



The State University
of New York

Office of the
Chief Financial Officer

State University Plaza
Albany, New York 12246

www.suny.edu

March 21, 2014

Interim President Dennis L. Hefner
SUNY College at Potsdam
44 Pierrepont Avenue
Potsdam, NY 13676

Re: START-UP NY

Dear Interim President Hefner:

Congratulations. Attached is the approved application for the College at Potsdam's Campus Plan for Designation of Tax-Free Area(s).

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

Best of luck to you and the College at Potsdam in launching the START-UP NY Program.

Best regards,

Robert M. Haelen
Interim Chief Financial Officer

Attachment
Copy: SUNY START-UP NY Proposal Review Team

To Learn
To Search
To Serve

the Power of



The State University of New York

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

To: SUNY Chancellor

From: Dennis L. Hefner

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

Date: March 12, 2014

For campus Office of the President:

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

Dennis L. Hefner
Signature of campus President

Dennis L. Hefner

Dennis L. Hefner
Print Name

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

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

Jeffrey A. Boyce
Proposal Review Team Co-Chair

3-21-14
Date

Jeffrey A. Boyce
Print Name

For SUNY Office of the Chancellor:

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

Robert M. Haelen
Signature of the Chancellor or designee

3/21/14
Date

Robert M. Haelen
Print Name

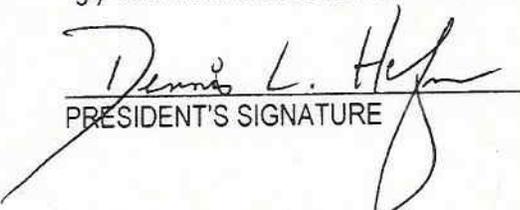


The State University
of New York

To: Mr. Kenneth Adams, NYS Commissioner of Economic Development
From: President Dennis L. Hefner of SUNY Potsdam
Re: SUNY Potsdam's Campus Plan for Designation of Tax-Free Area(s)
Date: March 12, 2014

I, President Dennis L. Hefner of SUNY Potsdam hereby certify the following:

- a.) we have provided a copy of the enclosed Campus Plan for Designation of Tax-Free NY Area, to the municipality or municipalities in which the proposed Tax-Free NY Area is located, local economic development entities, the applicable faculty senate, union representatives, and student government at least 30 days prior to submitting the plan to you and attached evidence of submission herewith; and
- b.) we comply with Public Officers Law Section 74; State University of New York's Policy on Conflict of Interest and; and attached copies of the polices and/or guidelines herewith; and
- c.) we comply with the Commissioner's rules and guidelines on anticompetitive behavior (NY EDL, art. 21, sect. 440); and
- d.) we are aware of the non-governmental use limitations associated with state issued tax exempt bonds and if our proposed Tax-Free NY Area was financed with tax exempt bonds, we will: 1.) make potential businesses aware of these limitations when marketing property; and 2.) take appropriate steps to ensure that non-governmental use of property funded with tax-exempt bonds will not jeopardize the tax exempt status of state issued bonds; and
- e.) in the Village and Town of Potsdam, we consulted with the municipality in which such land or space is located prior to including such space or land in the proposed Tax-Free NY Area and we have given preference to underutilized properties; and
- f.) we have not displaced or eliminated any academic programs, any administrative programs, offices, housing facilities, dining facilities, athletic facilities, parking, or any other facility, space or program that actively serves students, faculty or staff in order to created vacant land or space to be designated as a Tax-Free NY Area; and
- g.) the information contained in the enclosed application is accurate and complete.


PRESIDENT'S SIGNATURE

March 12, 2014
March 12, 2014

Attachments/Enclosures:

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



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

Campus Name: SUNY Potsdam
Campus Contact Name: John M. Wicke
Campus Contact Title: Director of Strategic Alliances
Campus Contact E-mail: wickejm@potsdam.edu
Campus Contact Phone: 315-267-2106

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 Potsdam
Campus Address: 44 Pierrepont Avenue, Potsdam, NY
Address(es) of Proposed Tax-Free NY Area(s) : <ul style="list-style-type: none">• Potsdam Commerce Park, 6 Pioneer Street, Potsdam, NY• Carson Hall, SUNY Potsdam, Potsdam, NY• Lehman Park, SUNY Potsdam, Potsdam, NY• NATCO Park, SUNY Potsdam, Potsdam, NY
Description of Physical Characteristics of Proposed Tax-Free NY Area(s): <ul style="list-style-type: none">• Potsdam Commerce Park, 6 Pioneer Street: 12,000 square foot building in the Potsdam Commerce Park owned by the St. Lawrence County IDA and located within one mile of campus in Potsdam, NY• Carson Hall: 6 offices located on SUNY Potsdam campus totaling 1,600 square feet• Lehman Park: 42 acres of land on SUNY Potsdam campus• NATCO Park: 25 acres of land on SUNY Potsdam campus

- ii. Complete the Excel spreadsheet template provided with this document, noting the instructions on page 2. Include the official SUNY Physical Space Inventory (PSI) building number and a clear description of the spaces in the building or floor (when the entire floor is under consideration), or floor/wing (with outer rooms defining the space specifically listed). Include only properties sought to be designated now and exclude potential sites that may be considered in the future (see 2a below). Attach the completed spreadsheet to this plan.

