I. Approval of the Agenda
II. Approval of the December 2013 Minutes
III. Report from the President of the Senate
IV. Proposal for a School of Pharmacy (K. Kaushansky)
V. Update on the Middle States re-accreditation (C. Robbins/D. Davis)
VI. The "Great Minds" program (M. Colson; J. Masini)
VII. StartUP-NY proposal (M. Whelan; M. Ryan)
VIII. SUNY Faculty Senate Report (G. Fouron; N. Goodman)
IX. Report from the President (S. Stanley)
X. Report from the Provost (D. Assanis)
XI. Report from the UUP (A. Shertzer)
XII. New Business
XIII. Old Business
XIV. Adjourn
Attachments

3. December Minutes (II)
6: Proposal for a School of Pharmacy and Pharmaceutical Sciences (IV)
17: The “Great Minds” program (VI)
19: Draft Start-UP NY proposal (VII)
82: Senate Response to the Start-UP NY proposal (VII)
85: SUNY Faculty Senate Report (VIII)
95: President’s Report (IX)
University Senate
Minutes
December 2, 2013

I. Approval of tentative agenda: approved.

II. Approval of minutes from November 4, 2013: approved.

III. Report from Senate President (F. Walter)

- Jim Fiore is no longer the Athletic Director and Benjamin Hsiao has stepped down as Vice President for Research in the past few weeks.
- The EC met with Peter Knuepfer, President of the SUNY University Faculty Senate. He is touring all SUNY campuses to meet with governance.
- Holding election today for the President of the Senate which will be President elect for spring semester.

IV. Election of Senate President 2014-2016

- You can only vote if you are a Senator.
- Senate EC has nominated Dr. Edward Feldman who is currently the secretary for the EC.
- Paper ballots will be passed out to senators, counted and the results will be announced at the end of the meeting.

V. Campus Safety (B. Chernow)

- Call the University Police (333) if there is a potential threat or if you see someone in trouble.
- The University Police are located on South Campus in Duchess Hall.
- SB Alert: it is mandatory for students to sign up. It alerts you if there will be inclement weather, if there is danger, etc.
- SB Guardian is designed to augment the campus blue light phone system.
- Clery-reportable crimes for Stony brook has had two year change of -50%.

VI. Introduction of the Chief Information Officer (C. Campese)

- Spent last 15 years as an administrator, teacher and researcher at Penn State University.
- Early observations of SB: excellent leadership, strong appreciation for teaching, learning and research, commitment to student success, outcomes.
- Would like to enhance a culture of operational excellence at SB.
- Create a competitive research computing infrastructure.
- Need to address IT security. Ranked in bottom 50% across SUNY.
- Need to invest in staff development.
- Providing a consistently safe, secure and compliant ongoing CIO blog.
- Would like the opportunity to visit departmental meetings.

VII. Introduction of the Dean of Libraries (C. Constantinou)
• Mission is to provide a gateway to intellectual discovery in support of the University’s missions.
• Strive for academic library centrality and equitable and balanced collection development policies.
• Address the diverse teaching and research objectives of the University.
• Partner with teaching faculty to promote interdisciplinary research and scholarship.
• Looking to strengthen integration of library resources into the curriculum.
• Create opportunities for vested interest through fundraising and “friend-raising”.
• Coordinate policies and practices with DoIT.
• Create a global presence by collaborating: international exchange between Chinese and American libraries. German Librarians visiting from Goethe Institute.
• Diversity grants for traveling exhibits. Special Collections: strategic component to SBU in recognition of the Jacqueline M. Newman Chinese cookbook collection, distinctive collections (maps), digitalization project and faculty creative arts and performances.
• Efficiency and Assessment: working on the edge of ideas and productivity. Examine processes to rational work and work flow. Recruit and invest in library talent and expertise.
• Building for the future: Plan spaces to evolve, flexible/multi-purpose spaces, identify restrictive spaces and plan for enabling space and flexible high technology environment.
• The new Dean’s email address is: library.dean@stonybook.edu.

VIII. President’s Report (S. Stanley)

• The draft of the Strategic Plan has been viewed by over 11,000 people. There were 6,000 unique views. Plan will be helpful with the Middle States Accreditation coming up this spring.
• Continue to have concerns regarding the Federal Government, sequestration and the damage that is has done to higher education. Major concern for capital/critical maintenance.
• An announcement for the Presidential Mini-Grants for Departmental Diversity Initiative will go out in the near future.
• Dr. Benjamin Hsiao will be stepping down as VP for Research effective December 15th.
• People from the Senate body asked the President about Jim Fiore stepping down as Athletics Director. President Stanley does not comment on personnel matters since it is university and state policy.

IX. Provost’s Report (D. Assanis)

• Congratulations to Professors Mitchell and Schwartz on being appointed SUNY Distinguished ranks. Since the program’s inception, SUNY has appointed 975 faculty to distinguished ranks.
• Professors James Bliska, Laszlo Mihaly and Dianna Padilla have been elected fellows of the American Association for the Advancement of Science.
• The University Distinguished Lecture in Science and Engineering will feature Dr. S. James Gates Jr. on December 5th at 4 p.m. in the Wang Theatre.
• The Provost-Student Advisory Group will present a lecture by Michael “Blue” Williams on December 4th at 1:00 p.m. in the Staller Center Main Stage.
X. Report from the East Campus (K. Kaushansky)

- Still a couple of Chair searches going on: final candidates arriving for the Chair of Anesthesiology and the Chair for Radiation Oncology.
- Major effort is going on for curriculum reform in the School of Medicine.
- Groundbreaking took place for the Medicine and Research Translation Building. Architectural model for MART will be on display in the hospital lobby.
- Groundbreaking in the spring for the SB Children’s Hospital.
- Classroom size still a problem.

XI. Report from UUP (A. Shertzer)

- Human Resources will send out an email on how the Stony Brook will do the deficit reduction.

XII. Introduction of the President-Elect

- Fred Walter introduced Edward Feldman as the new President-elect for the University Senate. He will be President of the University Senate beginning in September 2014 with his term ending September 2016. Congratulations Ed!

Meeting adjourned at 5:00 p.m.

Submitted by:

Laurie Cullen
Secretary
A Proposal to Create the School of Pharmacy and Pharmaceutical Sciences at Stony Brook Medicine

Pharmacy as a Profession

While programs differ in structure, schools of pharmacy in the United States vary in length from 4-6 years and all grant the degree of Doctor of Pharmacy (PharmD) to graduates who successfully complete the prescribed course work.

Pharmacy schools prepare students for careers in:
- Academia
- Ambulatory Care Pharmacy Practice
- Community Pharmacy Practice
- Consultant Pharmacy
- Federal Pharmacy - Armed Services
- Federal Pharmacy - Public Health
- Hospital and Institutional Pharmacy
- Informatics
- Managed Care Pharmacy
- Pharmaceutical Sciences/Industry

In all states, pharmacists are licensed by individual Boards of Pharmacy that govern the profession in that state.

Institutions and Programs

As of January 2012, there were 119 U.S.-based colleges and schools of pharmacy with accredited (full or candidate status) professional degree programs and 8 schools with pre-candidate status. The Accreditation Council for Pharmacy Education (ACPE) is the accrediting body that accredits pharmacy programs in the United States.

New York Schools of Pharmacy
- D’Youville College - School of Pharmacy, Buffalo, NY
- University at Buffalo, SUNY - School of Pharmacy and Pharmaceutical Sciences, Buffalo, NY
- St. John Fisher College - Wegmans School of Pharmacy, Rochester, NY
- Albany College of Pharmacy and Health Sciences - Albany, NY
- Long Island University - Arnold and Marie Schwartz College of Pharmacy and Health Sciences, Brooklyn, NY
• St. John’s University - College of Pharmacy and Health Sciences, Queens, NY
• Touro College of Pharmacy, NY, NY

Ranking of Schools of Pharmacy

In 2012 US News and World Report ranked 80 of the colleges of pharmacy that had been in existence long enough to form a basis for assessment. SUNY Buffalo (ranked #17) was the only college of pharmacy in New York State to rank as one of the top 20 schools of pharmacy. Long Island University ranked #77, St. John’s University ranked #62 and Albany College of Pharmacy ranked #58. New York colleges of pharmacy are currently some of the lowest ranked programs in the country. The Stony Brook SPPS proposes to fill this quality gap for the State of New York.

All of the top 10 schools of pharmacy are highly interactive with schools of medicine and are all part of State Universities, so Stony Brook University fits the right demographic.

Statistics

• First professional degree enrollment of US Schools of Pharmacy ranged from 53 to 1,961 students per college or school in fall 2011; these institutions reported an average application to enrollment rate of 7:1 for admission.
• Total first professional degree enrollment was 58,915 in fall 2011.
• The total number of PharmD graduates is increasing, along with all other healthcare professions; the US Bureau of Labor Statistics projects a 25.4% employment growth between 2010 – 2020, which will add ~70,000 new positions.
• Suffolk County currently has 10% fewer pharmacists per capita than the NYS average, despite our geographic challenges, the growing population in the county and its aging population, all auguring for more pharmacists. Thus, the Stony Brook SPPS proposes to fill this need gap.

Enrollment Models of Colleges of Pharmacy

There are 3 common models used by Colleges of Pharmacy to accept students into their programs. These models differ with respect to when a student is accepted into the College of Pharmacy.

Zero-Six Programs
Ten Colleges of Pharmacy accept students directly from high school. These programs are called 0-6 programs in that the student is accepted directly from high school. These programs are 6 years in length.

Two-Four Programs
Two-Four programs accept students into their College of Pharmacy only after the student has successfully completed pre-pharmacy courses; generally 2 years of undergraduate class work. Students in these programs are accepted into the “pharmacy pathway” directly from high school but they are not guaranteed a seat in the professional years. Based on grades and Pharmacy College Admission Test (PCAT) scores the student will or will not be granted a seat at the College of Pharmacy.

The student then spends 4 years of study at the College of Pharmacy. Some Colleges of Pharmacy that are part of a university accept students from their own university under programs called “early assurance programs”.

Zero-Four Programs
These programs admit students directly into the pharmacy program after they have completed at least 2 or more years of study from any university. Because of the competitiveness of these programs, many students have a 4-year degree entering the 4-year College of Pharmacy. Some Colleges of Pharmacy either require or prefer a 4-year BS or BA degree before entering their program.

Approximately two-thirds of U.S. Colleges of Pharmacy require the PCAT for admission, a specialized test that helps identify qualified applicants to pharmacy colleges. This test measures general academic ability and scientific knowledge necessary for the commencement of pharmaceutical education. Usefulness of this test to identify successful students is controversial.

The SB SPPS Program
Our School will admit the majority of students following their attaining Bachelors degree (i.e. the 0-4 program). However, we will also hold open seats in each class for exceptional students who, upon applying to any SBU undergraduate college, show particular promise for a career in Pharmacy, and then meet clearly defined goals by the completion of their sophomore year (i.e. an early assurance 2-4 program).

Tuition and Fees
Annual tuition in colleges of pharmacy range from $6,160 for in-state student at Montana State to approximately $42,000 per year in a number of private college programs.
Tuition for the 6 private colleges of pharmacy in NYS averages ~ $35,000; SUNY-Buffalo tuition is $24,567 for in-state students and $45,797 for out-of-state students. Additional fees across the country range from $132 to $9300.

Based on University of Buffalo tuition schedules (which we would adopt), we anticipate the following tuition revenues:

- Year 1 tuition revenue = $1.7M *
- Year 2 tuition revenue = $3.4M
- Year 3 tuition revenue = $5.4M
- Year 4 tuition revenue = $7.7M
- Year 5 tuition revenue = $8.9M
- Year 6 tuition revenue = $10 M
- Year 9 tuition revenue = $11.7M (now at steady state)

* Assumptions: Tuition revenues are before scholarships are awarded; year 1 we admit 50 students and increase by 10 each year to steady state of 100 per class; and we recruit 80% from NY State, 20% from out of State

**Accreditation Council for Pharmacy Education**

The Accreditation Council for Pharmacy Education (ACPE) is the national agency for the accreditation of professional degree programs in pharmacy and providers of continuing pharmacy education.

ACPE has been recognized continually by the U.S. Department of Education since the inception of its accreditation agency recognition program in 1952, and was recognized by the Council for Higher Education Accreditation in April, 2004. ACPE’s stance on the accreditation of new schools of pharmacy has been published in their literature, stating that “manpower issues cannot be considered in accreditation”; their official policy is:

- Accreditation is designed to advance quality – not restrict the market
- Sherman Antitrust Act of 1890 prohibits restraint of competition
- PharmD is a nationally recruited applicant pool with national employment opportunities
- Accreditation decisions are based strictly on compliance with the standards
- Consideration of the effect on the marketplace in making accreditation decisions could subject ACPE to prosecution under antitrust laws and, potentially, jeopardize ACPE’s recognition by the U.S. DOE.
Pharmacist Employment Growth

Bureau of Labor Statistics:
- 25.4% employment growth projected between 2010 - 2020 which will add approximately 69,700 new jobs to support:
  - Aging population
  - Medication therapy management services
  - Increasingly complex medications

- Outlook for pharmacists ranked #3 overall
- Solid employment growth and high median salaries, despite cooling of market in recent years
School of Pharmacy and Pharmaceutical Sciences
Curriculum (based on UB curriculum, but will be subject to the new Dean and Curriculum Committee input)

Year 1:
Biopharmaceutics: Lecture: 3 hours. Workshop: 2 hours. 3.5 units
Biostatistics: Lecture: 2 hours. Conference: 1 hour. 2.5 units
Pharmaceutical Calculations: Lecture: 1 hour. 1 unit
Pharmacy Practice: Lecture: 2 hours. Conference: 1 hour. Workshop: 2 hours. 3.5 units
Physical Chemistry: Lecture: 4 hours. Workshop: 1.5 hours. 4.5 units
Introduction to Pharmacy Pathways and Careers: Lecture: 1 hour. 1 unit
Introductory Pharmacy Practice Experiences: Various settings. 0 units

Year 2:
Pharmacokinetics: Lecture: 3 hours. Conferences: 2. 4 units
Mammalian Physiology I: Lecture: 4 hours. 1-2 hours in lab or conference. 5 units
Endocrine and Immunopharmacology: Lecture: 2 hours. 2 units
Endocrine and Immunologic Agents: Lecture: 3 hours. 3 units
Immunology: Lecture: 3 hours. 3 units
Introductory Pharmacy Practice Experiences: Various settings. 0 units

Year 3:
Therapeutics: Lecture: 5 hours. Conference: 2 hours. 6 units
Applied Drug Information: Lecture: 1 hour. 1 unit
Path 135 General Pathology: Lecture: 3 hours. 3 units
Chemotherapy: Lecture: 2.5 hours. 2.5 units
Advanced Pharmacy Practice Experiences
Various settings. 0 units

Year 4:
Advanced Pharmacy Practice Experiences (APPEs) are offered in hospitals, outpatient facilities and community clinics.
Through APPEs, students apply formal classroom training to the pharmacy practice, developing the clinical skills to function effectively in a variety of practice environments.

Students spend approximately 40 hours a week at their practice sites as part of the clinical curriculum.

The Uniqueness of the School of Pharmacy and Pharmaceutical Sciences at Stony Brook Medicine

Our pharmacy school will be the preeminent school of pharmacy designed to transform human health through innovations in education, practice and research.

Uniqueness of program:

1. With the increasing prevalence of chronic diseases, advancements in health care technology and growing complexity of health care delivery, the need for coordination and integration of clinical care through a multidisciplinary approach has become essential. Currently both the Institute of Medicine and the American College of Pharmacy Practice have called for an interdisciplinary approach to provide appropriate coordination of treatment involving multiple health care professionals and clinical settings to provide optimal patient centered care. The development of a Doctor of Pharmacy Program that provides inter-professional education will enhance the learning environment of all health degree programs.

