



The State University
of New York

Office of the
Chief Financial Officer

State University Plaza
Albany, New York 12246

www.suny.edu

September 3, 2015

President Karin Hilgersom
SUNY Sullivan
112 College Road
Loch Sheldrake, NY 12759

Re: START-UP NY

Dear President Hilgersom:

Congratulations. Attached is the approved application for SUNY Sullivan's Amended Campus Plan for Designation of Tax-Free Area(s).

After completion of the required 30-day comment period, please submit evidence of stakeholder notification, along with your complete campus plan, to Empire State Development at designations@esd.ny.gov.

Best of luck to you and SUNY Sullivan in launching the START-UP NY program.

Best Regards,

Eileen McLoughlin
Vice Chancellor for Finance
and 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: SUNY Sullivan (Sullivan County Community College)

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

Date: August 27, 2015

For campus Office of the President:

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

Handwritten signature of Karin Hilgersom

Signature of campus President

Karin Hilgersom
Print Name

FOR SUNY SYSTEM ADMINISTRATION USE ONLY

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

Handwritten signature of Jeffrey A. Boyce
Proposal Review Team Co-Chair

Jeffrey A. Boyce
Print Name

Handwritten date: 9-2-15

Date

For SUNY Office of the Chancellor:

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

Handwritten signature of Eileen McLoughlin
Signature of the Chancellor or designee

Eileen McLoughlin
Print Name

Handwritten date: 9/3/15

Date

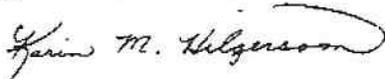


The State University
of New York

To: Mr. Howard Zensky, NYS Commissioner of Economic Development
From: Karin Hilgersom, President, SUNY Sullivan (Sullivan County Community College)
Re: SUNY Sullivan's Campus Plan for Designation of Tax-Free Area(s)
Date: August 27, 2015

I, President Hilgersom of SUNY Sullivan 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; (insert any other applicable policies or guidelines, including local campus policies or where applicable, the Research Foundation's Conflict of Interest Policy and Guidelines for the Management of Conflicts of Interest, or other applicable campus foundation policies or guidelines – then delete this text); 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.) SUNY Sullivan has consulted with the municipality or municipalities 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 relocated 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

8/25/15
DATE

June 2015

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 Sullivan
Campus Contact Name: Cindy Kashan
Campus Contact Title: Vice President for Advancement, Partnerships & Community Learning
Campus Contact E-mail: cbennedum@sunysullivan.edu
Campus Contact Phone: 845-434-5750, ext. 4249

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 Sullivan
Campus Address: 112 College Road, Loch Sheldrake NY 12759
Address(es) of Proposed Tax-Free NY Area(s) :
<ol style="list-style-type: none"> 1. 112 College Road, Loch Sheldrake NY Parcel 17. 1-26.1.1 2. Building C, Room 105 at SUNY Sullivan, 112 College Road 3. 7 Erie Avenue, Narrowsburg, NY
Description of Physical Characteristics of Proposed Tax-Free NY Area(s):
<ol style="list-style-type: none"> 1. 18-acre commercial zone that will be designated the SUNY Sullivan Commerce Park. The goal is to offer land that is currently unutilized that START-UP NY eligible businesses can use as the tax free location. This parcel of land is located close to the main entrance of campus and will result in high visibility to passing traffic as well as close proximity to campus buildings. 2. Classroom 105 within Building C of SUNY Sullivan – currently 496 square feet of vacant space. This classroom space can be used by up to 3 businesses. 3. Narrowsburg Central School, 7 Erie Avenue, Narrowsburg, NY. 18,000 s/f, two-story vacant former school building on 2.2 acres. The building and grounds include a commercial kitchen, classroom space and parking areas. We are formally requesting from the Commissioner of ESD an exception to the 1-mile rule for this property, which is 35 miles from 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:

1. SUNY Sullivan Commerce Park - 18 acres
2. Classroom C105 -496 square feet
3. Narrowsburg Central School - 18,000 square foot building on 2.2 acres

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.

