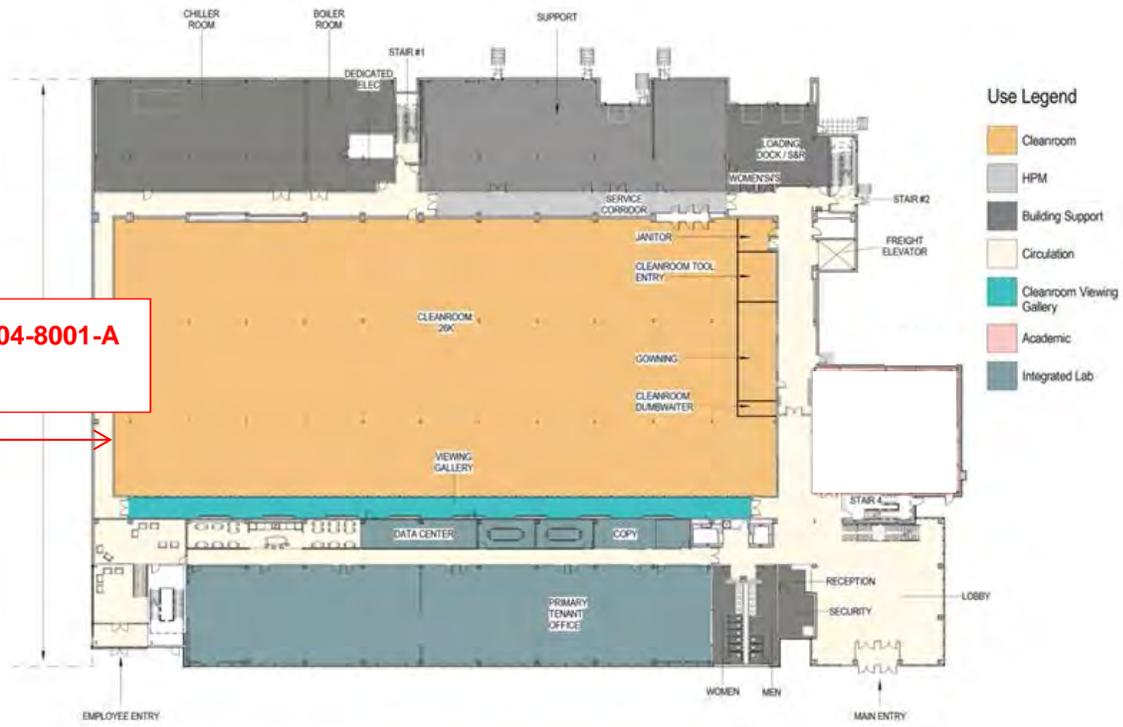
## QUAD C Level 1 Clean Room



SU-139-1-B-0004-8000-A  
25,047 SF

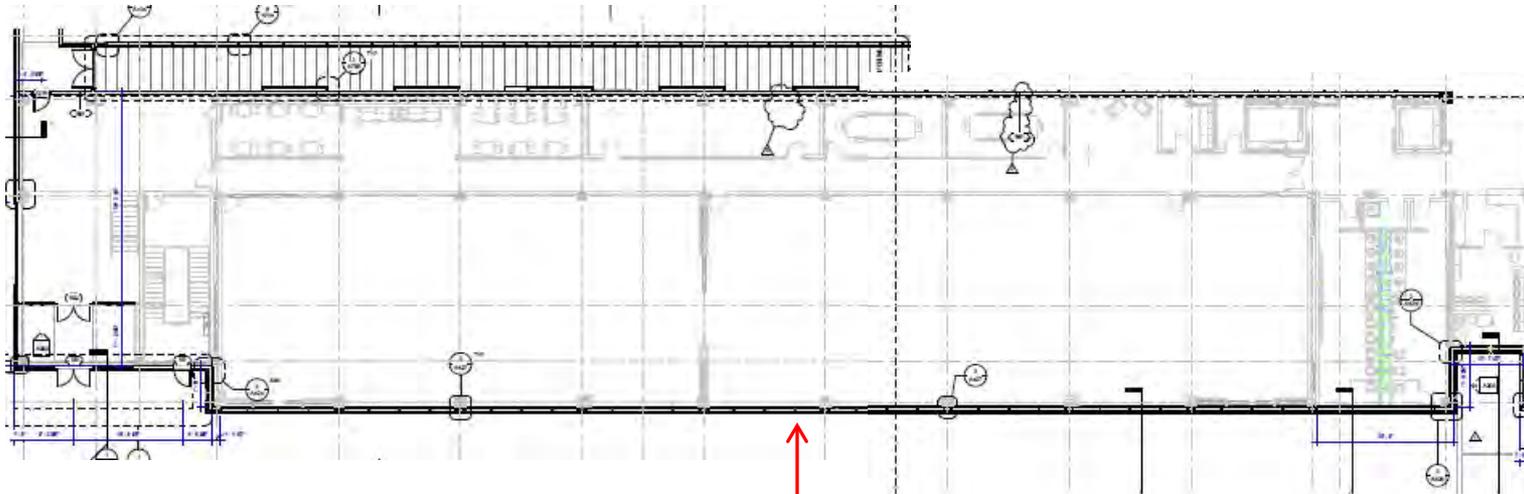