2. A number of assets already exist at SBU not found in most other Schools of Pharmacy, especially those in New York State, and include a) a strong history of pharmaceutical invention (e.g. ReoPro, Periostat, Xiaflex), b) the Institute for Chemical Biology and Drug Development, 3) Stony Brook University Hospital has established an accredited PharmD residency program, which could easily expand, c) by developing a PharmD program with a direct avenue into a pharmacy residency, Stony Brook Medicine will develop leaders in pharmacy education, research and practice, and d) because the University has multiple health programs, there is the potential to develop several dual degree programs (e.g. Pharm.D/MBA, Pharm.D/MPH, Pharm.D/MD, Pharm.D/PhD).

3. The development of leaders in pharmacy education, pharmacy practice, and pharmaceutical sciences will make a difference on human health
Developing a Doctor of Pharmacy program with a direct avenue into a pharmacy residency will further develop leaders of pharmacy for the future.

4. Due to the complexity, number and sophistication of medicinal products, our program will be designed to provide precise and sophisticated therapeutics aimed at improving the effectiveness and safety of medication use with the goal of improving health and well-being of patients in an ever changing health care system.

5. One of the great virtues of creating a School of Pharmacy and Pharmaceutical Sciences at Stony Brook is the incredibly rich academic environment the new faculty of the School will find. The basic pharmacological science research performed in the School of Medicine Department of Pharmacology is just the start; the Institute for Chemical Biology and Drug Development, the medicinal chemistry interests in the Department of Chemistry, and the track record of innovation of faculty members in the Department of Biomedical Engineering are but a few additional examples. Hence, the goals of our faculty recruitment will be weighted towards pharmacological scientists (hence the second half of the name of the new school) with a track record of research success.

Steps We Need to Take

The development of a new college or school of pharmacy is a multistep process that lasts several years. We will be required to meet with ACPE staff members for guidance; receive on-site evaluations; submit reports on the development of the program; appear before the ACPE Board of Directors to discuss progress; and respond to the actions and recommendations of the ACPE Board. Once the ACPE Board has granted pre-candidate status, the U.S. Department of Education requires that a new program meet all requirements for full accreditation within 5 years.

Initial Steps

- Form initial group to work on project full-time
- Recruit and hire a dean
- Recruit and hire a leadership team

Faculty/Staff Resources Needed

- Dean - $250,000 - $300,000
• Associate Dean $200,000 - $250,000
• Assistant Dean of Student Affairs $150,000 - $175,000
• Chair of Clinical Department $150,000
• 10 Clinical faculty $120,000 each
• Clerical Support - $80,000 ($40,000 x 2)

We will propose to the SUNY Provost that the costs of the initiating administration and faculty be borne by SUNY, until tuition begins to offset the salary costs. By assuming that the dean is hired by summer 2014, the associate and assistant deans by summer 2015, the faculty and staff by summer 2016 and the first class of 50 students matriculate in Fall 2016 (once MART is completed to provide classroom space), we predict we will need ~$6M of start-up funds until the tuition revenue in AY2018 begins to pay for the faculty salaries and other expenses

Infrastructure Resources Needed (to begin)

• Pharmacy practice Laboratory- computers, dispensing areas, software, counseling rooms - $250,000
• Compounding Laboratory- Laminar flow hoods, balances, products $250,000

We will propose to the SUNY Provost that the costs to remodel and outfit these two temporary teaching laboratories be part of the start up costs of the new School of Pharmacy. Approximately 2000 sf of space will be needed, and will be provided within the health sciences complex, space made available by faculty laboratories that are vacated by moves to the new MART building in Spring 2016.

Infrastructure Resources Needed (steady state)

• ~113,000 sq ft teaching and research facility ~$95M
The construction of a new 113,000 sf building to permanently house the Stony Brook SPPS will be proposed to the State Legislature as a capital request, along with other potential supporters (Federal, philanthropic). The building will allow several moves, that provide additional research space in the Life Sciences Building, as the Department of Pharmacology moves to the SPPS building, the Department of Microbiology and Genetics moves into newly remodeled space vacated by the Department of Pharmacology, and the Departments of Biochemistry, Neurobiology and Biomedical Engineering expand into the space vacated by the Department of Microbiology. All of these costs should be borne by the State of New York and SUNY.

We do not believe we require a significant investment in library resources, as a current analysis of pharmacology and pharmacy journals available through the health sciences library includes:

**PHARMACOLOGY and PHARMACY Books & Journals Collection:**

<table>
<thead>
<tr>
<th>Collection</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>BOOKS (QV) 1904-2012</td>
<td>2813</td>
</tr>
<tr>
<td>Total Online and Print Journals</td>
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<tr>
<td>Total Online Journals Accessed:</td>
<td>522</td>
</tr>
<tr>
<td>active/current</td>
<td>372</td>
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<tr>
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<td>36</td>
</tr>
<tr>
<td>cancelled / ceased</td>
<td>114</td>
</tr>
<tr>
<td>Print Only Titles (All- Cancelled or Ceased)</td>
<td>59</td>
</tr>
<tr>
<td>Print+Online (counted with online journals):</td>
<td>44</td>
</tr>
</tbody>
</table>
Closing Points

• Every school of pharmacy in the United States is filled to capacity including those that are in candidate status.
• Every school of pharmacy in New York State has well over 20 applicants per seat.
• Every school in New York State (except SUNY Buffalo) has tuition rates of over $35,000.
• We will fill our first class within weeks of the announcement that we are accepting applications.
The Stony Brook Office of Alumni Relations is pleased to announce a new program designed to get more faculty members engaged with our alumni world-wide. Taking advantage of your travel schedules will allow us to reach more alumni in meaningful ways around the world. The new program is called the Stony Brook Faculty “Great Minds” Series.

We invite faculty members to consider connecting with alumni around the country and world during your business travel to conferences, academic or corporate presentations, or while on sabbaticals. Stony Brook alumni live in just about every corner of the globe and they are very interested in connecting with faculty and students. If you are willing to meet with our alumni, we are looking to partner with you!

The Great Minds program is intended to provide faculty maximum flexibility and facilitates casual small group discussions between individual faculty members and alumni of all academic and professional backgrounds. During the program faculty are asked to talk about their work, Stony Brook today, and will help our alumni get reengaged with their Alma Mater. In addition it will offer a means for alumni to connect with each other and the University.

How to Participate:
• We need at least three weeks notice before your travel date, a time when you are available to meet with alumni, the most convenient location for you to meet with alumni. For example, you are attending a conference in Dallas, Texas on August 1-3 and you have time between 3 and 5 p.m. at the Dallas Hotel to meet with any alumni for coffee.
• If you are presenting at a conference, we would like to know more about your presentation so we can inform alumni about your work.
• We can also invite alumni to your existing presentations if open to the public. For example, there may be an existing lecture you are giving at another University where can invite alumni in the region to attend.

Communication:
The alumni office will invite alumni via e-mail, publicize your meeting on our web, social media sites, and Stony Brook Matters (The monthly alumni e-newsletter.). We will develop an RSVP list and background summaries for you prior to your meeting. We will cover the costs of the event.

We will work with you to send out a thank you note to all attendees.

Logistics:
Wherever necessary, the alumni office can assist in event or location logistics. The idea is to partner on existing travel plans and fit easily into your schedule. Meetings may last 30 min. to 90 min. depending on the size of the event and interest of the attendees.

Interested in the Alumni Association’s Great Minds Series? Contact: Janet Masini in the Office of Alumni Relations at: 631-632-6212 or via email at: janet.masini@stonybrook.edu
Post event follow up:
We ask faculty members to return an “alumni sign-in sheet” from the event and share with us any meaningful discussions or interests that came out of meeting with our constituents. Our goal is to keep alumni connected with the University. We ask that you provide us with an email summary of your conversations, observations and any information that you deem important so that we can keep attending alumni engaged after your meeting.

Knowing the interests and expectations of our alumni can prove invaluable to us. You are our conduit to alumni, so we would be interested in a post-event de-brief.

If someone has a phone camera, we would like to have a group photograph to post on our web site of you and attending alumni by name and graduation year.
To: SUNY Chancellor

From: Samuel L. Stanley, Jr., MD

Re: SUNY Stony Brook University's Campus Plan for Designation of Tax-Free Area(s) ("Campus Plan")

Date: January 10, 2013

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

__________________________
Signature of campus President
Samuel L. Stanley, Jr., MD

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

__________________________
Proposal Review Team Co-Chair

[insert Co-Chair's name]

[insert Co-Chair's name]

For SUNY Office of the Chancellor:
The attached Campus Plan is hereby [approved/rejected] for campus submission to the chief executive officer of the municipality or municipalities in which the proposed Tax-Free Area is located, local economic development entities, the applicable campus governance bodies, union representatives and the and the NYS Commissioner of Economic Development.

__________________________
Signature of the Chancellor or designee

[insert Chancellor or designee name]
To: Mr. Kenneth Adams, NYS Commissioner of Economic Development
From: President Samuel L. Stanley, Jr., MD of SUNY Stony Brook University
Re: SUNY Stony Brook University’s Campus Plan for Designation of Tax-Free Area(s)
Date: January 10, 2013

I, President Samuel L. Stanley Jr., MD, of Stony Brook University 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 (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); 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.) the proposed Tax-Free NY Area(s) has not been financed with any tax-exempt bonds and, therefore, will not jeopardize the tax-free status of the CAMPUS; OR the proposed Tax-Free NY Area has been financed with tax-exempt bonds and appropriate documentation deeming that the designation of the Tax-Free NY Area(s) will not jeopardize or conflict with any existing tax-exempt bonds used to finance any property of CAMPUS is enclosed; and

e.) (INCLUDE ONLY WHERE THE PLAN INCLUDES LAND OR SPACE LOCATED OUTSIDE OF THE CAMPUS BOUNDARIES) we 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 displaced 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 application is accurate and complete.
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 AutoCAD rendering of proposed tax-free area on a scaled campus map and/or campus map shaded to indicate building containing proposed tax-free space
2.) List of property(ies) (see Excel spreadsheet)
3.) POL§74
4.) SUNY Conflict of Interest Policy
5.) If applicable: [RF Conflict of Interest Policy and RF Guidelines for Managing Conflicts of Interest]
6.) [If applicable: Letter from bond counsel or other appropriate documentation]
7.) 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 Stony Brook University
Campus Contact Name: Yacov Shamash
Campus Contact Title: Vice-President of Economic Development and Dean, College of Engineering and Applied Sciences
Campus Contact E-mail: yacov.shamash@stonybrook.edu
Campus Contact Phone: (631) 632 - 8380

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.

<table>
<thead>
<tr>
<th>Name: SUNY Stony Brook University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Campus Address: 100 Nichols Road, Stony Brook, NY 11794</td>
</tr>
<tr>
<td>Address(es) of Proposed Tax-Free NY Area(s):</td>
</tr>
<tr>
<td>1. Research and Development Park, 1500 Stony Brook Rd, Stony Brook, NY 11794</td>
</tr>
<tr>
<td>2. Stony Brook Calverton Incubator, 4603 Middle Country Rd, Riverhead, NY 11933</td>
</tr>
<tr>
<td>3. Stony Brook Southampton, 239 Montauk Hwy, Southampton, NY 11968</td>
</tr>
<tr>
<td>4. Long Island High Technology Incubator, 25 Health Sciences Dr, Stony Brook, NY 11794</td>
</tr>
</tbody>
</table>

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

1. Stony Brook University R & D Park located on Stony Brook, Road in Stony Brook, NY is a 246 acre parcel of open land available for development. Reserving areas for buffer and other purposes, designation is requested for a total of 200 acres in the University’s 246-acre R&D Park campus at Stony Brook, connected to world-class students, faculty, medical practitioners, patients, and researchers. It is currently anticipated that planned infrastructure improvements will permit the construction of more than one million sf in total to build out the research park with a mix of industry and campus technology, R&D and support facilities and appropriate amenities. In partnership with one or more developers, new space will be built out to specifications in response to demand from StartUP NY designated companies.

A $2M award received in Round Three of the Regional Economic Development Council process will provide partial support for the design of the first of these new buildings, envisioned as a 200,000 sf multi-tenant, multi-industry sector facility, to be built through a partnership with a private developer.
There are also three existing buildings located on this space including the Center of Excellence in Wireless and Information Technology (CEWIT), the Advanced Energy Research and Technology Center (AERTC) and the Research and Support Services Building (RSS).

1a. New York State Center of Excellence in Wireless and Information Technology (CEWIT) has approximately 50,000 sq ft of office space and dry lab space which can be made available and Stony Brook seeks to use it for approved StartUP NY companies. CEWIT is mandated to sustain and enhance New York’s global leadership position in the ongoing information technology revolution. CEWT partners with technology leaders — Motorola and CA Technologies have established Innovation Center’s onsite — and nurtures the pioneers of the future. Stony Brook seeks to utilize space as it becomes available for approved StartUP NY companies.

1b. New York State Center of Excellence in Advanced Energy Research and Technology Center — The AERTC supports the NSF Industry University Cooperative Research Center in Bioenergy R&D; major energy storage labs headed by a National Medal of Technology winner, and DOE SmartGrid Demonstration Project research laboratories for grid cyber-security and energy modeling and forecasting, and programs in energy harvesting. There is approximately 12,500 sq ft of space which can be used for Start UP NY as it becomes available.

1c. Research and Support Services Building — With 45,000 net sq ft, RSS currently houses administrative support and processing for the university. There is approximately 5500 sq ft of distributed space finished and appropriate for dry lab or office space.

2. Stony Brook Calverton Incubator — A 50-acre site currently occupied by a 24,000 sf facility accommodating biotechnology, advanced materials, software, and electronics companies. It also includes an 8,000 sf shared use food processing area that serves the food production industries of Long Island’s East End, New York’s largest agricultural county by crop value. Stony Brook proposes partnering with a private developer to build out a portion of up to 40 acres of the remaining acreage consistent with the mission of the University, the Calverton Incubator and local needs. Located on Middle Country Rd, in Calverton NY this property is supported by local sewer and water and located 7 miles east of Brookhaven National Lab.

3. Stony Brook Southampton — An 82 acre campus located in Southampton, NY, Stony Brook Southampton has a waterfront research lab for marine sciences and scientists as well as other existing classroom and student service buildings. Stony Brook proposes designation of Atlantic Hall, currently unoccupied, as a location for StartUP NY companies. The campus is situated between Route 27 and Montauk Highway in Southampton, and supports graduate and undergraduate programs in the fine, digital and performing arts, marine sciences, and health care. There is approximately 12,000 net sq ft of available space in Atlantic Hall. The first floor has approximately 5900 sq ft of finished space available for dry lab or office space. The lower level is roughly constructed with just over 6,000 net sq ft of available space (unfinished).

4. Long Island High Technology Incubator — An approved NYS incubator, LIHTI has approximately 68,500 sq ft of space for dry or wet lab for use by StartUP NY companies as vacancies occur.

ii. Provide a clear boundary of each proposed site drawn in AutoCAD on a scaled campus map. Two versions should be created, one which included an imbedded layer from Google earth or other aerial photograph of the property. The second version would be without the photographic imagery. Each parcel under consideration must have a unique alpha numeric
identifier, clearly labeled on each plan which will tie to the excel spreadsheet. Details are to be included in the excel spreadsheet attached to this plan. Provide digital files containing Polygon shapefile that delineates area for designation (if available).

See Attached

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

See attached

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

240 acres and 172,500 sq ft of distributed space.