TOWN OF FALLSBURG SBL	ADDRESS
35.-7-10.1 House and Bungalows	180 Main Street, Hurleyville
35.-7-3 vacant land	184 Main Street, Hurleyville
35.-5-18 vacant land	208 Main Street Hurleyville
35.-5-19 European Deli	210 Main Street Hurleyville
35.-5-1 to-be-razed structure/vacant land	212 Main Street

32.-1-39 vacant land	West Rail Trail
34.-9-22 OMG	218 Main Street Hurleyville
34.9-21 Izzy's Aunt	220 Main Street Hurleyville
34.-9-16 vacant land	228 Main Street Hurleyville
34.-9-14	230 Main Street Hurleyville
34.-9-12 vacant land and building	238 Main Street Hurleyville
34.-4-12 building	227 Main Street Hurleyville
34.-4-13 building	225 Main Street Hurleyville
34.-4-15 building under construction	219 Main Street Hurleyville
32.-1-65.1 vacant land	East Rail Trail
32.A -1-1 vacant land	Walter's Way
32.A-1-20 vacant land	Jacobson Road
34.-5-1 vacant land	19 Baker Hill Road Hurleyville
TOWN OF BETHEL	
Sullivan County International Airport	White Lake, NY
TOWN OF THOMPSON	
Frontier Insurance Building	Rock Hill, NY
VILLAGES OF MONTICELLO & LIBERTY	
Vacant properties on Main Streets	

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.

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

SUNY Sullivan's focus on sustainability and technology, as well as its rural 405 acre campus, will enable it to form partnerships with companies wishing to expand or relocate to the state of New York whose focus and business missions align with those of the institution. Companies that are dedicated to the following enterprises will be pursued:

- Innovations developed by businesses that improve energy and water conservation, including manufacturing of renewable energy technologies.
- Web-based tools that assist in protecting the food shed, improve agricultural yield, and share knowledge. Software developers who manufacture new software for sale to the agricultural community are the target, especially developers of mobile applications that improve crop yield, logistics, distribution, and profits.

- High tech businesses that integrate personal phone outreach, the worldwide web, and software based tools and analytics in order to assist niche markets nationally and internationally.
- Food and beverage manufacturing, especially food companies that are driven by a health-centric mission statement, and beverages (including distillers, craft beer, maple products) that are produced locally and that require smart logistics and distribution. These products originate from the outputs of local agriculture (prohibited) and are transformed through value added manufacturing processes, logistics, and distribution. Sullivan County is experiencing a growing cluster of such businesses in foods that include artisan cheeses, maple syrups, chocolates, and several craft distillers. The College has contacted a relatively large craft beer maker located on the West Coast who is considering expansion to the East Coast. Outreach to a Chinese health beverage producer is also underway. The College has requested that the County consider START-UP NY space for the County's plan to create a local food hub for packagers who provide pick-up, distribution, and packaging to small farmers and artisan food producers. Although the legislation is unclear on whether or not this last example is prohibited or allowable, such value additive packaging and distribution is likely to entice food and beverage manufacturers to the SUNY Sullivan Commerce Park.
- Prototyping that can create new products or add value to manufacturing processes, including research and development that leads to parts and products which enhance human health. Such start-up incubators for the manufacture of specialized products are of interest to health industries that serve disabled populations, patients engaged in some form of physical recovery, and high performance athletes.

- 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.

SUNY Sullivan provides programs and resources that educate, inspire and empower students and the broader community. Through excellence in teaching and learning, we prepare students for a diverse and interconnected world, and we support positive economic and social change within Sullivan County and beyond. We model sustainable actions and promote socially, environmentally and economically responsible citizenship through an overarching culture of excellence. The businesses identified in #3 (above) will align with, and further, the academic mission of the college as described in the following paragraphs.

There are a number of academic programs offered by SUNY Sullivan that will benefit from partnerships with companies in the START-UP NY Program, and whose students represent a pool of future talent. These academic programs include:

Business Administration – SUNY Sullivan's Business Administration Program is nationally accredited by the Accreditation Council for Business Schools and Programs (ACBSP), and prepares students for the business world by providing them with a solid

understanding of practical management theories, knowledge of the integration of technology in the business world, and the ability to think critically. At the end of the program, students successfully demonstrate the ability to solve problems, make decisions independently, and function effectively as a team member. The business department offers courses in entrepreneurship and small business management as well as a program in tourism and hospitality management. All START-UP NY businesses that offer an internship, job placement, and/or entrepreneurial experience to SUNY Sullivan business students will benefit as they will be able to transfer newly acquired business skills directly into the workplace without having to leave the campus.