- iii. Provide also a representation of each proposed site drawn in AutoCAD on a scaled campus map with boundaries drawn clearly. Two versions should be created; one including an imbedded layer from Google Earth or other aerial photograph of the property. The second version should exclude the photographic imagery. Each parcel under consideration must have a unique alpha numeric identifier, clearly labeled on each plan which ties to identifiers in the Excel spreadsheet. If digital files containing Polygon shapefile that delineates area for designation are available, provide these as well. Attach these materials to this plan.
- iv. Provide a campus map with each proposed building shaded. Label each building with the official building number as listed in the SUNY Physical Space Inventory (PSI) along with the building name. For each building shaded and labeled, include floor plans of all areas under consideration with the specific spaces clearly shaded and labeled with official PSI room numbers. If digital files containing Point shapefiles that provide locations of area for designation are available, provide these as well. Attach these materials to this plan.

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

- 12,000 square foot building owned by the SLC IDA within one mile of campus
- 1,600 square feet of office space on SUNY Potsdam campus
- 25 acres of land on SUNY Potsdam campus – NATCO Park
- 42 acres of land on SUNY Potsdam campus – Lehman Park

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.

- Three contiguous buildings (on 4 lots) in the Massena, NY Industrial Park that are owned by the St. Lawrence County IDA.
- Peyton Hall, which is located one block from SUNY Potsdam campus and owned by Clarkson University.

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

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

SUNY Potsdam intends to designate businesses that align with its academic mission as a comprehensive college that offers both baccalaureate and master's degrees. Home to the world-renowned Crane School of Music, SUNY Potsdam is known for its challenging liberal arts and sciences core, excellence in teacher training and leadership in the

performing and visual arts. With an array of nearly 100 undergraduate majors and minors, Potsdam also offers select graduate programs. In addition to providing high impact educational programming to its students, the campus is dedicated to serving the North Country region, with a commitment to community cultural outreach in particular, and employs faculty who are engaged in groundbreaking research. Additionally, the College considers assisting economic development activities within the region to be an important part of the campus mission.

Businesses identified for participation would align with SUNY Potsdam programs and include:

- Tourism
- Programming and/or electronic gaming
- Computer science
- Life and physical sciences
- Environmental science
- Environmental sustainability
- Clean and renewable energy (excluding those prohibited by regulations)
- Music, theatre and arts
- Import/export businesses (excluding those prohibited by regulations)
- Food production/manufacturing

- 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.

The State University of New York at Potsdam prepares students to act as engaged global citizens and to lead lives enriched by critical thought, creativity, and discovery. As an inclusive scholarly community rooted in our historic role in providing exemplary teacher and music education and our leadership in the fine and performing arts, we are committed to the liberal arts and sciences as an academic foundation for all students. With an abiding sense of responsibility to our region and to the world beyond, SUNY Potsdam fosters an appreciation of and respect for the variety of human experience.

Our campus will focus on key academic programs to generate start-ups that include computer science, music business, business administration, life and physical sciences, community health, environmental science, and wilderness education. SUNY Potsdam will be looking to locate businesses that align with these type of programs. For example, programming and/or electronic gaming development would fit nicely with its computer science academic program; sustainable companies with its environmental science program, and selected music businesses with its music business program. By partnering with businesses, we will increase internship opportunities, create an entrepreneurial spirit on campus, provide faculty consulting opportunities and enhance knowledge transfer. All of these activities will enrich the student experience, better prepare our students to enter the workforce and help us fulfill our commitment to a liberal arts education.

- 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.

SUNY Potsdam's goal will be to designate businesses that bring the following benefits to the region:

- New jobs—first and foremost goal of any designation.
- Opportunities for internships, vocational training, and learning experiences for undergraduate and/or graduate students.
- Consulting opportunities for faculty members.
- Enhancing the diversity of businesses in the region.
- Supporting existing regional strengths.
- Does not compete directly with existing businesses.

- 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?

SUNY Potsdam will appoint a committee to be involved in the selection process.