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

In compliance with the statutory constraints on downstate campuses (Sec. 433, 2-a (b)), the types of businesses and industry to be targeted for recruitment as partners include:

- Biotechnology, e.g., diagnostics, therapeutics, biologics, nutraceuticals, cosmeceuticals, and biomedical devices and instrumentation;
- Wireless and Information Technology, e.g., software, network technologies, communications and devices technologies, database, infrastructure and systems technologies, computer visualization and cybersecurity technologies, and medical technologies.
- Advanced Materials
- Smart Grid information technologies, advanced materials and electronic technology products for energy storage, energy harvesting, energy efficiency and conservation, and alternative and renewable sources.
- Electronics, micro-, opto- and nano-electronics and sensor technologies
- Engineering and Remanufacturing Technologies
- Film Post-production
- Process Technologies, including materials and food processing, testing and analysis

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

Stony Brook University has a five-part mission:
- To provide comprehensive undergraduate, graduate, and professional education of the highest quality;
- To carry out fundamental and applied research and intellectual endeavors of the highest international standards that advance knowledge and may ultimately improve the human condition;
- To provide leadership for economic growth, technology, and culture for neighboring communities and the wider geographic region;
- To provide state-of-the-art innovative health care, while serving as a resource to a regional healthcare network and to the traditionally underserved;
- To fulfill these objectives while celebrating diversity and positioning the University in the global community.

For three decades, Stony Brook has embraced as part of its mission the leadership of economic growth through activities that are consistent with its academic and research priorities. Our business assistance and economic development programs include two New York State Centers of Excellence, two New York State Centers for Advanced Technology and the engineering college-based Strategic Partnership for Industrial Resurgence Program.

The industry sectors listed in section 3.) above map closely to Stony Brook's existing research and academic strengths in biomedicine, computer science, advanced computation and applied mathematics, chemistry and materials sciences, physics and electrical, computer, and mechanical engineering. Additionally, they match up with Stony Brook's emphasis on emerging areas in traditional engineering disciplines, including chemical and molecular engineering, and civil and environmental engineering. These programs are enhanced by existing, new, and planned facilities in medical and research translation, computer visualization, big data and high performance computing, energy storage, and grid cybersecurity technologies.

There are also areas of emphasis for research going forward, which provide opportunities for intersection with company R&D needs and suggest potential areas of sub-sector focus for recruitment efforts, which include:

**Biomedicine and Healthcare**: CNS, bioimaging, brain mapping, infectious diseases, diseases related to aging, obesity-related diseases and metabolomics, oncology, big data computing in the biomedical sciences, genomics and personalized medicine, oral health, and minimally invasive medical devices.

**Energy and Environment**: Smart Grid technologies, alternative and renewable energy sources including solar films, biofuels, fuel cells, energy harvesting, device-scale to gridscale energy storage.

**Security and Defense**: Cyber-security and intelligent computing for public safety, gamma radiation detection, self-powered/harsh environment sensors, self-deployable structures, markers for toxin-induced neuropathologies, multiphysics, multiscale reactive fluid and structure interactions.

The alignment of StartUP NY companies with these mission priorities will be facilitated by our comprehensive suite of “Cradle to Fortune 500” business assistance and economic development programs.
5) Provide a description of how participation by those types of businesses in the Program would generate positive community and economic benefits, including but not limited to:

- Increased employment opportunities;
- Increased opportunities for internships, vocational training and experiential learning for undergraduate and graduate study;
- Diversification of the local economy;
- Environmental sustainability;
- Increased entrepreneurship opportunities;
- Positive, non-competitive and/or synergistic links to existing businesses;
- Effect on the local economy; and
- Opportunities as a magnet for economic and social growth.

COMMUNITY BENEFITS AND OUTCOMES

The fundamental goal of StartUP NY is to attract and retain companies that will continue to grow and provide good jobs for New Yorkers. Stony Brook’s StartUP NY program will pursue this goal of increased employment opportunities in the context of the regional vision articulated by Long Island’s Regional Economic Development Council: to make Long Island “a global center for innovation and the model for a knowledge-based suburban economy” founded on a diversified range of innovation-driven industry clusters in the life sciences, information technology, clean energy, defense and homeland security. (Long Island’s Future Economy, November 14, 2011, p.1)

Job growth potential, and the economic multiplier for these jobs, will be a threshold metric for community benefit. However, the most prized companies will show the capacity to drive the growth of these regionally-targeted clusters and help sustain them through technology innovation collaboration with the University and other regional research institutions, and creation of positive linkages with existing businesses. They will also provide leadership for new initiatives in their industry sectors benefitting both the region and the state.

Through efforts including but not limited to the formation of Accelerate Long Island, the region’s unsurpassed concentration of major research institutions — which include in addition to Stony Brook, the only multi-program federal laboratory in the Northeast at Brookhaven National Laboratory, one of the world’s most distinguished private biological sciences laboratories at Cold Spring Harbor Laboratory, and the rapidly growing Feinstein Institute for Medical Research — Long Island has demonstrated a strong commitment to exploiting the products of discovery and invention to drive its economy. Stony Brook’s StartUP NY program will contribute substantially to the fulfillment of that great purpose.

Corporate citizenship will be measured not only by participation in regional entrepreneurship support and STEM efforts — expressions of enlightened self-interest — but also by companies’ contributions to the social health and welfare of the region and all its residents. StartUP-NY provides a magnet and platform for cooperative company recruitment and retention and job creation through collaboration not only between Stony Brook and the Empire State Development Corporation, but also with the region’s IDAs, Regional Technology Development Center and other economic development agencies and with its business organizations — including the Long Island Association, the region’s largest.
LISTnet, representing the powerful information technology sector, and the Hauppauge Industrial Association, supporting one of the East Coast’s largest industrial parks — as a powerful new vehicle for economic growth.

Stony Brook’s programs provide internship, training and research opportunities for students at all levels, graduate and undergraduate, as well as full-time employment opportunities for graduates, and research collaboration opportunities at the frontiers of knowledge for faculty. Our programs also support university researchers to commercialize the products of their discovery and invention, and guidance for the development of new academic programs consistent with the emerging needs of industries at the leading edge of innovation.

Through this platform, Stony Brook’s StartUP NY program will seek to establish the long-term relationships with the companies locating in the campus Start-Up NY area that will keep them here and growing long after the tax benefits that brought them in to the program expire, providing a permanent strong foundation for the regional economy and a source of ever-expanding opportunity for Long Islanders. To further leverage the reach of StartUP NY, Stony Brook will refer companies to other regional campuses, local economic development agencies and ESDC who may not meet our mission but who might meet the mission of another location.

Finally, Stony Brook, which has abundant R&D support and business assistance resources for companies in the biotechnology sector, has agreed to cooperate with Farmingdale State College, which has some 80,000 sf of space suitable for occupants in this sector, including an abundance of wet lab and other pre-clinical R&D space that is expected to be available when the current occupant exits in 2014. This developing relationship will maximize the regional potential for recruiting and retaining companies in this sector in the state and especially in the Long Island region.

In summary, our economic impact is significant — we are the largest single-site employer on Long Island, and our research discoveries have led to new technologies, new drugs and high-tech companies that have saved lives and changed the world. Our incubators have produced successful new companies at a rate five-and-a-half times greater than the survival rate typical of technology startups. We educate large numbers of bright, qualified students, many from low income or diverse backgrounds. We provide experiential educational opportunities for undergraduates and graduates. We have enriched the lives of New Yorkers from Montauk to Buffalo by combining our education, research and discovery with our economic development expertise to deliver our intellectual capital to those who can most benefit from it. But we must do more. And now we can.

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

A description of the process the campus or college will follow to select businesses to participate in the Tax-Free NY Program.

Stony Brook University’s StartUP NY program is overseen by an Executive Committee consisting of the individuals listed below and implemented by the University’s Economic Development Council augmented by the StartUP NY Working Group (membership list at end of this section), representing the campus’ principal state-awarded programs for business assistance and economic development.
Samuel L. Stanley, Jr., President
Kenneth Kaushansky, Sr. Vice-President for Health Sciences and Dean School of Medicine
Dennis Assanis, Provost and Sr. Vice-President of Academic Affairs and Vice-President of Brookhaven Affairs
Yacov Shamash, Vice-President of Economic Development and Dean, College of Engineering and Applied Sciences
David Conover, Vice-President of Research
Barbara Chernow, Sr. Vice-President for Administration
Elaine Crosson, Vice-President for External Relations
Lyle Gomes, Vice-President for Finance and Chief Budget Officer
Matthew Whelan, Vice-President for Strategic Initiatives

The oversight of the senior leadership of the University will ensure alignment with the campus mission. The operational support of the business assistance and economic development programs at Stony Brook will ensure appropriate connections for the companies with the programs that will support them.

The Application Process

The application process is intended to address the novel character of the StartUP NY process, in which the company’s original application becomes the contract defining its alignment with the campus mission. The application will detail the job creation history and potential, along with capital investment deliverables, thereby streamlining a two-way information flow between the campus and prospective StartUP NY applicants, and thus providing ample opportunity for information sharing prior to the official submission of the application. This process will ensure appropriate expectations for both parties.

Because the ESD application focuses on the applicant’s job creation and capital investment commitments and collects no information about the alignment of their activities with the campus mission, the campus proposes to invite applicants to also complete a written informational document that will enable campus reviewers to identify the company’s points of intersection with and capacity to benefit from campus academic and research mission resources. It will also allow the campus to assess each company’s prospects for achieving their business goals, and fulfilling their commitments to StartUP NY in the campus environment.

1. Information Sessions In the first year of the program, monthly information sessions will be held for companies that have previously registered through the online Website or do so after otherwise inquiring about StartUP NY at Stony Brook. At these sessions, the ESDC application and campus information document will be distributed, representatives of campus academic and economic development programs will describe the campus mission and economic development resources and representatives of Empire State Development will explain the job creation and capital investment expectations of the program as well as the penalties for failure to fulfill and sustain them. At this point, a company may be referred to ESDC Regional or Central Office for possible consideration by another campus.

2. Preliminary Submission Companies will submit application and information document in draft form and meet with Economic Development/Working Group and LIRO/ESDC representatives to discuss document content and ask and answer questions. Company may revise either or both application and information document prior to initial campus review. At this point, a company may be referred to other regional campuses, local economic development
agencies and ESDC if they do not meet our mission but might meet the mission of another location. Note: In Q1, a comprehensive review of current tenants in the University’s 106,000 sf of incubator space will be completed and a timeline of prospective “graduates” for submission of StartUP NY applications will be developed for review by the Executive Committee.

3. Initial Review Internal review of draft application by Economic Development Council and Working Group, resulting in tentative recommendation and scheduling of interview.

4. Panel Interview Members of the Stony Brook Executive Committee, Stony Brook Working Group and Economic Development Council appropriate to industry sector and business considerations formally interview company representatives.

5. Report on Interview A report will be reviewed by the Stony Brook Executive Committee, which may recommend submission of application and information document in final form for campus transmission to ESDC as sponsored applicant. The Executive Committee may choose to refer applicant to ESDC for consideration elsewhere.

Evaluation Criteria

1. Fulfillment of the fundamental StartUP NY statutory requirements, including technology industry sector or startup stage of growth, non-competition, and conflict of interest.

2. Financial Soundness and Growth Potential. Documentation of past financial performance as well as future growth projections will be requested.

3. Demonstration of business concepts and goals that further the mission of Stony Brook University and capacity to benefit from campus resources, as shown in the information document, informational meetings and panel interview.

4. Description of business activity and technology/ies to be developed at StartUP NY site, including current market size, future projections, sustainable business advantage.

5. Demonstration of positive economic and community benefits, including alignment with the REIDC regional vision and broader industry cluster impact beyond job creation, as shown in information document, meetings and panel interview.

Economic Development Council/Stony Brook StartUP NY Working Group Members

Advanced Energy Research and Technology Center- Assistant Vice President for Economic Development Jim Smith
Career Center- Director Mariana Savoca
Center for Biotechnology- Director and Distinguished Professor and Chair of Biomedical Engineering Clint Rubin
Center for Corporate Education and Training- Executive Director Pat Malone
Center for Operational Excellence- Director Teresa Goodfellow
College of Business- Dean Manny London
Economic Development Director and Research Professor of Technology and Society- Dr. Ann-Marie Scheidt
Facilities and Services- Associate Vice President Louis Rispoli
Government and Community Relations- Assistant Vice President Michael Arens
NYS Center of Excellence in Wireless and Information Technology- Executive Director Dr. Satya Sharma
NYS Small Business Development Center- Director Dr. Jeffrey Saelens
Office of Technology Transfer and Industry Relations- Director Peter Donnelly
Sensor CAT- Director and Distinguished Professor and Chair of Electrical and Computer Engineering Serge Luryi, Deputy Director Dr. Peter Shkolnikov and Director of Business Development and Entrepreneur in Residence Dr. Lawrence Weber
Stony Brook Incubation Programs- Executive Director Dr. Anil Dhundale
Clean Energy Business Incubation Program- Associate Director of Business Development David Hamilton
Strategic Partnership for Industrial Resurgence (SPIR) Program- Executive Director and Leading Professor of Materials Science and Engineering Clive Clayton and Associate Director Dr. Lisa Chichura
Vice-President for Strategic Initiatives – Dr. Matthew Whelan
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* 1w on campus
2w 1 mile off campus
3w State Asset

** Aventine 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+None asset
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.
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)
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.
*INSERT COPY OF RF CONFLICT OF INTEREST POLICY AND CONFLICT OF INTEREST GUIDELINES (IF APPLICABLE)
Stony Brook Medicine
Administrative Policy
and Procedures

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</tbody>
</table>

Printed copies are for reference only. Please refer to the electronic copy for the latest version.

**Responsible Department/Division/Committee:**

Compliance Committee

**Policy:**

A. A state employee may not receive compensation from outside sources in return for services rendered by him in relation to matters before a state agency where such compensation is contingent upon the action taken by the state agency.

B. A state employee may not receive compensation in any form for appearance or rendition of services by himself or another against the interest of the state in relation to any matters or transaction of business by himself or for another before the Court of Claims.

C. Competitive bidding is required where goods or services in excess of $25 are sold to state agencies by firms or associations in which the state employee has ownership interest of 10% or more.

D. Gifts, whether in the form of money, services, loan, travel, entertainment, hospitality or in any other form or promise, valued at any amount greater than nominal value (defined by the New York State Ethics Commission as greater than the price of the average cup of coffee or soft drink), per gift may not be accepted. Employees should not accept a gift from a disqualified source (defined by the New York State Ethics Commission as
any entity regulated by, negotiates with, is in litigation with, seeks contracts with or has contracts with the State of New York). For example, Pharmaceutical companies are generally considered disqualified sources.

E. Generally, no former state employee may, within two years after termination of his employment with the state, appear before each state agency or render services to any person or firm relating to any cause, preceding or application or other matter before such state agency. No person who has served as a state employee shall, after termination of such state service, appear, practice, communicate or otherwise render services rendered by such former employee in relation to any matter which such person was directly concerned or which he participated during his period of employment. These prohibitions may be waived under special circumstances set forth in the Public Officers Law either by the New York State Ethics Commission, or under special circumstances, when the work requested to be performed is at the request of the Attorney General or his designee.

F. Firms or associations of which the state officer or employee is a member may render certain services to state agencies, provided the profits resulting there from are not shared by the state employee.

G. A state employee may not have direct or indirect interest, financial or otherwise, in any transaction or activity which conflicts with the proper discharge of his duties in the public interest.

H. A state employee should not accept other employment which may impair his independence or judgment in the exercise of his official duties, or pose a conflict in time or interest with his state employment.

I. A state employee should not accept other employment, or engage in any business or professional activity which may require him to disclose confidential information which he has gained by reason of his state employment.

J. A state employee should not disclose confidential information acquired in the course of official duties, nor shall such information be used to further the state employee’s personal interests.
K. A state employee should not use his official position to secure unwarranted privileges or exemptions for himself or others.

L. A state employee should not engage in any transaction as an agent of the state with any firm in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.

M. A state employee should not by his conduct give a reasonable basis for the impression that any person can improperly influence him/her or unduly enjoy his favor in the permanence of his official duties, or that he is affected by the kinship, rank, position, or influence of any party or person.