Computer Information Systems and Digital Art and Media programs – Several SUNY Sullivan IT-related programs, including an Associate of Applied Science degree in Computer Information Systems, offer courses in software programming and application, basic hardware, and digital design and multi-media competencies. START-UP NY businesses that rely upon the worldwide web, including software applications and technologies, will strengthen several of SUNY Sullivan's related programs and benefit from the talent pipeline created through internships and job placements.

Green Building Maintenance and Management – The Associate in Applied Science degree in Green Building Maintenance and Management provides students with the knowledge, skills and abilities needed to effectively manage buildings that incorporate sustainable building principles and technologies. START-UP NY companies that focus on green technology (technologies that decrease negative environmental impacts) will directly enhance the Green Building Maintenance and Management Program by providing students access to on-the-job experience and training.

Manufacturing Training – The College is fortunate to have two faculty members with extensive experience in manufacturing. These faculty members are currently working toward instructor certification for the manufacturing skill standard courses, and with funding from a SUNY system TAACCCT grant through the Department of Labor, have developed a core set of foundation courses in manufacturing. Moreover, SUNY Sullivan is home to a Program Logic Control Smart Lab affiliated with the Center for Advanced Global Manufacturing (CGAM), that will provide services to address the PLC issues confronting small manufacturers state-wide. Students in these programs will represent the skilled workforce that START-UP NY eligible companies need.

- 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 Sullivan is prepared to educate the workforce that is necessary to grow business, and START-UP NY partnerships will inspire a high quality workforce education that is responsive to industry need. There are a number of benefits SUNY Sullivan can offer businesses wishing to establish themselves on campus and a number of benefits that business will bring to Sullivan County. Specific benefits include:

Proximity to Metro Areas - Sullivan County is located in the southern part of New York State and is conveniently located 90 minutes northwest of New York City. In addition, there are a number of other major metropolitan areas within commuting distance including Binghamton, Albany, Newburgh, and even Philadelphia.

Increased Employment Opportunities - Since 2009 the unemployment rate in Sullivan County has consistently been near or above 8% (U.S. Bureau of Labor Statistics¹) which exceeds both regional and state averages. It is important to note that this number likely represents an underreporting of the unemployment situation due to long term unemployed and underemployed residents who have fallen out of the statistic. Sullivan County is one of the poorest counties in New York State based upon recent economic indicators published by the USDA. The numbers paint a compelling and bleak picture of the socioeconomic reality in Sullivan County.

There is a strong need for businesses to expand or relocate to Sullivan County in order to provide new employment opportunities. The majority of the companies which have expressed an interest in establishing themselves on the campus will provide employment opportunities for our students and/or the region at large. For example, companies whose focus is on manufacturing would provide jobs for the region, while those companies whose focus is on technology and sustainability could provide employment opportunities for SUNY Sullivan graduates.

Environmental Sustainability - Part of SUNY Sullivan's mission is to model sustainable actions and promote environmentally responsible citizenship. The attraction of businesses whose focus is on environmental sustainability and/or green technology will directly align with the college's mission and the overall county's goal of reducing its environmental impact.

Opportunities for Experiential Learning - Internships, vocational training and real-world learning experiences could be available for SUNY Sullivan students and/or graduates of program whose focus aligns with the focus of the company (i.e., a student enrolled in Green Building Maintenance and Management could intern with a company focused on sustainable energy).

Diversification of Local Economy - Sullivan County currently does not have large-scale competition in the focus areas identified by the college. Software development and technology companies are virtually nonexistent in the county. Therefore the addition of businesses such as these would enhance the county's current employment opportunities and diversify the county's economic base. Where completion or small economic clusters do currently exist, the college will be cautious not to replicate the existing products and services (e.g., products of food and beverage manufacturers such as Ideal Snacks or Formaggio Cheese).

Entrepreneurship – When selecting START-UP NY partners to locate on the college campus, SUNY Sullivan will give priority to those that can offer our students entrepreneurial opportunities so they can translate new skills directly into small business start-ups.