# Figure 29

## QUAD C Level 2 Clean Room



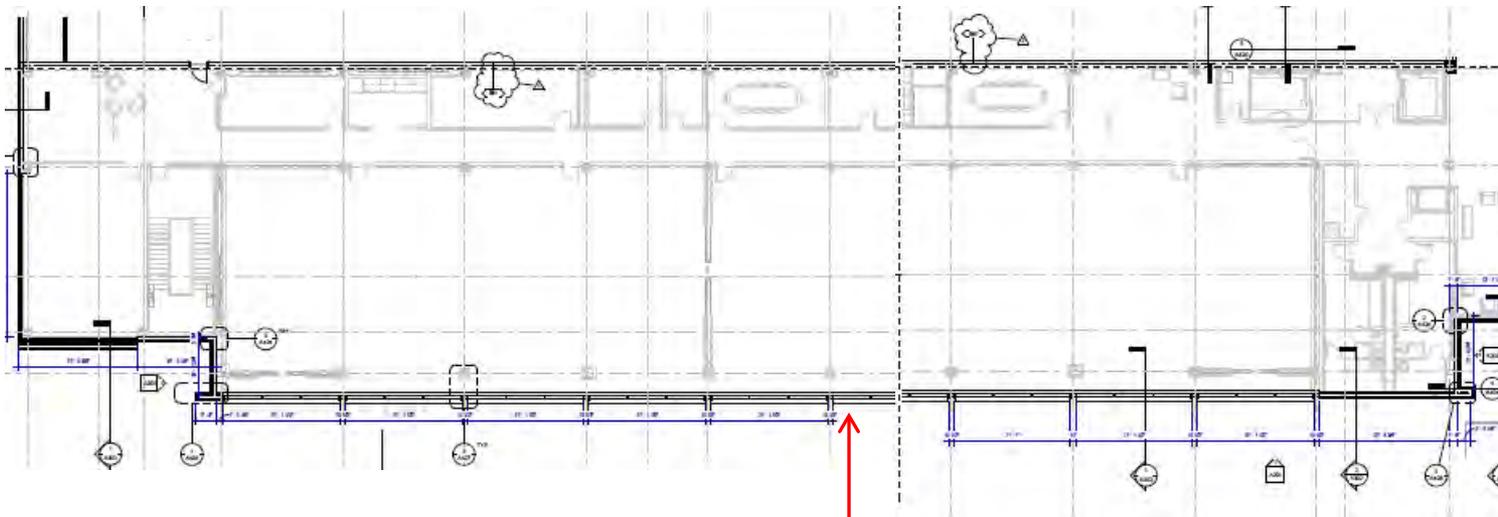
**SU-139-1-B-0004-8001-A**  
**26,978 SF**