N. A state employee should not make personal investments in enterprises as per statutes/regulations which he has reason to believe may directly involve decisions by him or which will otherwise create a substantial conflict between his duty in the public interest and his private interest. Additionally, any ownership interest in a competitor, supplier or an entity which refers patients to Stony Brook University Hospital shall be reviewed by the Compliance Officer and/or the Office of University Counsel.

O. A state employee shall conduct himself in a manner which will inspire confidence and trust among the public. Therefore, a state employee should not endeavor to pursue a course of conduct which will raise suspicion among the public that he is likely to be engaged in acts that are a violation of trust.

P. A state employee shall not sell goods or services to any person, firm, association or corporation which is licensed or whose rates are fixed by the state agency in which he is employed. Nor shall any firm or association of which he is a member, or a corporation, in which the state employee directly or indirectly owns or controls a substantial portion of the stock, be so engaged.

Q. A state employee having a direct or indirect financial interest valued at $10,000 or more in any activity under the jurisdiction of a state regulatory agency shall file with the Secretary of State a written statement of such interest.

R. A state employee should not supervise an immediate family member.
S. A state employee shall not use Hospital owned equipment, materials or proprietary information for any outside employment interest.

Definitions:
None

Procedures:
A. Any employee who has direct or indirect financial interest in any entity which does business with Stony Brook University Hospital must report this in writing to his supervisor, department head or deputy director and the Compliance Officer.

B. An employee who has direct or indirect financial interest in an entity which does business with Stony Brook University Hospital may not be in any way involved in deciding whether Stony Brook University Hospital will engage the entity, or how much the entity will be paid.

C. Competitive bidding is required where goods or services in excess of $25 are sold to state agencies by firms or associations in which state employees have ownership interest of 10% or more.

D. Any employee who has a financial interest of more than $10,000 in an entity which does business with Stony Brook University Hospital must, in addition to notifying his supervisor and the Compliance Officer in writing, file the necessary documents with the Secretary of State.

E. Employees who maintain private practices must notify their supervisors in writing and may not solicit Stony Brook University Hospital patients directly for their private practices. Any evidence of the preceding situations should be reported to the Compliance Officer. Referrals to private practices maintained by Stony Brook University Hospital employees may be made only by individuals who have no financial interest in that practice.

F. Employees who work for entities which do business with Stony Brook University Hospital must notify their supervisor and may not receive any "casefinding" fees, and their compensation may not be based on any decision by Stony Brook University Hospital to do business with the
entity. Any evidence of the preceding situations should be reported to the Compliance Officer.

G. Any situations involving a potential conflict of interest which require investigation and further clarification should be referred to the Compliance Officer, or to Counsel’s Office for review as necessary.

**Forms:** (Ctrl-Click form name to view)
None

**Policy Cross Reference:** (Ctrl-Click policy name to view)
None

**Relevant Standards/Codes/Rules/Regulations/Statutes:**
- Public Officer's Law, Section 73 and 74
- 19 NYCRR Part 930
- Public Health Law, Section 238-a
- SBUH Pharmaceutical Representatives policy (MM:0011)
- Standards for Commercial Support of Continuing Medical Education
- Letter dated March 11, 2003 From: Bruce A. Androphy, Attorney, State Ethics Commission, To: Dr. Santo Albano, care of Edward Moretti, Director of Human Resources, Stony Brook University Hospital
- Investigator Disclosure Policy (Conflict of Interest policy, p-209)

These cross-references will supersede this policy in the event of a conflict between them.

**References and Resources:**
None

__________________
Chief Executive Officer
Conflict of Interest Policy

Effective Date: March 15, 2013
Supersedes: Conflicts of Interest Policy pursuant to 95-5 Resolution and the Procedure of Investigating Conflict of Interest Policy
Policy Review Date: February 2016
Issuing Authority: Research Foundation President
Responsible Party: Chief Compliance Officer
Contact Information: (518) 434-7145
rfcompliance@rfsuny.org

Reason for Policy
As Research Foundation Board Members, Officers, and Employees, we hold positions of trust and must act in the best interests of the Research Foundation. We must avoid any activity that impairs or would reasonably appear to impair the ability to perform our duties with independence and objectivity. A conflict of interest arises if our personal relationships, activities, or finances interfere, or appear to interfere, with our ability to act in the best interests of the Research Foundation.

Research Foundation Board Members, Officers, and Employees must incorporate, where necessary and possible, the following rules into their services on behalf of the Research Foundation. Research Foundation Officers and Employees must adhere to the standards outlined in the New York State Public Officers Law Section 74. This policy incorporates the key standards outlined in Section 74.

Statement of Policy
Research Foundation Board Members, Officers, and Employees may not have any interest or engage in any outside activity which results in an unmanaged conflict of interest. To this end, Board Members, Officers, and Employees must disclose their interests and outside activities, and those of a Related Party, which may affect their ability to perform their duties with independence and objectivity. A conflict of interest must be managed so the conflict is reduced or eliminated, and compliance with conflict of interest management plans should be monitored where necessary.

Prohibited Conflicts of Interest
A conflict of interest exists if you or a Related Party has a Financial or Other Interest that will or may reasonably be expected to:

- substantially conflict with the proper discharge of your duties in the Research Foundation's best interests;
- result in the disclosure of the Research Foundation's information that you have gained by reason of your position or authority; or
- impair your ability to exercise independent judgment in the performance of your duties and

Conflicts of Interest Posed By Outside Employment, Investments, or Other Business Activities

As a Research Foundation Board Member, Officer or Employee, you must not make personal investments in enterprises that you have reason to believe may be directly involved in decisions to be made by you or will otherwise create substantial conflict between your duty on behalf of the Research Foundation and your private interest.

If you or a Related Party has a Financial or Other Interest in any business entity, you may not represent the Research Foundation in any transaction with that entity and must disclose the interest in accordance with this policy and the Procedure for Managing Conflicts of Interest.

Procurement of goods or services by the Research Foundation shall be conducted consistent with the Foundation’s established procurement policy.

You may not accept employment or engage in any business or professional activity that will impair the independence of your judgment in the exercise of your duties for the Research Foundation or require you to disclose confidential information that you gained by reason of your affiliation with the Research Foundation.

Prohibition Against Disclosure or Use of Confidential Material for Personal Gain

The Research Foundation prohibits disclosure of information that is confidential to the Research Foundation, acquired by any Board Member, Officer, or Employee in the course of his/her duties, except as required by law or as expressly authorized in writing by an Officer or other designated representative of the Research Foundation.

Board Members, Officers, and Employees may only use such confidential information in furtherance of their duties as a representative of the Research Foundation and shall not use such confidential information to further their personal interests or that of a Related Party.

You must not accept employment or engage in any business or professional activity that will require you to disclose confidential information that you gained by reason of your official position or affiliation with the Research Foundation.

Use of Research Foundation or State Resources

You may not misappropriate the property, services or other resources of the Research Foundation, SUNY, or others, whether for yourself or someone else.

Avoiding the Appearance of Impropriety

Board Members, Officers, and Employees shall not, by their conduct, give reasonable basis for the impression that any person can improperly influence them or unduly enjoy their favor in performance of their duties, or that they are affected by the kinship, rank, position, or influence of any party or person.

You may not use, or attempt to use, your position to secure unwarranted privileges or exemptions for yourself or others.

Similarly, bribery, extortion, and other attempts to exert undue influence are strictly prohibited. The Research Foundation expects Research Foundation Board Members, Officers, and Employees to avoid any conduct that may give the appearance of engaging in acts that are in violation of their trust.

Disclosure of a Real, Apparent, or Potential Conflict of Interest

Board Members, Officers, and Employees must disclose all real, apparent, or potential conflicts of interest for review as described below.
Location, those disclosures should be made to the operations manager or his/her designee in accordance with this policy and the Procedure for Managing Conflicts of Interest. Disclosures are required in three instances:

1. **Annual Disclosures By Research Foundation Board Members, Officers, and Key Employees.** Board Members, Officers, and Key Employees must report Direct or Indirect Financial or other Interests that pose or may pose a real, apparent, or potential conflict of interest on an annual basis. These disclosures must be updated both annually and as new reportable interests are obtained or as new reportable activities occur.

2. **Grant-Related Disclosures.** Principal investigators must follow the policy at their respective campus locations.

3. **Situational Disclosures.** Board Members, Officers, and Employees must report any Direct or Indirect Financial Interest or other activity that may pose a conflict of interest under this policy. Such situational disclosures must be made as soon as practicable after the individual learns of the potential conflict.

When a disclosure is made under this policy, the actual, apparent, or potential conflict of interest will be reviewed pursuant to Procedure for Managing Conflicts of Interest. If a conflict of interest is found to exist, the Research Foundation must take steps to manage, reduce, or eliminate the conflict of interest. Individuals may appeal determinations with which they disagree. Please consult the Procedure for Managing Conflicts of Interest for more information.

**Violation**

In addition to any penalty contained in any provision of law or federal or state policy, individuals who knowingly and intentionally violate any of these provisions may be subject to action by the Research Foundation. For employees, this may include action under the Research Foundation’s progressive discipline policy, including suspension or termination from employment.

**Recordkeeping**

The operating location operations manager must designate an appropriate office of record and must ensure that records related to the disclosure, review, and management of a potential, apparent, or actual conflict of interest are retained and documented. In addition to any recordkeeping process established by the operations manager, all final determinations or management plans must be included in the personnel file of the individual with potential, apparent, or actual conflict of interest.

At the central office, the chief compliance officer must ensure that records related to the disclosure, review, and management of a potential, apparent, or actual conflict of interest for all disclosures, at the central office or otherwise brought to the attention of the chief compliance officer, are retained and documented. In addition to any recordkeeping process established by the chief compliance officer, all final determinations or management plans must be included in the personnel file of the individual with potential, apparent, or actual conflict of interest.

**Campus Policy**

An Operating Location may adopt a policy no less restrictive than this Policy. If a local policy is adopted, then a copy of that policy must be filed with the RF’s chief compliance officer.

**Staffing Services**

Employees employed by the RF under an agreement or contract, other than the 1977 Agreement between the RF and SUNY must adhere to the conflicts of interest policy in place by the entity the employees are employed to support. In the absence of a policy, the conflicts of interest policy effective at the associated operating location must govern.
Responsibilities
The following table outlines the responsibilities for compliance with this policy:

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

Definitions

*Board Member*: A member of the Research Foundation’s board of directors.

*Direct or Indirect Financial or Other Interests*: Financial or Other Interests held by the Research Foundation Employee or by their spouse, domestic partner, significant other, family member, dependent, member of household, or business partner.

*Employee*: Officers, Key Employees, and any individual compensated employee of the Research Foundation.

*Financial or Other Interests*: Shall include, but are not limited to, the following:

- ownership or investment in any outside enterprise;
- serving as a director, officer, partner, consultant, broker, agent, or representatives of any outside enterprise;
- outside professional activity; or
- outside employment.

*Key Employee*: A “Key Employee” for purposes of this Policy includes:

1. Vice presidents;
2. Operations managers;
3. Deputy operations managers;
4. Chief research officers;
5. Technology transfer directors;
6. Sponsored program office directors or equivalent;
7. Other appointed officers
8. At the central office:
   a. Vice presidents
   b. Senior directors;
   c. Assistant Vice-Presidents; and
   d. Directors;
   e. Other appointed officers; and
9. Any other persons who have procurement authority equal to or
exceeding $100,000 per transaction.

**Officer:** An officer elected under the Research Foundation's bylaws, including the Research Foundation's president, general counsel, secretary, and chief financial officer and those appointed pursuant to Article IV Section 13 of the RF's bylaws as appointed officers.

**Operating Location:** Research Foundation office located at a SUNY campus location or other SUNY location supporting the Research Foundation mission and SUNY operations overseen by an operations manager.

**Operations Manager:** An individual appointed to the position of operations manager by the Research Foundation.

**Principal Investigator:** Primary individual(s) in charge of a research grant or other project administered by the Research Foundation. The term "Principal Investigator" includes those individuals serving as co-principal investigators.

**Related Party:** A Research Foundation Employee's spouse, domestic partner, significant other, family member, dependent, member of household, or business partner.

**Research Foundation (or Foundation or RF):** The Research Foundation for The State University of New York.

**Related Information**
- Management of Conflicts of Interest Procedure
- Managing Conflicts of Interest Guidelines
- NYS Public Officer's Law Sections 73 & 74
- Conflicts of Interest in Public Health Service Sponsored Programs
- Nepotism Policy
- Gifts to Employees from Non-RF Sources Policy

**Forms**
- Conflict of Interest Annual Disclosure Statement
- Conflict of Interest Situational Disclosure Statement

**Change History**

<table>
<thead>
<tr>
<th>Date</th>
<th>Summary of Change</th>
</tr>
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<tbody>
<tr>
<td>December 7, 2012</td>
<td>Clarifies who is required to disclose conflicts, how, and when. Also allows for locations to use their own conflicts of interest policies and procedures, provided the policy is submitted to the compliance office and is no less restrictive than RF policy. Effective 3/15/2013</td>
</tr>
</tbody>
</table>
Feedback
Was this document clear and easy to follow? Please send your feedback to webfeedback@rfsuny.org.

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Statement on Research Integrity
The State University of New York
March, 2013

The value of research for human society, and the trust that the public places in science and the scientific and technological process, are vitally dependent on research integrity.  

The State University of New York (SUNY) and the Research Foundation for SUNY (RF) are committed to excellence, objectivity, accountability, professional courtesy, fairness, good stewardship, and – above all – integrity in the conduct of scholarly research.

Research university systems, such as SUNY, are special places where knowledge creation through research and scholarship expands and enriches the process of knowledge dissemination through teaching and learning, each component acting together to amplify the co-benefits for people and society. It is in such institutions that the “leaders of each new generation are nurtured; it is there that boundaries to our existing knowledge are explored and crossed; it is there that unfettered thinking can thrive and unconstrained intellectual partnerships can be created. It is there, within each new class, within each new generation, that the future is forged.”

It is a privilege to be able to conduct research and scholarship at SUNY and connect these vital activities with the academic and public service missions of the system. In this light, the research process itself must be transparent and our researchers must take responsibility for assuring the trustworthiness of their research. Freedom of inquiry, openness to new ideas, a love of learning, and a commitment to rigorous study are the necessary components for first-class research and scholarship. SUNY researchers should not avoid difficult or controversial areas, since it is often in these areas that the greatest societal contributions are made. It is professional integrity that allows such new scholarship to be debated, criticized, attacked, defended, digested, and accepted by the scientific community and society, thereby adding to the corpus of human knowledge. When properly exercised, academic freedom, and the concomitant commitment to rigor and excellence, yields the knowledge base on which tomorrow’s society depends.

SUNY seeks to reaffirm and maintain its full commitment to integrity in research. This commitment will incorporate regular review and update of existing policies with the following principles in mind.

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1 Singapore Statement on Research Integrity, 2nd World Conference on Research Integrity, 21-24 July, 2010, Singapore
http://www.ncs.org/singapore2010

2 Scientific Integrity: Presidential Memorandum for Heads of Executive Departments and Agencies, the White House, March 9, 2009

3 Duderstadt, James, J. et al., A University for the 21st Century, University of Michigan press, 2003, p324
1. Integrity: Researchers and scholars should take responsibility for the integrity of their work and results. Campus and system administrators should take responsibility for the formulation and implementation of policies related to research integrity.

2. Compliance with regulations: Researchers and scholars should be aware of and comply with regulations and policies related to research.

3. Research methods: Researchers and scholars should employ appropriate research methods, base conclusions on critical analysis of the evidence and report findings fully and objectively.

4. Transparency: Basic research should be open to review and vetting. Known potential conflicts of interest should be disclosed along with funding sources and affiliations.

5. Independence: Researchers must be free of undue outside influence when conducting or reviewing research. Many science and technology issues are closely related to and may influence a number of public policy issues and priorities, making "high quality objective scientific advice" vital and in the public interest.