Boost to Local Economy – Sullivan County is one of the poorest counties in New York State. The addition of START-UP NY businesses to the SUNY Sullivan campus will be a positive benefit to the region as increased job opportunities will translate into lower unemployment rates in the county and direct increased spending.

Magnet for Economic and Social Growth – If the START-UP NY initiative is successful at SUNY Sullivan, the economic, partnership, entrepreneurial, and environmental benefits will enhance the community at large, resulting in both positive economic and social growth. These changes should attract not only more businesses to the area, but more residents as well.

- 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 Sullivan's project selection process is designed to ensure that potential businesses both fit the purpose and requirements of the START-UP NY Program, and align with SUNY Sullivan's mission. The primary internal College stakeholders tasked with START-UP NY decision making will include the following SUNY Sullivan committees:

1. **The Executive Committee** - *Includes President, Vice President for Academic and Student Affairs, Vice President for Advancement, Partnerships and Community Learning, Associate Vice President for Planning, Human Resources and Facilities, Dean of Students and Controller*
Recommends business applicants and lays groundwork
2. **The President's Cabinet** - *Includes Executive Committee and liaisons from various campus segments (faculty and staff reps)*
Reviews and responds to recommendations, assists with groundwork if needed
3. **Strategic Planning and Institutional Assessment (SPIA)** - *Chaired by the Associated Vice President of Planning, Human Resources & Facilities, SPIA also includes membership from each academic division, two campus delegates, one student body delegate, one Board of Trustees delegate, the Director of IT, the Controller, and the Director of Institutional Research.*
Reviews for alignment with the SUNY Sullivan Strategic Plan and can offer suggestions and/or concerns
4. **The Faculty Council**
Reviews and responds to recommendations, raises questions and concerns
5. **President**
Final approval prior to Board of Trustees Approval
6. **SUNY Sullivan Board of Trustees**
Final approval

Using a shared governance model for consensus building with executive leadership, the board of trustees, and four SUNY Sullivan committees, the following considerations will be woven into a clear and well-documented process that responds to section 6-A,B,C:

- Identify those companies with an interest in the START-UP NY initiative through referrals, discussions with the local Empire State Development Office and other local agencies/partners including the Sullivan County Partnership for Economic Development and the Mid-Hudson Regional Economic Development Council, and work toward bringing businesses from other states and countries to Sullivan County;
- Ensure alignment between the goals and mission of a particular business with the approved SUNY Sullivan START-UP NY application;
- Ensure alignment between a START-UP NY business and the SUNY Sullivan Strategic plan (including creative activity and strategies that bring that plan to life), and be mindful that the mission of a particular business must fit with a program interest of the College;

- The selection process will emphasize academic and workforce alignment, the economic benefit that the applicant business will bring, and benefits to the community of Sullivan County. The various internal stakeholders are expected to reach a consensus to SUNY Sullivan about how the campus will benefit from new programs or enhancements to existing programs resulting from START-UP NY partnerships, and what benefit the program may provide to the partner company;
- Determine: (1) how (and if) the presence of the new business will create program, entrepreneur and/or employment opportunities for students and for residents in the surrounding region; (2) If the new business can attract additional investment into the area; and (3) If the business has both short and long term viability potential. We anticipate internal approvals to those business applicants that will provide experiential learning to significant numbers of students (between 10 and 25). These options can include living lab classroom intersections between faculty and business, internships, applied research, business funded workstudy jobs, training on state-of- the-art industry equipment, and full-time jobs post-graduation.
- The four committees will apply criteria which includes, but is not limited to, the projection of net new jobs, the viability of the business partner, the economic cluster that the partner is expected to enhance, and financial benefit to the College and the County.
- Encourage alignment with the Mid-Hudson Regional Economic Development Council's strategic plan;
- Identify space on or off campus which will meet the potential partner's goals and business objectives;
- Negotiate terms;
- Obtain lease agreements and all other necessary contracts/documentation;
- Work with businesses to obtain necessary local board approvals;
- Loop back to the START-UP NY support teams (SUNY and Empire State Development) with questions and concerns related to specific business applicants and START-UP NY implementation.

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.