- John M. Wicke, director of strategic alliances and the campus Start-Up NY coordinator, will chair the review committee.
- Committee composition will include several people from both on- and off-campus. At a minimum, the committee will be composed of 5-7 people, and is likely to include the committee chair, faculty governance, a campus administrator and/or a campus staff member, a member of the County IDA and/or a municipal economic development representative, an elected official, and a local business representative.
- Committee will review the business to determine if it: (1) is the type of business that complements the campus' mission, (2) will provide appropriate benefits to both the community and the local economy, and (3) meets the "new job" requirements specified in the Start-Up NY regulations.
- The committee's recommendation will then be sent to the campus president, who will review all submitted documents, review the committee's recommendation, and make a final determination.

Factors SUNY Potsdam is likely to consider in assessing how a tax-free business aligns with its mission will likely include a combination of the following:

- Could the knowledge produced by any of its programs prove useful to the business, either directly or indirectly?
- Will there be a possibility for student internships as the business moves forward?
- Will there be opportunities for job training programs?
- Does the business fit within the regional economic development council's definition of what are likely to be appropriate businesses for the region?
- Does the business pose opportunities for future job growth, which might involve hiring some of the College's future graduates?
- Will the entrepreneur be willing to share their experiential knowledge with students taking courses in entrepreneurship?

PUBLIC OFFICERS LAW

§ 74. Code of ethics.

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

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

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

3. **Standards.**

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

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

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

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

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

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

Policy

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

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

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

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

designee when a change in that assignment occurs. The chancellor's designee shall also be notified of any reports regarding conflict of interest that are forwarded to state or federal agencies.

Definitions

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

Other Related Information

Outside Activities of University Policy Makers

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

National Science Foundation, Grant Policy Manual

Procedures

There are no procedures relevant to this policy.

Forms

There are no forms relevant to this policy.

Authority

42 CFR 50, Subpart F

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

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

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

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

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

History

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

Appendices

There are no appendices relevant to this policy.

Location	UniqueID	Owner	Property/Type	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	SqFt	Acres
Village of Potsdam	SU 112a	SUNY Potsdam	1	Lehman Park, Pierrepont Avenue	Potsdam	13676 64.083-1-1		Land	D		42
Village of Potsdam	SU 112b	SUNY Potsdam	1	NATCO Park, Outer Main Street	Potsdam	13676 64.068-3-22		Land	D		25
Village of Potsdam	SU 112c	SUNY Potsdam	1	44 Pierrepont Avenue	Potsdam	13676 64.068-3-11b		Carson Hall - 3rd floor	B	1600	
Village of Potsdam	SU 112d	St. Lawrence County IDA	2	6 Pioneer Drive	Potsdam	13676 64.060-2-35		Building	F	12000	