6. Free and Open Communication: SUNY researchers and scholars are free to express their personal opinions in areas of particular expertise, so long as it is clear those opinions are theirs and not SUNY's or the RF's. This is true no matter how controversial the subject, even if there are public policy implications. When engaged in public discussions about the importance and application of their research findings, researchers should clearly distinguish professional comments from opinions based on personal views. In their outside communications, employees have an obligation to indicate that they are not institutional spokespersons.

7. Authorship: Researchers and scholars must have the ability to review, comment, and amend a final version of a document or publication that relies on their research or represents their scientific opinion. Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. Lists of authors should include all those and only those who meet applicable authorship criteria. All authors must review and approve the document prior to submission. All those (including funders) who made significant contributions (but do not meet applicable authorship criteria) should be acknowledged in publications and reports.

8. Information Sharing: Sharing information and research data is a key component of the scientific process. Researchers should keep clear, accurate records of all research in ways that will allow verification and replication of their work by others. Researchers should share data and findings openly and promptly, as soon as they have had an opportunity to establish priority and ownership claims. Researcher should be aware of and comply with policies with regard to disclosures, patents and intellectual property rights.

9. Peer Review: Unbiased peer review is essential in research and provides for credibility and important quality assurance for the many stakeholders involved. Researchers should provide fair, prompt, and rigorous evaluations and respect confidentiality when reviewing others' work. Researchers should not claim that a piece has been peer reviewed if accepted disciplinary norms and standards have not been followed.

10. External Pressure and Biases: Undue external pressure must be absent from the research process. Scientists and researchers must be protected from undue external pressures from private and public sponsors, government officials, and university administrators.

11. Conflicts of Interest: Policies and procedures governing disclosure and management of conflicts of interest must be well developed and rigorously observed. Researchers should disclose financial and other conflicts of interest that could compromise the trustworthiness of their work in research proposals, publications and public communications, as well as in all review activities.

12. Misconduct Allegations: Allegations of fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results must be reviewed pursuant to applicable policies. Individual whistleblowers must be protected from retaliation. When misconduct or other irresponsible research practice is confirmed, appropriate actions should be taken promptly, including correcting the research record.

13. Protecting Human Subjects and Humane Use of Animals: All researchers must protect the rights and welfare of any human research subjects and must obtain prior approval from their Institutional Review Board for such work to go forward. All research on animals must be conducted in a humane manner. Researchers planning to use live vertebrate animals for research or education must obtain prior approval from their Institutional Animal Care and Use Committee.

14. Scientific Basis for Public Policy and Discourse: When researchers or scientists have reason to believe that policy makers may utilize their research or publications as the basis of supporting or rejecting a policy initiative, researchers and the university should make every effort to present or disclose information related to the underlying research, the findings, the scientific approach and process used to develop the underlying scientific information.4

15. Research Environments: Research institutions should create and sustain environments that encourage integrity through education, clear policies, and reasonable standards for advancement, while fostering work environments that support research integrity.

16. Societal Considerations: Researchers, scholars and the SUNY institutions that support them should recognize that they bear an important ethical obligation to appropriately weigh societal benefits against risks inherent in their work. This is especially important in areas that touch on public health and safety.

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4United States Department of Agriculture, Secretary's Memorandum 1074-001, USDA Scientific Integrity Policy p2.
Policies - University Policy Manual - Stony Brook University

P209: Investigator Conflict of Interest Policy

Issued by:
Office of the Vice President for Research

Updated:
August 24, 2012

I. Background and Objectives:

Stony Brook University as a community and as a public institution of higher learning is committed to promoting the highest quality research and creative activity. In meeting this commitment, the University encourages interaction of its members (faculty, administrators, students, staff and fellows) with the public and private sectors as an important component of its educational, research and public service missions. External support through grants, contracts and gifts from public and private sources is necessary to provide significant assistance and direction for University activities. Professional interactions with public agencies, private businesses, non-profit organizations and individuals advance the University’s ability to provide research and educational experience for our students, contribute to the economic well-being of our community, and add to our store of knowledge and understanding. Similarly, technology transfer in the form of patents, licensing agreements, and consulting opportunities for University members are important means of meeting the needs of society and fostering the welfare of the citizens of the State of New York.

The University and its members, in pursing their teaching, research and public service missions, are committed to meeting the highest ethical standards and to minimizing the risks of conflict of interest or the appearance of conflict of interest between the private and the public interests the University serves. As part of this commitment, the University and its members share an obligation to protect the University’s mission and reputation from being compromised by private interests. Furthermore, the University must operate with policies consistent with various federal funding agencies.

To this end, disclosure by investigators at the University of outside personal interests and obligations, and effective management of actual or apparent conflicts of interest are essential.

II. Statement of Policy:

The responsibilities and obligations of Investigators at the University must be clearly separated from personal financial interests or other obligations. Prudent stewardship of public funds requires protecting University research, education and public service from being compromised by the private interests or obligations of any Investigator.

This policy sets forth requirements and guidelines for:

- disclosure of outside interests by Investigators at Stony Brook University who engage in University activities funded by specified internal and external entities;
- review of Investigator disclosures by University officials; and
- identifying, reporting and managing conflicts of interest.

III. Applicability:

This policy applies to Stony Brook University faculty, staff or students who serve as investigators (as defined below) in:

a. any and all externally supported activities for University programs, projects, activities and services, solicited and unsolicited, including gifts and donations specifically made to support the activities of identified individuals and
b. Internally supported activities, where support is granted following formal application to an SBUR program in response to a request for proposals (for example, Targeted Research Opportunity “TRO” Grants)

Note: Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) applications are exempt from the additional specific requirements referenced in this policy pertaining to NIH activities. SBUR Investigators on such applications are NOT exempt however, from any other requirements (e.g., disclosure, need to comply with management plans, etc.) set forth in this policy.

IV. Definitions:

A. Conflict of Interest:

Conflicts of interest in the conduct of externally and applicable internally supported activities, may take various forms, but typically arise when an Investigator at the University is, or may be, in a position to influence activities or University decisions in ways that could lead to personal gain for the Investigator or the Investigator's family, or give an improper advantage to third parties in their dealings with the University. Conflicts may also arise when Investigators have outside obligations of any kind that are in substantial conflict with the Investigator's University responsibilities or the public interest.

1. The potential for conflicts of interest may arise from Investigator:
   a. specific actions (e.g., consultant arrangements), or
   b. the nature of positions they hold at the University and outside the University (e.g., board positions, paid or unpaid), or
   c. by the financial interests they or their immediate family hold.

2. A conflict can result when:
   a. The significant financial interests of an investigator could directly and significantly affect the design, conduct, or reporting of his or her externally and applicable internally supported activities
   b. An Investigator has a significant non-University obligation to either:
      i. an individual or a private organization that provides support for a University research, educational or public service activity; or
      ii. an organization (or individual) with which (whom) the University has an agreement to provide support for the conduct of a program project, activity or service supervised by the investigator.
   c. The investigator has a consulting arrangement with a business enterprise that either:
      i. supports, or is supported by, University programs involving the investigator; or

ii. is licensed to commercialize University technologies invented by the investigator

C. Financial Conflict of Interest (FCOI):

A significant financial interest (SF; see definition 'G' below) that is related to, and could directly and significantly affect, the design, conduct, or reporting of externally and internally supported activities. The recommendation that an SF constitutes a determination of FCOI is made by SBUs CCI Committee, with final concurrence by the VPR/designee.

D. Institutional responsibilities:

All professional responsibilities and activities for which the investigator was hired to perform, and is paid by, this institution, including but not limited to research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

E. Investigator:

The project director, principal investigator, co-principal investigators and all other person(s) who are responsible for the design, conduct, or reporting of externally or internally supported activities as specifically defined in (a) and (b) of the Applicability section above. Individuals who do not make independent decisions regarding the design, conduct, or reporting of the activity in question, and only work on or are engaged in the activity do not meet SBUs’s definition of an investigator (for example, in most cases research assistants, undergraduates and secretaries will not be considered investigators).

Note:

- For the purposes of this policy, "investigator" shall include the investigator's spouse and all dependent children.
- PHS/NIH only: this definition includes collaborators or consultants.

F. Senior/key personnel (PHS/NIH Only):

The PDR and any other person identified as senior/key personnel in the grant application or contract, progress report, or any other report submitted to PHS/NIH (including those required by this policy) are considered investigators.

Note: this subgroup is specifically defined as these are the individuals for whom the public disclosure requirement addressed below pertains.

G. Significant Financial Interest (SFI):

1. A financial interest consisting of one or more of the following interests of the investigator (and those of the investigator's spouse and dependent children) that reasonably appears to be related to the investigator's institutional responsibilities, i.e., if either the investigator's interests, or the entity in which the investigator has interest, relies upon the same expertise utilized to carry out the investigator's institutional responsibilities as defined above, it is considered an SFI:

   a. With regard to any publicly traded entity, a significant financial interest exists if:
      i. the value of any remuneration* received from the entity in the twelve months preceding the disclosure
         and/or
      ii. the value of any equity interest** in the entity as of the date of disclosure,
         when aggregated, exceeds $5,000.

      *Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);

      **Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

   b. With regard to any non-publicly traded entity, a significant financial interest exists if:
      i. the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or
      ii. the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest);

   c. Intellectual property rights and interests (e.g., patents, copyrights), royalties from such rights, and agreements to share in royalties related to such rights, upon receipt of income related to such rights and interests. At SBUs, all royalties are to be disclosed, including those receivable by the investigator from this institution.

2. PHS/NIH only: investigators also must disclose the occurrence (over the preceding 12 months) of any reimbursed travel or sponsored travel (i.e., that which is paid on behalf of the investigator) that is related to their institutional responsibilities. In other words, the purpose of the travel relies upon the same expertise used to carry out the investigator's institutional responsibilities as defined in section IV. The disclosure must include the sponsor, destination, duration, and purpose of the travel. Excluded from this requirement is travel that is reimbursed or sponsored by federal, state or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

H. Significant Financial Interest (SFI) Exclusions

- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles;
I. Significant Obligations (SO):

Significant obligations include unpaid positions held as an officer, trustee, director, employee or consultant of a for-profit or not-for-profit entity, that would reasonably appear to directly and significantly affect (i.e., have a relevant and consequential effect on) the work funded or proposed by the University for external and selected internal funding.

J. Stony Brook University (SBU):

In this policy, the term Stony Brook University includes all Schools and Centers within the State University of New York at Stony Brook, the Research Foundation for the State University of New York as it relates to the Stony Brook University, the Stony Brook Foundation, Stony Brook Medicine (including University Hospital), and the Long Island State Veterans Home.

K. Vice President for Research (VPR) serves as the Designated Institutional Official for this policy and shall be taken to include his/her appointed designee(s)*. The VPR will:

- solicit & review disclosure statements from each investigator required to submit such disclosures,
- provide guidelines to identify conflicting interests (e.g., see Conflict of Interest definition, above)
- develop management plans that specify the actions that have been, and shall be, taken to manage FCOI

*Designee to the VPR may include:

- Assistant Vice President for Research Compliance,
- Assistant Vice President for Research Operations,
- COI Committee (appointed by the VPR).

These individual(s)/this committee will be advisory to the VPR and act on his/her behalf on delegated responsibilities pertaining to this policy.

V. Timing of Disclosures:

Disclosures required by this policy are to be made:

- At the time of submission to the Office of Sponsored Program (OSP) of an applicable proposal for funding

and

- Within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance etc.) a new SFI. A new SFI is a different type or nature of SFI [e.g., royalty payment versus consulting fees] than what had previously been disclosed from the same source that meets or exceeds the threshold. In addition, a "new" SFI is also considered to be the same type or nature of SFI [e.g., royalty payment] from a different source (e.g., company A versus company B). For PHS/NIH-funded investigators, applicable travel must be disclosed within 30 days of said travel. Alternatively, travel that is anticipated can be disclosed anytime in advance and would satisfy the 30 day requirement.

and (PhS/NIH Only):

- At least annually, commencing with, and on the anniversary of, the date of award, during the period of award (including notices of awards for continuations or competitive renewals).

VI. Procedure for Disclosure Submission:

A. Investigator Disclosure Forms Part I and Part II

The process described below requires the utmost discretion by all participants. To the maximum extent permitted by federal and state law, and by University policy, all elements of this process are to be treated as strictly confidential. The purpose of confidentiality is to assure that the integrity of the research and the investigator, as well as the interests of the University, are protected at all times. It is for this reason that the disclosure procedure is a two-step process via use of Investigator Disclosure Form (IDF) Part I and Investigator Disclosure Form (IDF) Part II.

These forms are available online at: http://www.stonybrook.edu/research/om/coi-new-regulations.shtml

IDF Part I is a yes/no survey the investigator completes to simply assess if he/she has significant financial interests (SFIs). The presence of this general assessment for all investigators named on a grant proposal is confirmed by the Office of Sponsored Programs (OSP) at the time of submission of the proposal to COEUS. No other review takes place by OSP. The answers provided in IDF Part I are reviewed by the COI Administrator within the COI division of the Office of Research Compliance ("COI/Office") for the presence of SFIs. If SFIs are identified, the administrator waits for the submission by the investigators of the IDF Part II.

If the investigator answers yes to any of the SFI questions on IDF Part I, s/he then completes IDF Part II within seven (7) working days. This document asks for the specific information concerning the identified SFI(s) that, along with the grant proposal, will allow the COI Office and COI Committee to determine if the SFI is an FCOI, requiring review, and development (if possible) of a conflict management plan. This IDF Part II is sent directly to the COI Office so that the details concerning SFIs are available only to that office, the COI Committee, and others on a need to know basis.

B. Procedure for disclosures to be made at the time of submission to the Office of Sponsored Program (OSP) of an applicable proposal for funding (or transfer of funds from Stony Brook Foundation to Research Foundation for research activities) via COEUS:

1. All individuals named on a grant who meet this policy’s definition of “investigator” must complete an IDF Part I and upload it into COEUS with the rest of the proposal documents.

2. Any investigator answering 'yes' to one or more of the questions asked in Section B of that document must complete an IDF Part II and submit it to the COI Office within seven working days.

3. Upon receipt of the proposal, the Office of Sponsored Programs (OSP) will confirm that Part I of the Investigator Disclosure Form has been uploaded into COELIS for all investigators named in the proposal and others as applicable.

PHS/NIH Only: Where the proposal involves sub-recipients, OSP will, as part of the written agreement with the sub-recipient, establish terms regarding whether the FCOI policy of the sub-recipient's institution will apply to the sub-recipient's investigators.

1. If the sub-recipient's institutional FCOI policy will apply to the sub-recipient investigators, the agreement will include a requirement that the sub-recipient's institution must:
   a. Provide certification that its FCOI policy complies with PHS regulations.
   b. Report to the sub-recipient's institution any FCOIs identified by the investigators in a time frame that allows the sub-recipient's institution to report said FCOIs to the NIH as detailed below (Requiring no external sponsorship, for PHS/NIH only).

2. If the sub-recipient's institution does not have an FCOI policy, the agreement will include a requirement that said investigators will submit disclosures to the sub-recipient's institution for review, identification, and handling of FCOIs as required by this policy (including those required only for PHS/NIH activities).

C. Procedures for disclosures to be made within 30 days of discovering or acquiring (e.g., through purchase, marriage, inheritance etc.) a new SFI.

A new SFI is a different type or nature of SFI (e.g., royalty payment versus consulting fees) than what had previously been disclosed from the same source that meets or exceeds the threshold.

1. If information in the IDF's Part I or Part II last provided by an investigator has changed due to the acquisition of a new SFI, he or she has 30 days from discovery/acquisition to file the revised Form I and Form II to the COI Office within the Office of Research Compliance. The investigator should consider all the SFI's that he or she has acquired since the last time of submission. If the SFI is material, it will be reviewed by the COI Committee.

For PHS/NIH funded investigators, although applicable travel not previously disclosed must be disclosed within 30 days of said travel, it should be noted that travel that is anticipated can be disclosed anytime up to one year in advance and would satisfy the 30 day requirement.