Category:
HR / Labor Relations
Legal and Compliance

Responsible Office:
University Counsel

Policy Title:
Conflict of Interest
Document Number:
6001

Effective Date:
October 01, 1995

This policy item applies to:
State-Operated Campuses

Table of Contents

Summary

Policy

Definitions

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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.

June 2015

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

June 2015

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.



Category:
Academic Affairs
Community Colleges
Legal and Compliance
Research

Responsible Office:
Academic Affairs

Policy Title:
START-UP NY Program Participation Policy

Document Number:
6800

Effective Date:
February 10, 2014

This policy item applies to:
Community Colleges
State-Operated Campuses

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Summary

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

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

Policy

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

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

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

Definitions

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

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

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

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

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

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

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

Other Related Information

Start-Up NY Regulations; available at the Start-Up NY Website.

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

StartUp-NY.gov website and program information.

Procedures

START-UP NY Program Participation, Procedures for

Forms

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

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

START-UP NY Sponsoring University or College Application for Business Participation Memorandum

ESD START-UP NY Sponsoring University or College Application for Business Participation

ESD START-UP NY Business Application Instructions

ESD START-UP Business Application

Authority

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

Law, New York Economic Development Law Article 21 (Start-Up NY Program)

Start-Up NY Regulations

History

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

Appendices

There are no appendices relevant to this policy.

ITEMS TO INSERT:

1.) DEPARTMENT OF ECONOMIC DEVELOPMENT
EXCEL SPREADSHEET TEMPLATE LISTING ALL
DESIGNATED PROPERTIES

2.) COPY OF ANY OTHER APPLICABLE CONFLICT OF
INTEREST POLICIES OR GUIDELINES

3.) EVIDENCE OF SUBMISSION OF TAX-FREE AREA
PLAN TO INTERESTED PARTIES, I.E., COPIES OF
CORRESPONDENCE SENT AND RECEIVED

Note that program regulations require 30-day notice to potential stakeholders, including the chief executive officers of the municipality or municipalities in which the subject properties are located, a local economic development entity, faculty senate, campus student government, and union representatives, and require "evidence" of the campus' communications to these local stakeholders. Please note that you **MUST** include copies of all correspondence in your formal submissions to SUNY and ESDC. It is important that the plan be mailed **via first class mail** to each of the unions representing state employees, including the local (or statewide if no local exists) leadership for UUP, CSEA, PEF, PBA, GSEU and NYSCOPBA. Community colleges must also notify the unions representing their employees. If you are unsure whom to contact, please let us know and we can assist you in making this notification.

Location	UniquelD	Owner	PropertyType	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	SqFt	Acres	Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
Loch Sheldrake	SU-333-1-C-00101-000-A	County of Sullivan	1	112 College Road	Loch Sheldrake	12759	17-1-26.1.1	N/A	D		18	Vacant Land	On Campus	N/A	41.774392	74.667056	
Loch Sheldrake	SU-333-1-C-00102-000-A	County of Sullivan	1	112 College Road	Loch Sheldrake	12759	NA	SUNY Sullivan Classroom	C	496		Vacant Classroom	On Campus	N/A	41.774392	74.667056	
Narrowsburg	SU-333-2-C-12764-000-A	Weiden, Bill & Kathy	2	7 Erie Avenue	Narrowsburg	12764	10-2-5.1	Former School	E		2.2	Former school	Off Campus	No	41.7630539	74.6751616	
Narrowsburg	SU-333-2-C-12764-000-A	Weiden, Bill & Kathy	2	7 Erie Avenue	Narrowsburg	12764	10-2-5.1	Former School	F	18,000		Vacant Former School	Off Campus	No	41.7630539	74.6751616	