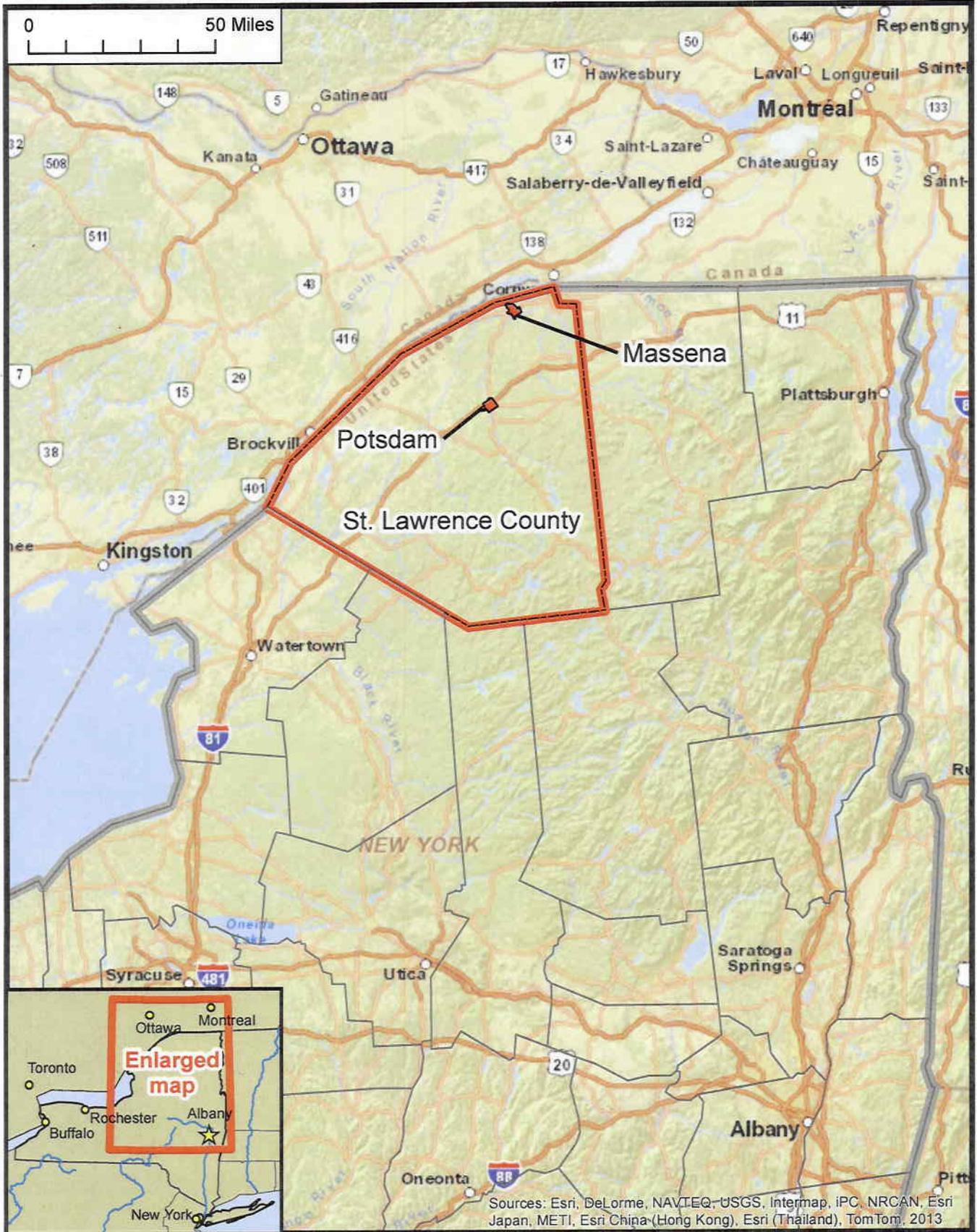
* 1= on campus
 2= 1 mile off campus
 3= State Asset

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

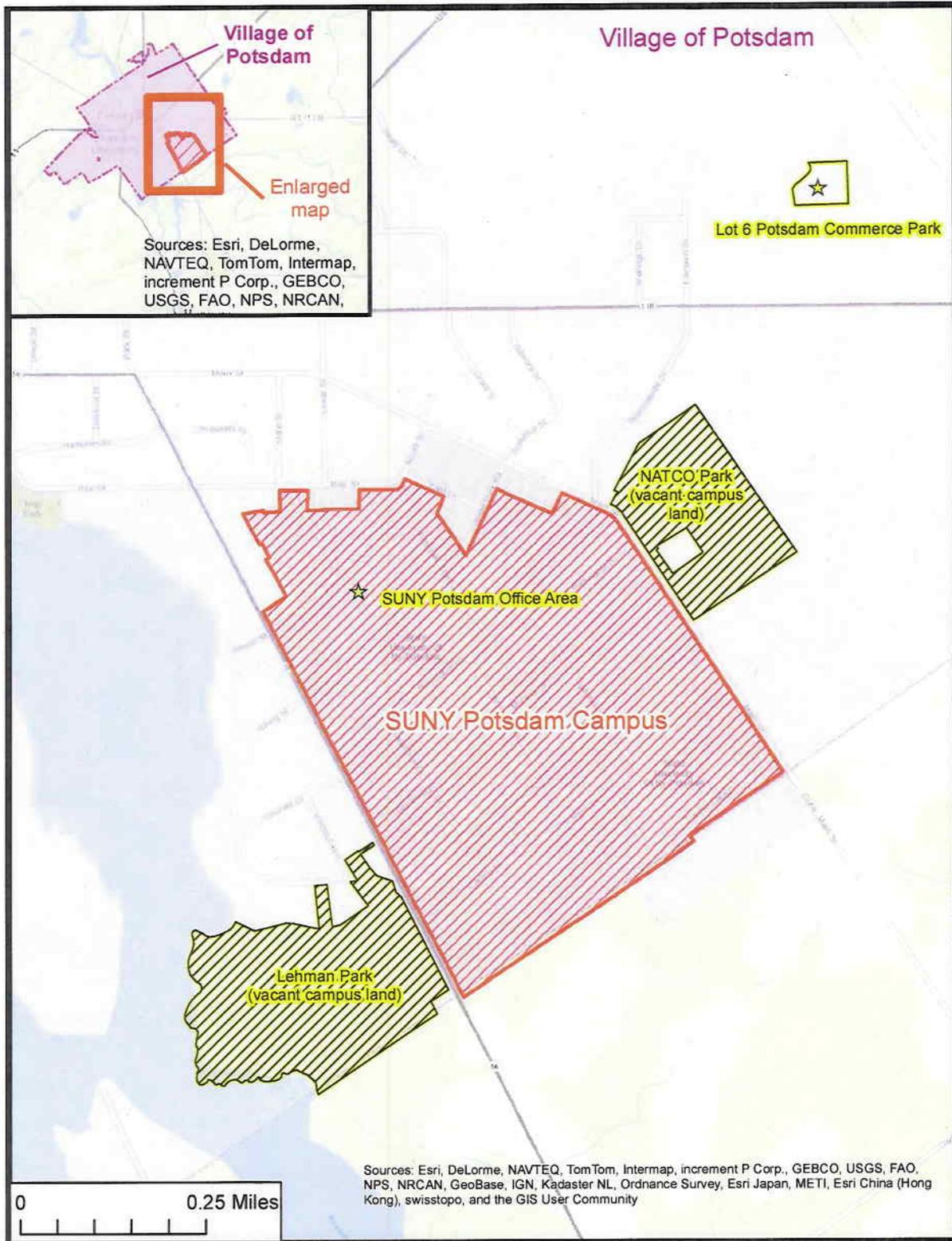
Designated Land or Buildings Unique ID Standard
 See Sheet 2: SUNY Unique ID Codes

Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
Prime developable land	YES		44.6565350	-74.9773060	
Prime developable land	YES		44.6658730	-74.9666680	
Office space on campus - 3rd floor	YES		44.6643820	-74.9760250	
Industrial Building in Commerce Park	NO	YES	44.6723170	-74.9632180	

SUNY Potsdam, START-UP NY: Regional Map

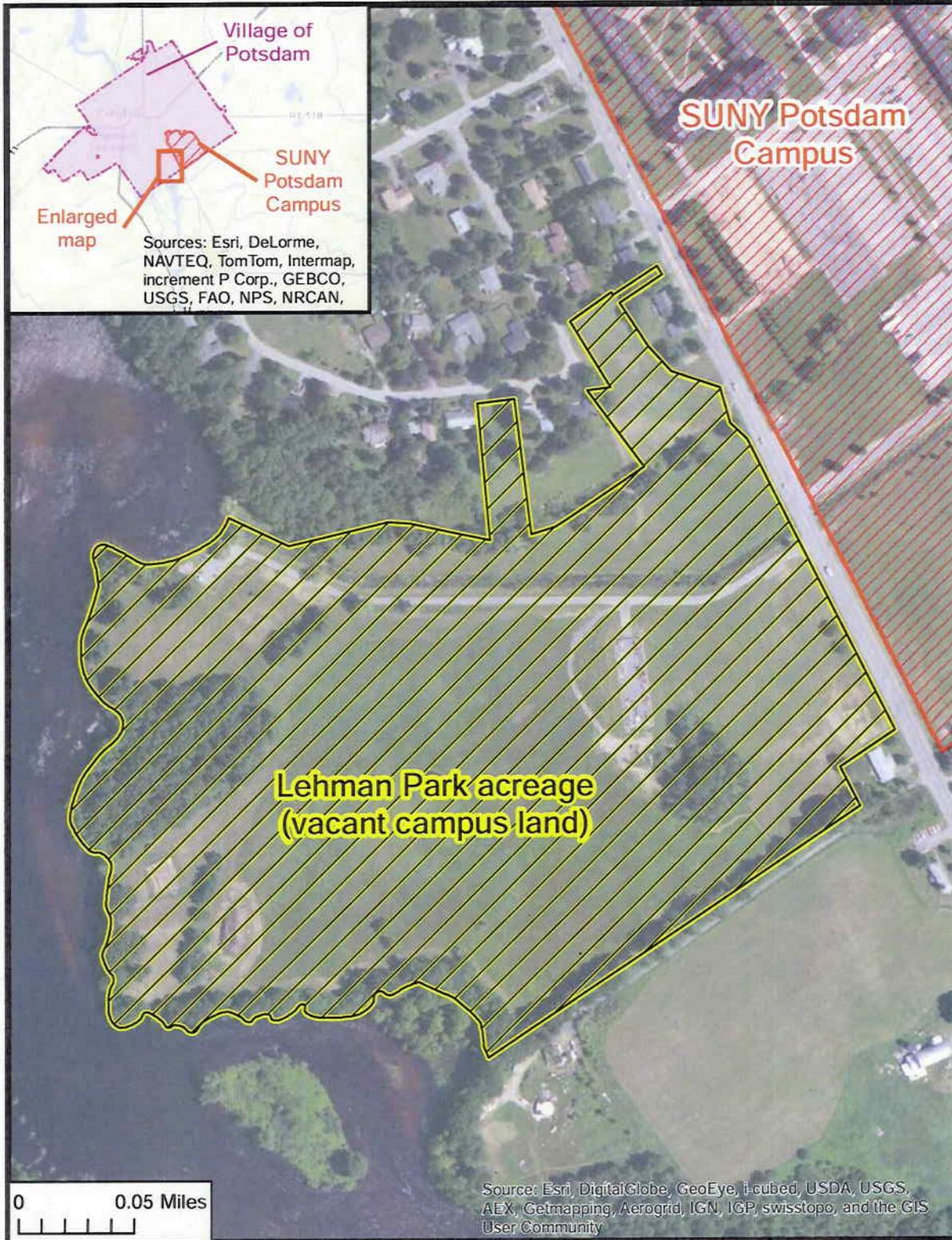


SUNY Potsdam, START-UP NY: Parcels in the Village of Potsdam



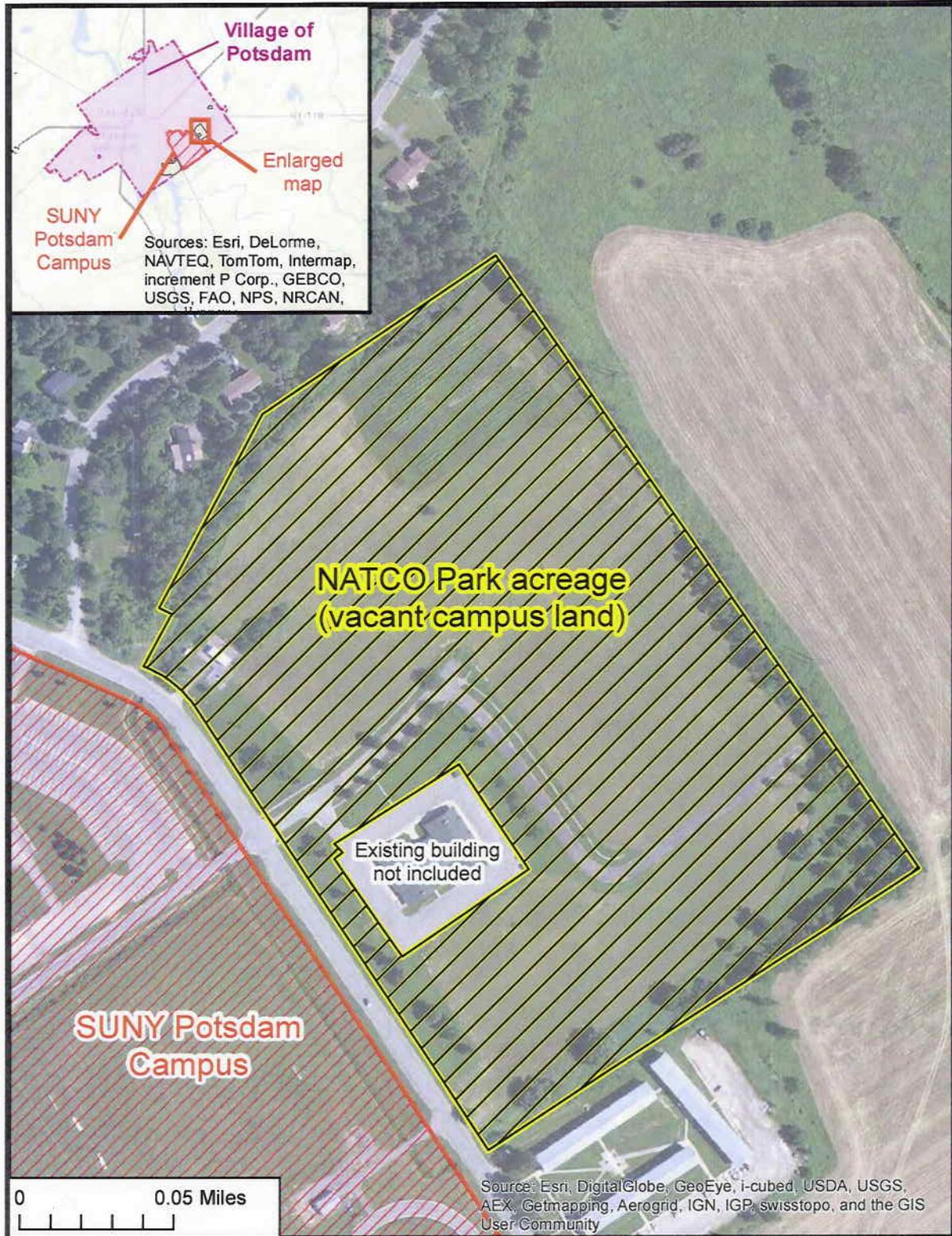
- ★ Vacant building (or portion thereof)
- Off-campus land
- ▨ Vacant campus land
- ▨ SUNY Potsdam Campus
- Village of Potsdam