D. Procedures for disclosures required at least annually, commencing with, and on the anniversary of, the date of award, during the period of award (PHS/NIH Only)

PHS awards (including notices of awards for continuations or competitive renewals) with issuance date on August 24, 2012 or later require that updated IDFs Part I and Part II (if required) be submitted by all investigators named on the applicable grant at the time of the award. This must be done on the initial issuance date, and on the anniversary of that date thereafter for the life of the award. Submissions are made to the COI Office within the ORC.

VII. Procedure for Disclosure Review:

A. All IDF Part I forms are reviewed by the COI Office for identification of disclosed SFI's. No action is taken on IDF Part I forms where no SFI's are identified. The COI Office will follow up with investigators who submitted IDF Part I with disclosure of SFI's, and who and have not additionally submitted the IDF Part II within the required 7 working days.

B. Where the disclosure process identifies one or more SFI's for a given investigator, the COI Office will create a complete disclosure review package, including all disclosure forms and the grant proposal and plans the investigator to be in a deciding agenda for review by the COI Committee.

C. The convened COI committee will review the SFI's and determine if an FCOI or (confirm that any SO exists (i.e., the SFI or SO could directly and significantly affect the design, conduct, or reporting of applicable activities covered under this policy).

Note: In any such case where human subjects research is involved, the COI Administrator will work with the Office of Research Compliance to ensure that the IRBs are aware of the case being reviewed. The fully convened IRB will conduct independent review of the potential conflict in compliance with its own COI policy, and to ensure the protection of human subjects.

D. For all identified FCOI's and SO's, the COI Committee will develop and implement a management plan. If the University is unable to resolve a real or potential conflict of interest or the appearance of same, it will decline to perform the activity in question. Where human subjects are involved, the IRB may modify and/or add to the management plan. Where there is discrepancy or disagreement, the IRB's decision will supersede that of the COI Committee.

1. Possible management plans include but are not limited to:
   a. Public disclosure of significant financial interests;
   b. Monitoring of research by independent reviewers;
   c. Modification of the research plan;
   d. Disqualification from participation in the portion of the externally funded research that would be affected by the significant financial interests;
   e. Divestiture of significant financial interests;
   f. Severance of relationships that create actual or potential conflicts;
   g. Removal of investigator as Principal Investigator/Project Director;
   h. Appointment of an independent monitoring capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the Potential Conflict of Interest;
   i. Additional remedies specific to the conduct of research involving human subjects, including but not limited to, disclosure in the consent process of the identified investigator and identified conflict, the removal of the investigator's ability to recruit and/or consent research subjects.

2. Documentation of the management plan will include:
   a. The role and principal duties of the conflicted investigator in the research project;
   b. Conditions of the management plan;
   c. How the management plan is designed to safeguard objectivity in the research project;
   d. Confirmation of the investigator's agreement to the management plan;
   e. How the management plan will be monitored to ensure investigator compliance; and
   f. Other information as needed.

E. Recommendations for management plans proposed by the COI Committee will be convey by the COI Administrator to the Vice President for Research or her designee. Once approval is provided by the VPR/designee, the COI Committee will convey the notice of FCOI and associated management plan to the investigator, associated Chair and associated Dean (the VPR will serve in this capacity when the investigator is a dean or vice president, or otherwise conflicted). The investigator must provide concurrence and certification for compliance with the management plan in order for the award in question to be established.

F. For all identified FCOI's and SO's, the COI Committee will monitor compliance with the above referenced plan. Such monitoring will be documented.

http://www.stonybrook.edu/policy/policies.shtml?ID=209
12/12/2013
VIII. Reporting to External Sponsors

A. For PHS/NIH only:
   1. Where an FCOI is found by the CCI Committee, details concerning the FCOI (including management plan) will be reported to NIH via the aRA Commons FCOI Module (see appendix 1 for content of report):
      a. prior to expenditure of any funds under the award,
      b. within 60 days of identifying a new FCOI for an existing investigator, during the period of the award (FCOI must be determined, and management plan implemented within those 60 days)
      c. within 60 days of identifying an FCOI for an investigator who is newly participating in the project
      d. annually report on the status of FCOI and any changes in management plan (Due at same time as annual progress report is submitted, including multi-year progress report, or at time of extension with or without funds)
         These reports are accessible under FCOI.
   2. If upon receipt of the FCOI report, NIH decides that the FCOI will bias the objectivity of research, NIH may impose special award conditions, suspend funding, or impose other enforcement mechanisms until the matter is resolved.
   3. In any case in which NIH determines that an PHS-funded project of clinical research whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an investigator with an FCOI that was not managed or reported by SBU as required by regulation, SBU will require the investigator involved to disclose the FCOI in each public presentation of the results of the research and to request an addendum to previously published presentations.

B. All other external funding agencies with reporting requirements
   1. The VPR/designee will report to the external funding agency/agencies:
      a. Any instances in which the institution finds it is unable to satisfactorily manage an actual or potential conflict of interest, and
      b. Any instances where an investigator participating in externally or selected internally funded research has not complied with this policy, and the specific corrective measures taken by the University.

IX. Appeals

Should an investigator fail to concur with the management plan recommended by the CCI committee, he/she may transmit comments to the VPR within ten working days from receipt of the committee's recommendation. In such a case, the VPR will review the case (which may include seeking the advice of appropriate impartial experts and holding discussions with the investigator and/or the CCI committee) and will render a judgment within twenty working days of the time that the committee's initial recommendation is made known to the investigator. Awards for external and selected internal support of a program, project, activity or service may not be activated by the University unless a management plan is in place or the issue is otherwise resolved.

When the Vice President for Research serves as the reviewer of a disclosure statement (for Deans/VPs) the appeal shall be to the President.

X. Compliance with this Policy

General:

In addition to reporting requirements outlined above, if an investigator is found to have failed to comply with this policy or the means determined to resolve a conflict of interest, the VPR shall report promptly in writing to the:

- President to initiate disciplinary proceedings against said investigator, and
- Assistant Vice President for Research Compliance who will:
  - initiate investigation into matters concerning human subject safety and welfare, and potential regulatory violations, in accordance with federal law governing human subject protections and, if appropriate
  - initiate the processes associated the University’s Research Misconduct policy, if applicable and, if appropriate
  - initiate procedures associated with other relevant University policies, as applicable.

Disciplinary sanctions may include termination or alteration of the employment or academic status of persons against whom charges have been substantiated, and must be consistent with established University and Board of Trustees policies, and applicable collective bargaining agreements. Article 19 of the UUP Agreement shall be the sole source of University discipline for members of the UUP-represented unit. Additional sanctions may be rendered in accordance with applicable University policies (e.g., governing human subject protections, University research misconduct etc.).

Upon completion of disciplinary proceedings, the President shall report to the appropriate University officers or bodies, to cognizant federal agencies when federal funds are involved, and to all other parties as necessary.

Additional Actions Required for PHS/NIH Activities:

Retrospective Review:

Whenever an FCOI is not identified or managed in a timely manner, including failure by the investigator to disclose an SFI or comply with a management plan, or failure by SBU to review or manage an FCOI, SBU will, within 120 days of a determination of non-compliance, complete a retrospective review of the investigator's activities and the NIH-funded research project to determine if there was bias in the design, conduct, or reporting of such research. The following will be documented in the retrospective review:

- Project number;
- Project title;
- P20/P or contact P20/P if a multiple P20/P model is used;
- Name of the Investigator with the FCOI;
- Name of the entity with which the investigator has an FCOI;
- Reason(s) for the retrospective review;
- Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
- Findings and conclusion of the review.
- If results of the retrospective review warrant, update previously submitted FCOI report.

Mitigation Report:

If bias is found through retrospective review, The Designated Official (DIO) will notify the NIH Awarding Component promptly (through the eRA Commons) and submit a Mitigation Report. The following will be documented in the Mitigation Report:

- Key elements documented in retrospective review
- Description of the impact of the bias on the research project
- Plan of action(s) to eliminate or mitigate the effect of the bias

Thereafter, SBU will submit FCIO reports annually as described above in the Procedures section.

XI. Training

Each Investigator must complete SBU’s FCIO training requirement:

- Prior to engaging in research related to any grant and at least every four years, and
- Immediately under the designated circumstances:
  - SBU COI policies change in a manner that affects Investigator requirements
  - An Investigator is new to SBU
  - SBU finds an Investigator noncompliant with Institution’s COI policy or management plan.

XII. Documentation

SBU will maintain records of all Investigator disclosures and the Institution’s review of, and response to, such disclosures (whether or not a disclosure resulted in the Institution’s determination of FCIO or SCI) and all actions under the Institution’s policy or retrospective review (in the case of PHS/NIH funders) for at least three years from the date of submission of the final expenditures report or, in the case of PHS/NIH, from other dates specified in 45 C.F.R. 74.50(b) and 92.42 (b) for different situations.

XIII. Public Disclosure of FCIO’s (PHS/NIH Only)

Stony Brook University will make certain information concerning FCIOs held by senior/key personnel available via a written response to any requestor within five business days of a request, and update such information as specified in the regulations. In response to such request, the Institution will provide:

- Investigator’s name;
- Investigator’s title and role with respect to the research project;
- Name of the entity in which the SPI is held;
- Nature of the SPI; and
- Approximate dollar value of the SPI (dollars ranges will be provided, e.g., $0-34,999; $5,000-$9,999; $10,000-$19,999; $20,000-$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through references to public prices or other reasonable measures of fair market value.

Questions may be directed to:

Assistant Vice President for Research Compliance
Office of Research Compliance
W5530 Frank J. Melville, Jr. Library
2p 3396
Phone: (631) 632-9036
Fax: (631) 632-9839

Appendix 1:

FCIO Reports to NIH will consist of:

- Grant number;
- PD/PI or contact PD/PI;
- Name of investigator with the FCIO;
- Name of the entity with which the Investigator has an FCIO;
- Nature of FCIO (e.g., equity, consulting fees, travel reimbursement, honoraria);
- Value of the financial interest ($0-4,999; $5K-9,999; $10K-19,999; amounts between $20K-100K by increments of $20K; amounts above $100K by increments of $50K); or a statement that the value cannot be readily determined;
- A description how the financial interest relates to NIH-funded research and the basis for the Institution's determination that the financial interest conflicts with such research; and
- Key elements of the Institution's management plan, including:
  - Role and principal duties of the conflicted investigator in the research project;
  - Conditions of the management plan;
  - How the management plan is designed to safeguard objectivity in the research project;
  - Confirmation of the Investigator's agreement to the management plan;
  - How the management plan will be monitored to ensure Investigator compliance; and
  - Other information as needed.
*INSERT OPINION OF BOND COUNSEL OR OTHER APPROPRIATE DOCUMENTATION (TO BE PROVIDED BY SUNY)*
*INSERT EVIDENCE OF TAX-FREE AREA PLAN TO INTERESTED PARTIES
1) Research and Development Park
Stony Brook University
1a) New York State Center for Excellence in Wireless and Information Technology (CEWIT)
Stony Brook Univ.
RESEARCH & DEVELOPMENT PARK
Site Map 2013
Campus Planning, Design & Construction

REvised 1/13-CFN
1b) New York State
Advanced Energy Research Center
(AERTC)
1c) Research and Support Services
2) Calverton Incubator Campus
Stony Brook University
Start Up New York Parcel ID for Spreadsheet 2
3) Stony Brook Southampton
4) Long Island High Technology Incubator (LIHTI)
Working Group to review SUNY Stony Brook University’s Campus Plan for Designation of Tax-Free Areas

Maria Emanuel Ryan        Working Group Chair, Member of CAPRA and Research Committee
Thomas Robertazzi        Member of Research Committee
Deb Dwyer                Member of CAPRA
Shmuel Einav             Member of CAPRA

After a week to review the documents and to share questions with Dr. Matthew Whelan, Dr. Yacov Shamash and Dr. Ann-Marie Scheidt members of the committee met on January 29th to review the Campus Plan and to prepare this document.

General:

The committee was pleased to concur that the draft plan submitted for review is of the highest caliber and appears to be in concordance with the regulations that have been put forth by the State of New York as presented in the cover letter from President Stanley to Mr Kenneth Adams, the NYS Commissioner of Economic Development. The committee does not suggest any substantive revisions to the plan but would like assurances that the informational Website that is being developed for the StartUP NY Program provides updates to the campus community on the progress of this program and be as inclusive as possible to engage all constituents within the University who may benefit from these activities.

Designated Space:

The document states that the areas designated as Tax-Free Areas “will not displace or eliminate any academic programs, offices, housing facilities, dining facilities, athletic facilities, or any other facility, space or program that actively serves students, faculty or staff in order to create vacant land or space to be designated as a Tax-Free NY Area.” The space designated within the document is not located on the West Campus and the majority of the space is within currently designated incubator facilities on East Campus (LIHTI) and in Riverhead (Calverton) as well as within the Research and Development Park. Concerns were expressed regarding designation of space on the Southampton Campus and assurances were made that this was in compliance with the statement highlighted above. In addition, it was made clear that the designated StartUP NY space is not binding, in that if a suitable tenant is not found and if the space is instead deemed suitable for academic endeavors that these opportunities still exist. It is the committee’s opinion that the opportunities for our students to gain experience with industry and to potentially secure jobs, and for faculty and researchers to be exposed to new sources of capital and funding far outweigh any risks for infringement on the academic mission of the University.
Types of Businesses:

The types of businesses chosen to participate in this program are in compliance with the statutory constraints on downstate campuses: Biotech Companies, Wireless and Information Technology, Advanced Materials, Cyber and Security, Smart Grid Information Technologies, Energy, Electronics, Engineering and Remanufacturing Technologies, Film Post-Production and Process Technologies.

These areas are complimentary to current Stony Brook campus initiatives and are reflective of our recent strategic plan with the potential to create innovative ecosystems. We have already demonstrated success in these areas and will be able to attract companies that we can collaborate with indicating a mission driven selection process.

Resources:

Concerns were expressed as to whether there would be drains on already tight resources. Review of the document seems to suggest that the majority of the workload associated with implementing and overseeing StartUp NY will be on the campus administration. The benefit of these administrative efforts would be felt by the faculty who are engaged in the areas of Biomedicine and Healthcare, Energy and Environment, Security and Defense. The committee also anticipates that many additional collaborative and entrepreneurial opportunities beyond those initially outlined within the proposal will be generated as a result of the StartUp NY initiative. The students, both undergraduate and graduate, will have increased opportunities for internships, vocational training and experiential learning. Ultimately, StartUp NY will increase employment opportunities.

The Application Process:

This process is appropriate for this novel program with Information Sessions through the online Website. A preliminary submission of the application with an information document is followed by an initial review which includes meetings with the Economic Development Council/Stony Brook StartUP NY Working Group. The Working Group members include distinguished faculty members and administrators well versed in SBUs strategic initiatives in translational research, technology transfer, business assistance, economic development, government and community relations. The career center will be able to identify opportunities for internships and job placement for Stony Brook students and alumni. Suitable applicants will move on to a Panel Interview including members of both the Working Group as well as the Executive Committee consisting of our senior leadership including the President, SVPs and VPs. The Executive Committee will oversee the StartUP NY Program and the Working Group will implement it. A report on the interview will be generated and reviewed by the Executive Committee. This Committee may either recommend final submission for transmission to the Empire State Development Council as a sponsored applicant, or choose to refer the applicant to other programs on campus or to the Empire State Development Council for consideration elsewhere.
Evaluation Criteria:

Applicants must fulfill fundamental StartUP NY criteria, be financially sound and show growth potential, describe the business activities and technologies to be developed at the designated StartUP NY site. The applicant should also describe the positive economic and community benefits. Most important the applicant should demonstrate business concepts and goals that further the mission of Stony Brook University.