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



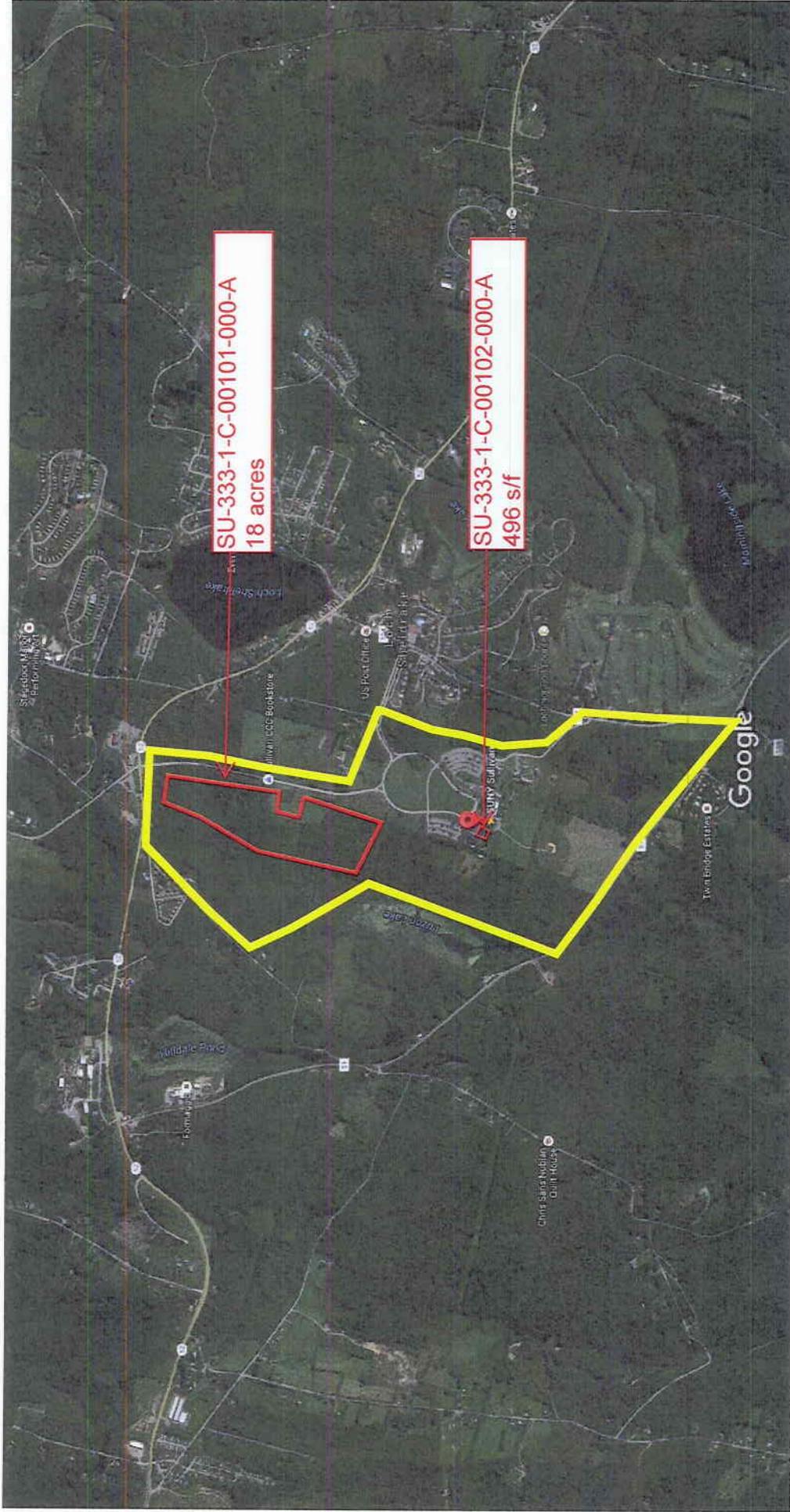
Google

SUNY Sullivan- START-UP NY Property Location Map