SUNY Potsdam, START-UP NY: Lehman Park (vacant campus land; 64.083-1-1)



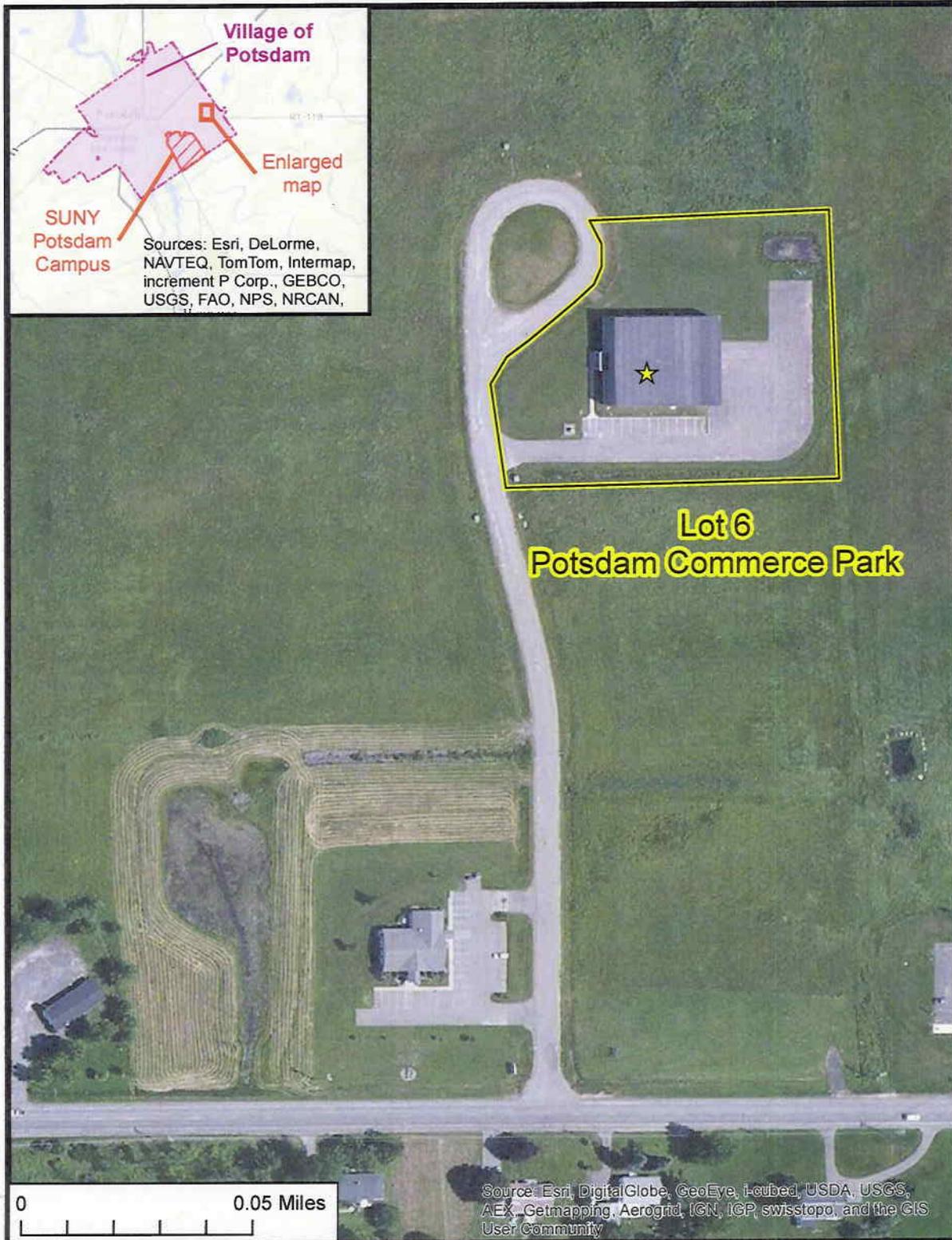
- ☆ Vacant building (or portion thereof)
- ▨ Vacant campus land
- ▨ SUNY Potsdam Campus
- Village of Potsdam

SUNY Potsdam, START-UP NY: NATCO Park (vacant campus land; 64.068-3-22)