The Institutional Website:

There is a working group that has been invited to participate in the development of this Website which includes Rob Kelly of CAPRA. The Website will not only provide information sessions for those interested in applying but will disseminate information on those applicants that are approved so that the University community will be aware of the new businesses that have been accepted. This Website should be as inclusive as possible and engage other constituents on the University campus who may not have been initially identified as potential collaborators, giving faculty in other areas such as the social sciences and within the business school the opportunity to participate as well. The Website will also keep students and alumni aware of potential educational, internship and job opportunities.
University Faculty Senate –166th Winter Plenary Meeting

January 23-25, 2014—SUNY Albany

Submitted by Georges E. Fouron


Theme of the Meeting: no overarching theme.

Highlights

A) The President’s Report—Peter Knuepfer
B) Executive Committee Report and Introduction Resolutions—Edward Feldman, Vice president/Secretary
C) Nominations Committee meeting for candidates to the post of Secretary
D) Report from Nominations Committee—Edward Feldman, chair
E) Sector Sections
F) SUNY Board of Trustees Chairman H. Carl McCall
G) Diversity Matters—Noelle Chaddock Paley, SUNY Cortland and Phillip Ortiz, Empire College
H) SUNY Networks of Excellence—Timothy Killeen, president SUNY Research Foundation
I) SUNY Budget Report—Robert Haelen, Interim CFO
J) The Provost Report—Elizabeth Bringsjord, Interim Provost
K) Sector Reports and Discussions with Chancellor Nancy Zimpher
L) Presentation by Chancellor Nancy Zimpher
M) Faculty Council of Community Colleges—Tina Good, President
N) SUNY Student Assembly Report—Terry Price, President
O) CUNY University Faculty Senate—Terry Martell, Chair.
P) UUP Report—Jamie Dangler, Vice-President for Academic Affairs
Q) SUNY Works (Statewide internship and Co-op Initiative)—William Ziegler, Binghamton University
R) Committee Reports
   1) Diversity Committee—Noelle Chaddock Paley
   2) Ethics Committee—Carlie Phipps
   3) Governance Committee—Shelley Mozlin
   4) Graduate and Research committee—Rebecca Marinoff
   5) Operations Committee—Ed Warzala
   6) Programs and Awards Committee—Dennis Showers
   7) Student Life Committee—Kelly Donaghy
   8) Undergraduate Committee—Barbara Brabetz
S) Resolutions
A) The President’s Report
In his report, the president addressed the following points

○ **Open SUNY.**
  - He stated that while this initiative offers faculty an opportunity to “leverage on-line education in better ways,” he warned them to remain vigilant regarding the ways in which the curriculum may be forced upon them through what he referred to as “canned curriculum.”
  - He addressed issues related to the quality of the on-line courses.

○ **Seamless transfer**
  - He stated that actually, 1100 faculty are involved in reviews and evaluations of the transfer paths that had been originally developed in 38 majors. These faculty members are using the SUNY Learning Commons as a communication mechanism to determine what changes may be needed to the existing paths. It is his hope that these initiatives will spur further collaboration across the system and will encourage discourse across disciplines.

○ **Start Up NY**
  - The president stated that he is concerned about the lack of consideration regarding SUNY’s academic mission in the public discourse regarding this initiative.
  - He is pushing to have the various CGL become involved in the development or, at least, in the review of the campus plans. The following are the areas of concern:
    - The selection process and qualification of businesses to operate on campus.
    - The alignment of the University’s academic and research and the objectives of these businesses.

○ **Teacher Education**
  - On behalf of UFS, he has made it clear to the Board of Trustees that “neither the process nor the content of the BoT’s resolution on admissions standards for teacher education programs are acceptable to the Faculty Senate,” although he is convinced that it is a fait accompli.
  - The second area of concern is the implications of the edTPA initiative on students and on demands for changes to our curriculum.
  - Although UUP has been more engaged in that issue than UFS, he wants UFS to become more engaged in that topic as well in close collaboration with the Union.

○ **LICH and SUNY Downstate**
  - He stated his concern regarding the impact these two issues can have upon the SUNY System as a whole
because the potential liabilities can be devastating for the University.

- **Governor’s Initiatives**
  - The governor, in his State of the State address, made several announcements regarding several SUNY-based initiatives. Most prominent among them is the call to establish a SUNY College of Emergency Preparedness, Homeland Security, and Cybersecurity, without providing any details on its funding and operative modalities.
  - The governor also made known his intention to offer full scholarship to SUNY to students who graduate in the top 10% of their class and who intend to major in a STEM field and who agree to work for at least five years in the state. Again, the governor provided no details on the implementation of such a proposal.
  - The governor also requested a new round of NY SUNY 2020 funding, but tied explicitly to the STRAT-UP NY initiatives.
  - What is somewhat troubling to the UFS president is that the governor introduced the BoT’s Chairman, Carl McCall, as former governor and not as Chair of the BoT, he did not mention anything related to the SUNY hospitals, and failed to even mention SUNY by name in his speech.

- **State of the University**
  - The Chancellor delivered her fourth state of the University address on January 14. However, besides the official launching of Open SUNY, she did not announce a laundry list of initiatives as she had previously done. She did emphasize, however, some of the ongoing initiatives, such as SUNY Works and the RF Networks of Excellence.

- **Board of Trustees**
  - In addition to being consumed with LICH-related issues, the BoT has approved requests regarding a change of degree authorization so that SUNY Delhi can move forward to offer an online MS degree in nursing education.
  - The Academic Affairs Committee of the Board has received a very detailed and insightful report from the Provost’s staff on graduate education at SUNY.

- **Additional activities**
  - Regarding his pledge to visit all of SUNY campuses to talk with faculty governance groups about SUNY-wide initiatives and to learn about their concerns, President Knuepfer stated that so far he had visited half of the
The UFS president had a joint meeting with the Executive committees of SUNY EFS, the Faculty Council of Community Colleges (FCCC), and CUNY UFS on January 10 in New York City. During that meeting, they learned about each group’s particular problems and issues, the initiatives they are taking to address them. That encounter led to very fruitful discussions regarding the role of the faculty in governing the curriculum. These three leaders are moving toward issuing a joint statement on faculty control of the curriculum, which will be presented to the rank and file for endorsement. President Knuepfer launched an invitation to the body to attend the First Annual SUNY Voices Conference on Shared Governance entitled “Shared Governance for Institutions of Higher Education in the 21st Century: Beyond Stereotypes,” which will take place in Albany on April 23-24. UUP and UFS will meet in March to coordinate their actions and initiatives.

B) Executive Committee Report and Introduction Resolutions—Edward Feldman, Vice President/Secretary

- Ed Feldman, VP/Secretary, introduced the following resolutions:
  - Resolutions on Seamless Transfer Path.
  - Governance Committee at Alfred.
  - The recognition of faculty of distinguished ranks.
  - Nomination of the new VP/Secretary.
  - Ed held a meeting with those senators who are serving their second term to invite them to either run for the position or to encourage other qualified senators to do so.
  - As a result, 5 (five) qualified senators declared their interest to run. However, to avoid discouraging more potential candidates the names of those interested to run were not revealed.

C) Sector Sections

- Start-Up NY
  - Concerned about the impacts companies that take advantage of the START-UP NY initiative may have upon the academic mission of the various campuses, members of the University Centers expressed their apprehensions vis-à-vis their ability to block the acceptance of those enterprises that may not be in line with their campus’ academic goals.
They were also worried and concerned about the appeal process when faculty oppose their presence on campus.

They were also concerned about the lack of consultation between the administration and the campus communities, the selection of space, time, and common mission when these industries invest in these campuses.

- Some expressed their apprehension regarding the separation between Albany University and the Nano Tech unit.
- Issues regarding the Research Foundation and Graduate Education were broached.
- Issues related to the Research Matrix and SUNY Refresh were also addressed.

D) SUNY Board of Trustees Chairman H. Carl McCall

- In his presentation, Chairman McCall explained to the audience the mission of the BoT and the way it functions. He presented them as follows:
  - To oversee the University.
  - To establish policies.
  - To play an advocacy role.
- In addition, the Board promotes
  - Transparency
  - Accountability
  - Collaboration
- It works through its various committees
- In addition, he called upon the UFS to lobby newly elected New York City Mayor De Blasio
  - To close LICH, which is hemorrhaging money
  - To support the charter schools
- Chairman McCall also sang the praise of shared governance.
- During the questions and answer he
  - Bemoaned the underrepresentation of certain groups in the teaching profession.
  - Emphasized the needs for higher standards in teaching.
  - Declared his support for the Common Core initiatives.
  - Declared his commitment to promoting high standards in higher education and to improve its image.
  - Accused De Blasio of taxing the other campuses to pay for and save LICH—he called De Blasio initiative to keep LICH open the “De Blasio Tax.”
  - He also denounced De Blasio’s initiative to tax the wealthy to provide general pre-school education in New York City.

E) Diversity Matters—Noelle Chaddock Paley, SUNY Cortland and Phillip Ortiz, Empire College

- The presenters’ charge was to answer the question: What makes diversity count? In presenting their response, they argue that diversity
• Addresses the concerns of the non-mainstream populations.
• Promotes cross-cultural competence in both students and faculty.
• Facilitates interactional diversity.
• Promotes effective teaching.
• Engenders effectiveness in university service.

○ However, they cautioned, it should not be
  • A top-down mandate.
  • A tool that administration utilizes to promote its own agenda.
  • Established as an initiative to compete with the existing diversity initiatives, but to complement them.

○ The panel offered the following suggestions:
  • All campuses should establish a diversity unit in their governance body.
  • They should have a comprehensive and well-staffed office of Diversity.
  • They should all have a comprehensive “Campus Diversity Plan.”
  • They should all map and assess diversity outcomes on their campuses.

F) SUNY Networks of Excellence—Timothy Killeen, President SUNY Research Foundation

○ President Killeen announced Governor Cuomo’s initiative to implement the first of four (4) SUNY Networks of Excellence to promote and support increased research collaborations between SUNY and industry partners to spur commercialization activities. Called the “SUNY 4E,” this initiative will focus on changes in energy, the environment, economics, and education. This new initiative is part of STRAT-UP NY, incubators “Hot Spot,” the New York State Capital Fund, and the NYS Innovation Network. The goals of these initiatives are to promote, nurture, and support entrepreneurship, spur economic development in the state, in addition to offering researchers the opportunity to bring their ideas to market through public-private partnership.

○ Although this initiative targets most especially the STEM areas, he is mindful that the Arts, Humanities, and the Social Sciences should also be made part of that equation.

G) SUNY Budget Report—Robert Haelen, Interim CFO

○ The 2014-15 allocates $4.2 B to the operation of the sixty-four (64) campuses and System Administration.

○ No additional state tax support was provided for collective bargaining costs, or any initiatives requested in the 2014-15 SUNY Budget Request.

○ Cornell Extension program lost the $300K that the state legislature had appropriated to it.
The Rational Tuition Plan of NY-SUNY 2020 received $95.0M. Funding was reduced by $2,209.6 as a result of legislative action. The areas affected are as follows:

- $994.2K from the Advanced Technology Training and Information Networking (ATTAIN).
- $632.4 from Educational Opportunity Program (EOP).
- $333.0K from the Marine Lab at Stony Brook.
- $250.0K from Cornell Veterinary College.

Operating summary

- The 2014-15 executive Budget recommends state tax support totaling $468.7M distributed as follows:
  - $448.6M for Base operating Aid/Funded Full-Time Equivalent (FTE).
  - $3.0M for the NY Job Linkage Funding
  - And additional $300K in the Department of Labor’s budget related to the Job Linkage initiative.
  - $11.6M for Rental Aid.
  - $1.9M for Contract Courses.
  - $1.7M for Higher Needs programs.
  - $1.0M for Child Care, reduced by $653K from 2013-14 enacted budget levels due to removal of legislative addition.
  - $940.0K for Support for Low Enrollment Colleges.
  - Funding for the Graduate, Achievement, and placement (GAP) Program ($1.7M) provided in the 2013-14 enacted Budget was removed, and no funding was made available for the FIT Chargeback ($7.8M was requested), or the requested $3.0M for the Job Linkage Fund.

H) The Provost Report—Elizabeth Bringsjord, Interim Provost

The interim Provost made the following announcement:

- Seamless Transfer
  - A group of 1,153 faculty members are participating in Seamless transfer.
  - A 100% of the campuses are participating in the customized version of the “audit tools degree works.”
  - Degree Works provides campuses important analytical information on student transfer.

- OPEN SUNY
  - Has dramatically expanded access to higher education to many students.
  - Has raised the completion rate of students significantly.
  - Prepares students for success in their lives and careers and contributes to the economic success of New York and the Country.

- Teacher preparation
- The SUNY Teacher and Leadership Education Network is going well.

I) Sector Reports and Discussions with Chancellor Nancy Zimpher

- The Hospital Sector
  - Representatives of the Upstate Medical Center inquired as to when the search for the president will start.
    - Soon was the response.
  - Does the University plan to privatize the University hospitals?
    - Although not answered directly, it seemed that it is possible because
      - Of the difficulty in turning them around.
      - Of their high level of liabilities.
      - They are a drain on the system.
      - The BoT is considering that possibility.
      - Everything is on the table.

- The Tech Sector
  - They inquired about the list of the names of those faculty members who participate in seamless transfer.
  - They inquired about the online MA at Delhi
  - They inquired about the quality Open SUNY online education.

- The University Centers
  - They expressed their concerns regarding Start-UP NY.
    - They refuted the theory that purports to support that if campus government interferes with the initiative before a decision is made, it will interfere with the implementation of the initiative.
  - They expressed their concern regarding the neglect that the Arts, Sciences, and the Humanities may suffer regarding the craze shown vis-à-vis the STEM areas.
    - The Chancellor gave her full support to the integration of the Arts, Humanities, and the Social Sciences in the STEM initiatives.
  - She wants faculty involvement and participation in Open SUNY and Seamless Transfer.

- The GCL
  - She wants and expects their participation in Shared Governance.

- Comprehensive Colleges
  - She supports the initiative that requires candidate in the various teacher education program to have a 3.0 for admission.
  - She supports more innovation in the teacher preparation programs.

- Specialized Colleges
She supports the initiative to merge IT with Nano Tech.
She discussed Alfred’s situation.
- Contrary to her previous appearances at the UFS, this time, she did not make a formal presentation. Rather, she presented video excerpts of her “State of the University” speech and invited interested parties to go on line to see it.
- During that presentation, she emphasized “The Power of SUNY.”

J) Faculty Council of Community Colleges—Tina Good, President
- She mentioned her commitment to lower the number of students who are attending remedial programs.
- She is actively lobbying the legislators to have the $½ m cut in child care restored.
- She spoke about the need to increase the quality of the teacher education programs.
- She spoke about the initiative to promote shared governance.
- She communicated to the audience the importance of the seamless transfer initiative.

K) SUNY Student Assembly Report—Terry Price, President
- At their last plenary meeting, the Student Assembly passed the following resolutions:
  - Textbook affordability.
  - They support FCCC’s initiative to regain the $1/2M in child care that the community colleges had lost.
  - Protection for whistle blowers who report students’ excessive drinking, drugs use, etc.
  - Blood donor equality so that LGBT people can donate blood without facing discrimination.
- Advocacy agenda
  - In-state tuition for vets.
  - Increasing base aid for students.

L) CUNY University Faculty Senate—Terry Martell, Chair
- He spoke about the successful outcome of the lawsuit regarding the Pathways initiative.

M) UUP Report—Jamie Dangler, Vice-President for Academic Affairs
- She spoke about the need for UUP and UFS to work together on a number of important issues that affect us all and in similar fashion.
  - Budget, funding level, EOP cut, Open SUNY.
  - Hospitals:
    - Pravion is a real threat;
    - The medical school-hospital compact needs to be strengthened.
    - The refusal of the state to fund the negotiated raises agreed upon in the last contract.
    - The defunding of our institutions.
- The exploration of the possibility of creating an endowment for the University in the face the loss of state support.
o Issues related to teacher education.