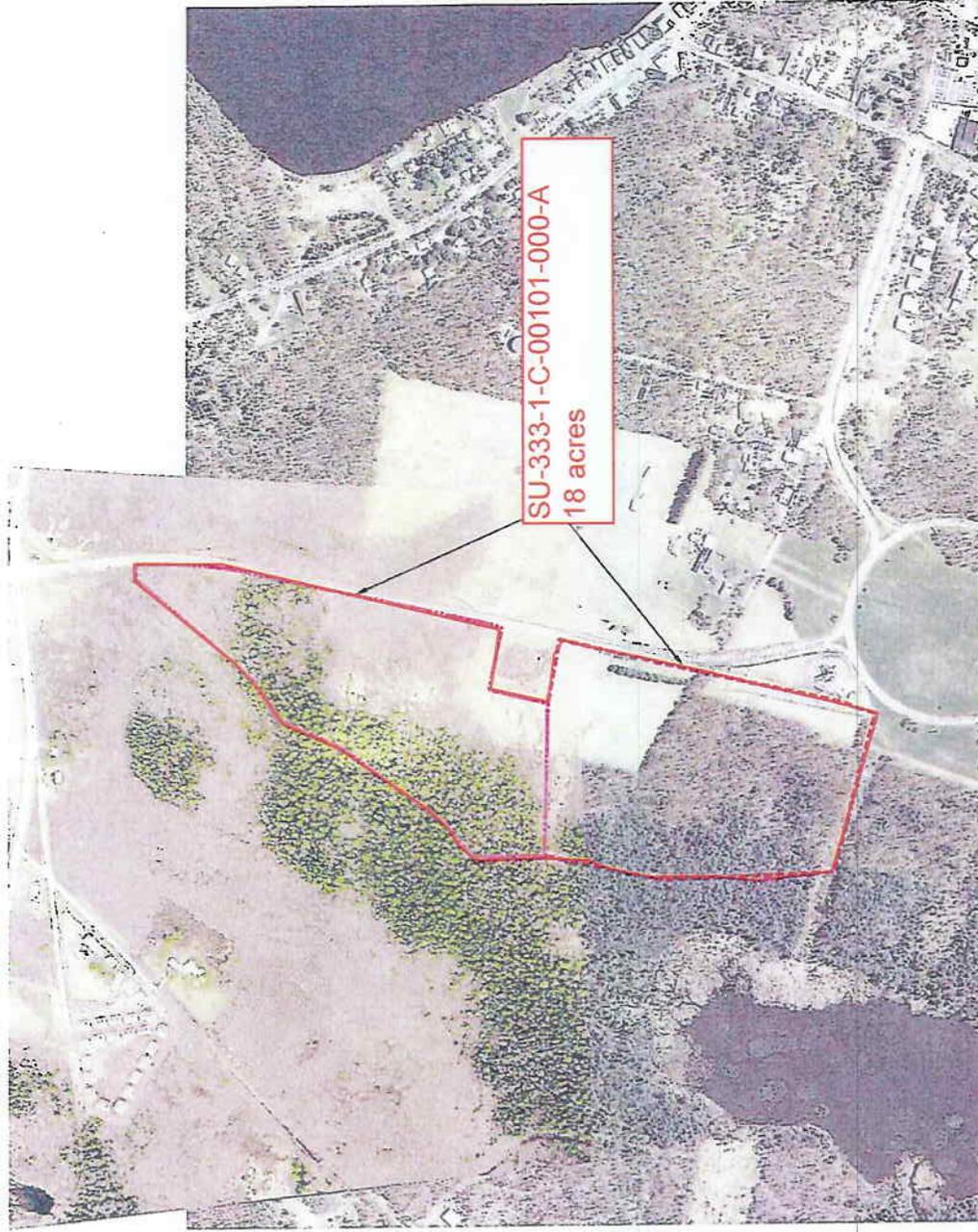


**SUNY Sullivan- 112 College Rd.
Loch Sheldrake, NY 12759
SU-333-1-C-00101-000-A: 18 acres;
SU-333-1-C-00102-000-A: 496 s/f**