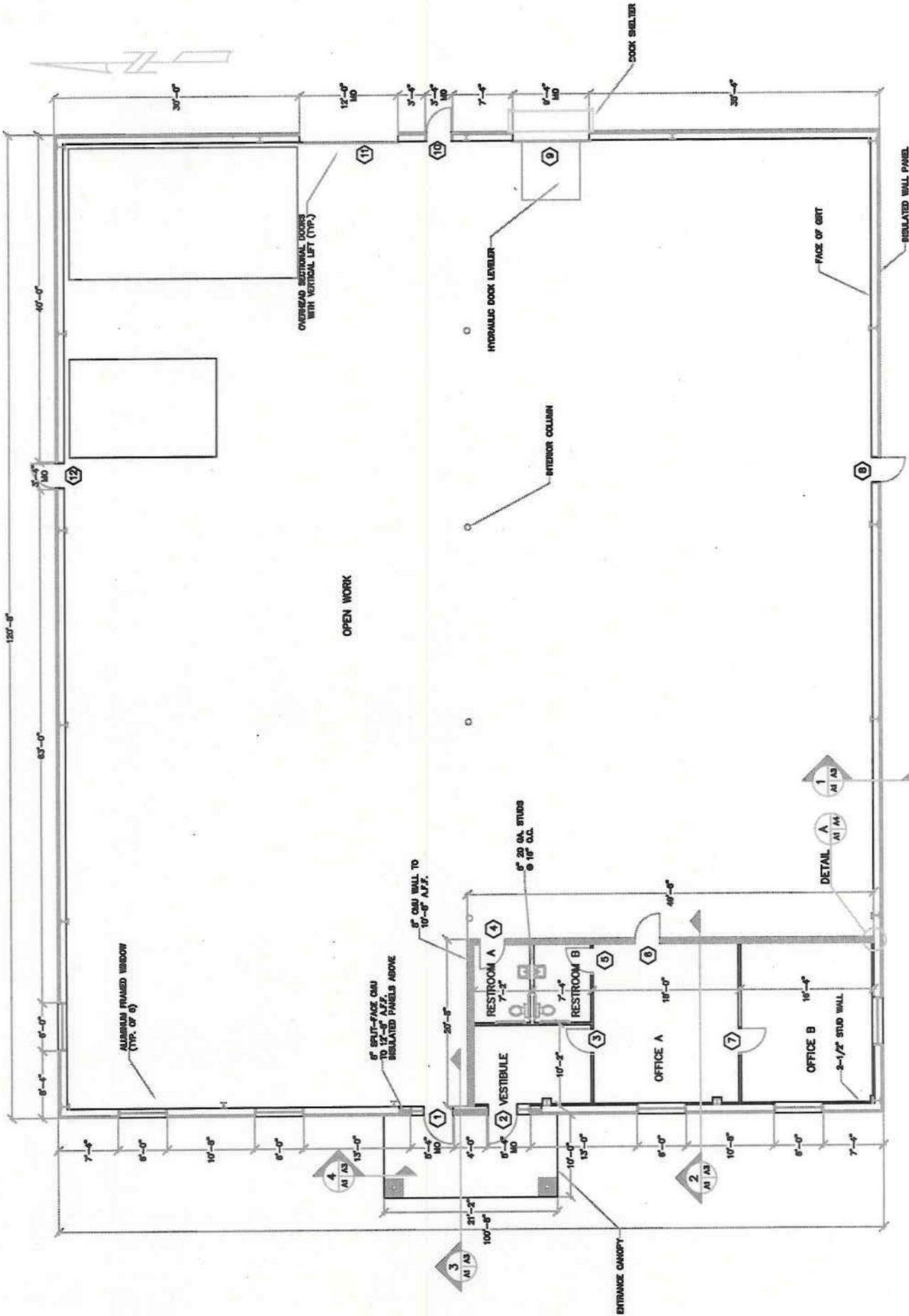


- ☆ Vacant building (or portion thereof)
- ▨ Vacant campus land
- ▨ SUNY Potsdam Campus
- Village of Potsdam

SUNY Potsdam, START-UP NY: Lot 6, Potsdam Commerce Park (64.060-2-35)



- ☆ Vacant building (or portion thereof)
- Off-campus land
- ▨ SUNY Potsdam Campus
- Village of Potsdam



FLOOR PLAN
1/8" = 1'-0"

Pioneer



1816
 THE STATE UNIVERSITY OF NEW YORK
Potsdam
 PHYSICAL PLANT
 (315) 267-3124

NO.	REVISION	DATE

SUNY POTSDAM
 CARSON HALL THIRD FLOOR OFFICE SPACE

Project No.	CAB
Design	Graphic
Checked	09 JAN 2014
Revised By	

REVISION TABLE

REVISION NO.

1