**Figure 30**  
**QUAD C Admin Level 1**



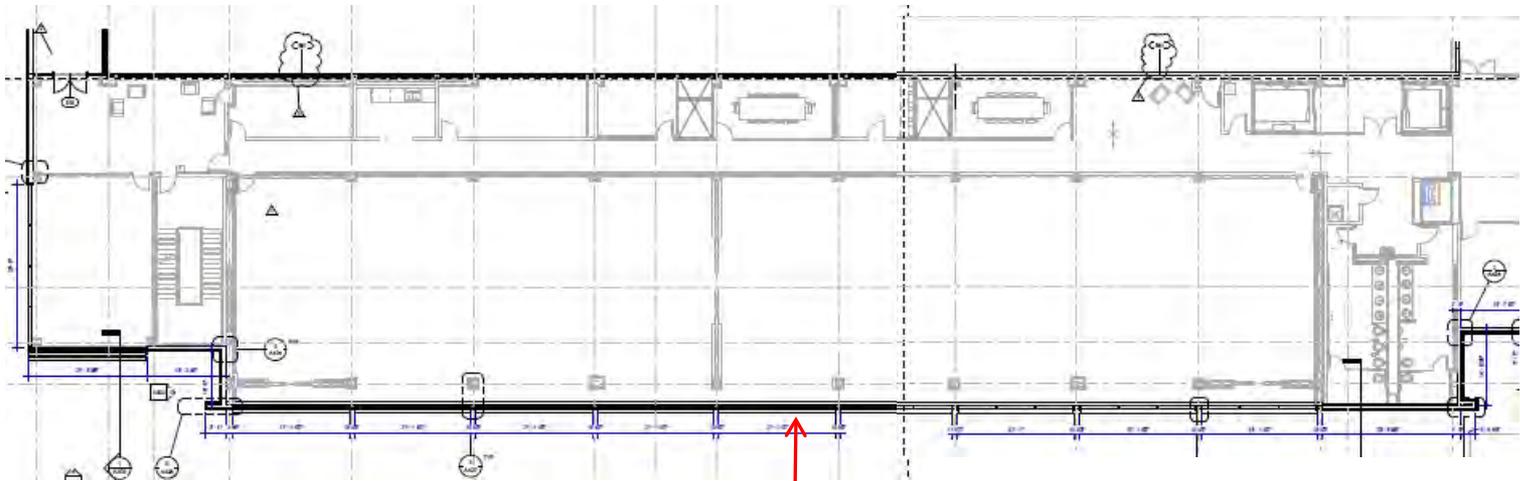
**SU-139-1-B-0004-8002-A**  
**13,586 SF**

**Figure 31**  
**QUAD C Admin Level 2**



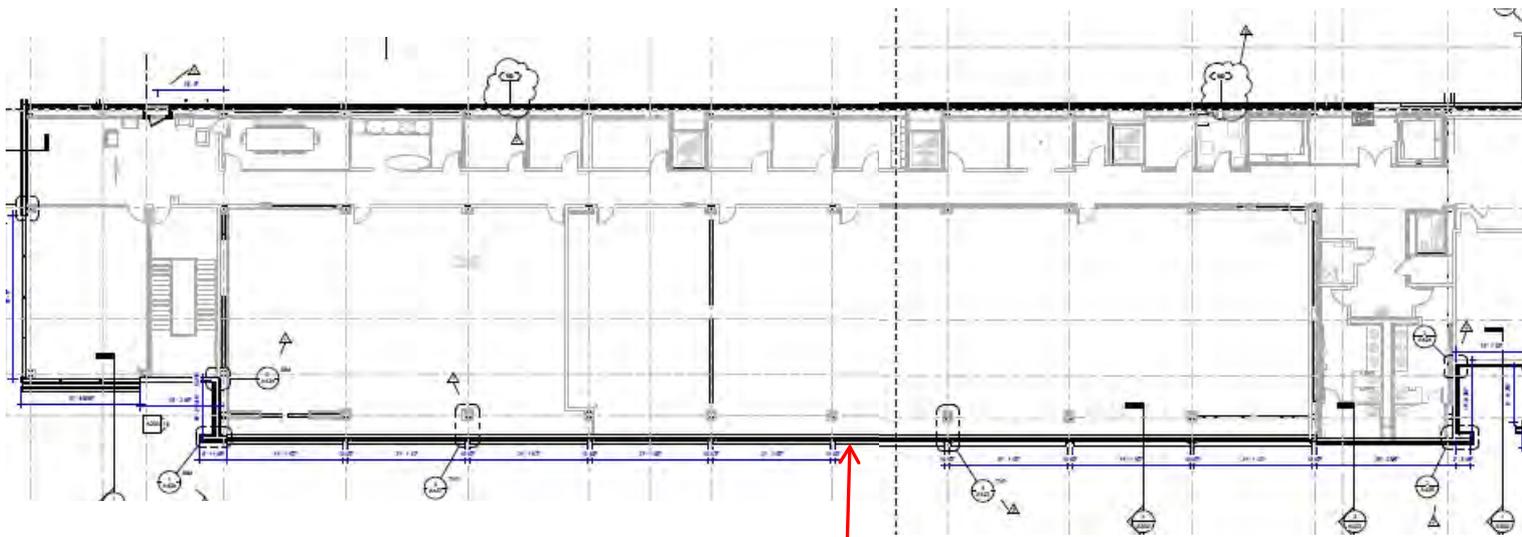
**SU-139-1-B-0004-8003-A**  
**13,334 SF**

**Figure 32**  
**QUAD C Admin Level 3**



**SU-139-1-B-0004-8004-A**  
**13,334 SF**

**Figure 33**  
**QUAD C Admin Level 4**



**SU-139-1-B-0004-8005-A**  
**13,334 SF**