**7 Erie Avenue
Narrowsburg, NY 12764
SU-333-1-C-12764-000-A
18,000 s/f; 2.2 acres**



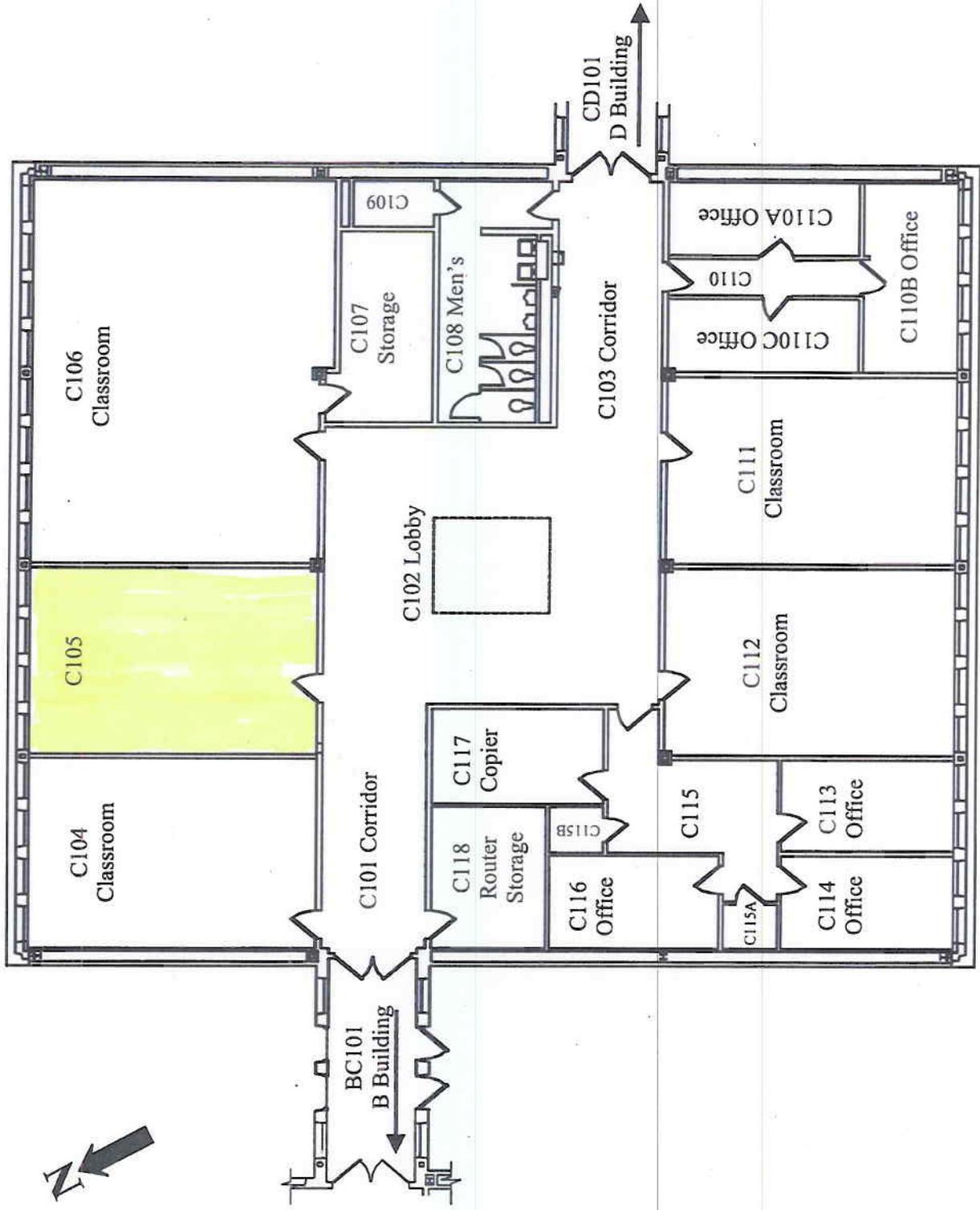
Property Address: 112 College Road, Loch Sheldrake, NY
Unique ID: SU-333-1-C-00101-000-A
Total Acreage: 18 acres



<p>Client: SULLIVAN COUNTY COMMUNITY COLLEGE 112 COLLEGE ROAD LOCH SHELDRAKE, NY 12759 Project Number: 20141949.0001</p>	<p>PASSERO ASSOCIATES engineering architecture 112 State Street, Suite 1000 Albany, NY 12207</p>	<p>SUNY SULLIVAN COMMERCE PARK</p>
<p>Scale: N.T.S. Sheet No:</p>	<p>ATTACHMENT A: AERIAL IMAGE</p>	<p>Drawn By: _____ Date: NOVEMBER 2014</p>

Property Address: 112 College Road, Loch Sheldrake, NY
Unique ID: SU-333-1-C-00102-000-A
Total Square Feet: 496

Building "C" 100



Property Address: 7 Erie Avenue, Narrowsburg, NY
Unique ID: SU-333-2-C-12764-000-A
Total Square Feet: 18,000
Total Acres: 2.2