N) SUNY Works (Statewide internship and Co-op Initiative)—William Ziegler, Binghamton University
 o This a SUNY initiative to connect students to real life learning through internship. Stony Brook is a member of the compact.

O) Committee Reports
 o Diversity Committee—Noelle Chaddock Paley
   ▪ The need to promote diversity in the curriculum
 o Ethics Committee—Carlie Phipps
   ▪ Anti-rape on campus program.
 o Governance Committee—Shelley Mozlin
   ▪ Start-Up NY
   ▪ Presidential review on shared governance
 o Graduate and Research Committee—Rebecca Marinoff
   ▪ Sustainability in the curriculum
 o Operations Committee—Ed Warzala
   ▪ Violence on campus policy
 o Programs and Awards Committee—Dennis Showers
   ▪ Conversations in the discipline program.
 o Student Life Committee—Kelly Donaghy
   ▪ Veterans
   ▪ Textbook cost
   ▪ Bullying and rape on campus
   ▪ Whistle blowers
 o Undergraduate Committee—Barbara Brabetz
   ▪ Admissions standards
   ▪ Open SUNY

P) Resolutions
 o Seamless Transfer Paths—passed
 o Participation of Alfred and Cornell University in the Process of Recognizing SUNY Faculty for Distinguished Achievement—passed
 o The Status of the New York State College of Ceramics—passed
I. STATE BUDGET

Last month, New York State Governor Andrew M. Cuomo unveiled his proposed 2014-15 Executive Budget. Components of the proposed budget with likely impact to Stony Brook include:

- Year-to-year support for state-operated campuses is essentially flat
- Does not include already negotiated UUP collective bargaining agreements for SUNY, which is estimated at $82.2 million system-wide and amounts to $9 million for Stony Brook
- Does not include legislative add-ons from last year totaling about $2.2 million, which includes $333,000 for the Marine Animal Disease Laboratory at Stony Brook and $632,400 for our EOP/AIM program
- $654,254 for the Advanced Energy Center and CEWIT, which is down from $872,333
- Appropriation supports tuition increases under SUNY 2020 and $55 million to launch Round IV
- No changes to current legislation surrounding the Tuition Assistance Program (TAP)
- Provides $8 million for full tuition scholarships offered to the top 10% of New York State high school graduates that pursue a career in a STEM field
- State support for the three university hospitals totals $69 million and no new capital funding proposed for SUNY hospitals
- Critical maintenance funding includes $500 million system-wide and $64.7 million for Stony Brook
- Support for the Long Island State Veterans Home increased by $795,000
- Other significant SUNY funding projects include:
  - $10 million to establish a School of Pharmacy at Binghamton University
  - $50 million to the University at Buffalo for the NY Genomic Medicine Network
  - $180 million for Nano Utica at SUNYIT
II. FUNDRAISING UPDATE

The Stony Brook Foundation recently issued its 2012-2013 annual report. The report captures the “Simons Effect” and is available at: http://www.stonybrook.edu/sb/giving/index.shtml. The culture of philanthropy continues at Stony Brook. Recent announcements from Advancement include:

- The Bahl’s family has donated $3.5 million for a Cyclotron for imaging at Stony Brook Medicine.
- Filomena Lombardi, who serves on the Stony Brook Medicine Development Council, has donated $500,000 to Dr. Patricia Coyle’s research and treatment through her Cure MS Foundation of New York.
- Bank of America has donated $125,000 to the Stony Brook Children's Hospital building fund. This gift qualifies for matching funds from an anonymous donor for a total impact of $250,000.
- Grammy Award-winning artist and recent Kennedy Center Honoree, Billy Joel, has once again generously provided for students and faculty in the Stony Brook Music Department, by donating another premiere concert piano through The Joel Foundation – this time it’s a $250,000 Bosendorfer Imperial Grand Piano, which is considered the “Rolls-Royce” of pianos.
- Friends and family of Emmy-winning CBS News Producer Michael Rosenbaum have established a memorial scholarship at the Stony Brook University School of Journalism in support of the Marie Colvin Center for International Reporting. The $30,000 gift from the Michael S. Rosenbaum Foundation will be matched by a special grant from Jim and Marilyn Simons and the Simons Foundation, to establish a $60,000 endowed scholarship.
- Stony Brook University will launch a new tradition this spring, recognizing alumni celebrating their class year's 50th anniversary since graduation. Alumni will be inducted into the "Heritage Society" in honor of this milestone.

III. WHITE HOUSE SUMMIT

President Obama and the First Lady hosted a White House summit on increasing college opportunity for low-income students in January. I attended the summit along with SUNY Chancellor Nancy L. Zimpher, fellow college and university presidents, and leaders from nonprofits, foundations, state governments, and businesses from across the country to discuss the expansion of college opportunity and to pledge Stony Brook’s commitment to this righteous endeavor.

The University has committed to increasing its 4-year graduation rate to 60 percent by 2018. In order to achieve this goal, Stony Brook will expand academic intervention and support, tutoring, experiential learning, academic advising and increase support for the EOP/AM program. Our commitment also entails the expanded use of evidence-based approaches to learning and teaching, and enhancement of our leadership role in increasing the participation of underrepresented minorities, economically disadvantaged students and women students in STEM education and the workforce. Strategic scheduling of courses and expanding customized learning opportunities for students are also part of our commitment.
IV. OPEN SUNY+ INITIATIVE

SUNY Chancellor Nancy L. Zimpher introduced the “Open SUNY+” initiative during her annual State of the University Address. Open SUNY+ is “a SUNY-wide collaboration that opens the door to world-class online-enabled learning opportunities.” Stony Brook has taken a leadership role in this system-wide effort, as our Bachelor of Science in Electrical Engineering was among eight online degree programs to debut in January as part of Open SUNY+.

V. DR. DAVID O. CONOVER NAMED INTERIM VICE PRESIDENT FOR RESEARCH

Dr. David O. Conover, former Dean of Stony Brook's School of Marine and Atmospheric Sciences and former Director of the Division of Ocean Sciences at the National Science Foundation, has agreed to serve as Interim Vice President for Research. As Dr. Conover returns to Stony Brook, he brings first-hand experience and knowledge of the policy-making and infrastructural processes for one of the largest federal funding agencies in the United States. The Division of Ocean Sciences is the second largest division in the NSF and as Director, Dr. Conover was responsible for development and management of a $350 million annual budget and oversaw the construction of two major facility projects. His responsibilities at NSF also involved U.S. federal support of academic research, facilities and education programs in ocean sciences. While serving in his NSF role, Dr. Conover retained his Stony Brook faculty appointment; he has been a part of the University community since joining the faculty as an Assistant Professor in 1981. He received his B.S., 1975 (with honors), Biology, Eckerd College, St. Petersburg, FL; M.S., 1979; and Ph.D., 1982, Fisheries Biology, University of Massachusetts, Amherst.

VI. DR. MARY TRUHLAR NAMED INTERIM DEAN OF THE SCHOOL OF DENTAL MEDICINE

Dr. Mary Truhlar has been named Interim Dean of the Stony Brook School of Dental Medicine. Prior to this role, Dr. Truhlar served as Associate Professor and Chair of the Department of General Dentistry in the Stony Brook School of Dental Medicine. She joined the faculty of Stony Brook School of Dental Medicine in 1990 in the Department of General Dentistry. Dr. Truhlar has played a critical role in the education of our pre- and post-doctoral students, developing and implementing curriculum and providing administrative directorship of departmental divisions and programs. Since 2005, Dr. Truhlar has served as Chair of the Department of General Dentistry, which oversees the majority of clinical faculty and the curriculum in general dentistry, dental anatomy and operative dentistry, behavioral sciences and practice management, and special needs patient care. Dr. Truhlar received her DDS degree from the Stony Brook School of Dental Medicine and performed her general dentistry residency and chief residency at Long Island Jewish Medical Center, before receiving a Master of Science Degree in Dentistry from Marquette University and a Fellowship Certificate in Geriatric Dentistry from the Milwaukee Department of Veterans Affairs Medical Center.

VII. STRATEGIC PLAN

Stony Brook University’s Strategic Plan was sent to the campus community for review and feedback towards the end of last year. The draft was viewed more than 11,000 times – 6,000 of which were unique views. I appreciate the hundreds of comments that were submitted from
diverse constituencies across campus. The revised and updated version of the plan is available at: http://www.stonybrook.edu/pres/strategic_plan/index.html.

VIII. NOTICES OF NON-DISCRIMINATION

Stony Brook University has a longstanding commitment to equal employment and educational opportunity, and environments that foster respect, dignity, fairness, and equity. I recently sent notice to the campus community regarding the University’s policies on equal employment opportunity and affirmative action, as well as non-discrimination, sexual harassment and non-consensual sexual contact. All members of our campus community should familiarize themselves with these policies. All violations of these policies should be reported to the Office of Diversity and Affirmative Action and/or the Title IX Coordinator, Mr. Raul M. Sanchez, Senior Director for Title IX and Risk Management.

IX. SPRING ENROLLMENT SNAPSHOT

A total of 22,730 students were registered on opening day this semester, 151 more than last year. Student counts are updated every five class days, with the final enrollment snapshot to be taken after the close of business on Friday, February 14, 2014.

X. SBU FACULTY CONTINUE SUCCESSFUL MENTORING OF INTEL STUDENTS

Stony Brook University faculty members have mentored three of the 40 high school students named as finalists in the prestigious 2014 Intel Science Talent Search competition. Finalists Kathy Camenzind (San Ramon, CA), worked with Dr. John Noé and Visiting Scholar, Dr. Marty Cohen in the Laser Teaching Center in the Department of Physics and Astronomy. Finalist Aron Coraor (Huntington, NY), worked with Distinguished Professor Emeritus Dr. Donald Lindsley in the Department of Geosciences. Finalist Emily Pang (San Ramon, CA), worked with Dr. Berhane Ghebrehiwet, Professor of Medicine and Pathology in the Department of Medicine. Camenzind and Pang were selected for work done while participating in the 2013 Simons Summer High School Research program at Stony Brook. Stony Brook faculty also mentored an additional 18 high school students that were selected among 300 semifinalists.

XI. FACULTY HONORS

Cindy Chang Earns Early Career Award from the National Science Foundation

Dr. Qing (Cindy) Chang, Assistant Professor in the Department of Mechanical Engineering in the College of Engineering and Applied Sciences at Stony Brook University, has been selected to receive a 2014 Early Career Award from the National Science Foundation’s Sensors and Sensing Systems Program in the amount of $400,000. Dr. Chang’s five-year award, CAREER: Collaborative Modeling for Distributed Sensing and Real-Time Intelligent Control to Improve Battery Manufacturing, Productivity and Efficiency,” will focus on the creation of a unique technology that can improve productivity, energy efficiency and save costs in the manufacturing process of batteries; specifically how to utilize the full potential of distributed sensor networks to improve system responsiveness, productivity and efficiency during manufacturing of batteries.
Mittermeier, Safina and Wright Named Finalists for the 2014 Indianapolis Prize

Stony Brook University faculty members and renowned conservationists Dr. Russell A. Mittermeier, Dr. Carl Safina and Dr. Patricia Wright, have advanced as finalists for the 2014 Indianapolis Prize. Selected from a group of 39 nominees, they are among six finalists in the running to receive an unrestricted $250,000 cash award and the Lilly Medal. The Prize is the world’s leading award for animal conservation. The winner will be announced in mid-2014 and honored at the next Indianapolis Prize Gala on September 27, 2014.

Dr. Mittermeier, a legendary figure in conservation, is president of Conservation International and an adjunct Professor in the Department of Anatomical Sciences. He has been nominated for his efforts to understand and educate others about the worldwide threats to biodiversity, global efforts to conserve primates and work to create new protected areas in some of the world’s highest priority hotspots. Dr. Mittermeier was an Indianapolis Prize finalist in 2012 and was a nominee in 2008.

Dr. Safina is a research Professor in the School of Marine and Atmospheric Sciences and a Visiting Professor and board member in the Alan Alda Center for Communicating Science. Dr. Safina served as lead scientist on the Gyre Expedition in 2013, which traveled 450 nautical miles in remote southwest Alaska to study the global marine debris crisis. In 2003, he founded the Blue Ocean Institute to bring science, art and literature together to inspire a closer bond with nature, especially the sea. Dr. Safina was a finalist for the Indianapolis Prize in 2010 and is a three-time nominee (2008, 2010 and 2012).

Dr. Wright, founding director of Centre ValBio and the Institute for the Conservation of Tropical Environments and a Professor of Biological Anthropology, has been recognized for her tireless work with lemurs in Madagascar using science-based conservation. Awareness of Madagascar’s ecosystem has flourished through her research and outreach efforts, and her long-term relationship with the local communities has catalyzed economic opportunities around Ranomafana National Park. Dr. Wright was a finalist for the Indianapolis Prize in 2012.

Yusuf Hannun Receives Kuwait’s Prize for Scientific Advancement

Dr. Yusuf A. Hannun, Stony Brook University Cancer Center Director, has received the Kuwait Prize in the category of Basic Sciences. This annual award is issued by the Kuwait Foundation for the Advancement of Science (KFAS) and recognizes the distinguished scientific accomplishments of an Arab scientist living anywhere in the world. Dr. Hannun, a native of Jordan, received this honor for his research on a class of lipids implicated in the cancer disease process. Dr. Hannun is also the Vice Dean for Cancer Medicine and Joel Kenny Professor of Medicine at Stony Brook.

William Worek Receives 2013 ASME Church Medal

Dr. William Worek, Associate Dean and Professor in the Department of Mechanical Engineering and Associate Professor of Research and Graduate Studies in the College of Engineering and Applied Sciences at Stony Brook University, has received the American Society of Mechanical Engineers’ (ASME) Edwin F. Church Medal. This high honor of achievement recognizes eminent service in increasing the value, importance and appeal of mechanical
engineering education. Dr. Worek was honored for the development of new courses in combined heat and mass transfer and the establishment of a master of energy engineering program that gives students the tools to design, execute and manage new energy projects.

Dr. Pelagia-Irene Gouma Receives Richard M. Fulrath Award

**Dr. Pelagia-Irene Gouma**, a Professor in the Department of Materials Science & Engineering and Director of the Center for Nanomaterials and Sensor Development at Stony Brook, received the American Ceramic Society’s 2013 Richard M. Fulrath Award. This honor recognizes both American and Japanese ceramic engineers and scientists for their excellence in research and development of ceramic sciences and materials. Dr. Gouma was honored for her novel ceramics for biosensors and olfaction, which includes her invention of a single breath, hand-held portable ammonia and other gas breathalyzers.

**XII. PRESIDENTIAL MINI-GRANTS FOR DEPARTMENTAL DIVERSITY INITIATIVE**

The President’s Office is currently accepting proposals for the Presidential Mini-Grants for Departmental Diversity Initiatives through Monday, February 21. The grant is designed to encourage faculty to promote diversity through the development of new academic initiatives. Preference will be given to proposals that promote awareness, skills, and knowledge about issues related to race, gender, ethnicity, abilities, age and/or religion. Drawing on a total pool of $30,000, the award amount granted will be determined by the number of grants selected and approved for funding. Each Mini-Grant recipient will be recognized at the Annual University Awards Dinner. The application form, proposal guidelines and a list of previous winning proposals can be found online at [http://www.stonybrook.edu/pres/minigrants.html](http://www.stonybrook.edu/pres/minigrants.html).

**XIII. RECENT EVENTS**

**Dr. Martin Luther King Jr. Day of Service Event at Stony Brook**

On Saturday January 18, Stony Brook University and Suffolk County Community College, in collaboration with the Long Island Volunteer Center, hosted a Dr. Martin Luther King Jr. Day of Service Event. This event focused on emergency preparedness and featured keynote speaker **Dr. Stephen Post**, Professor of Preventive Medicine, Head of the Division of Medicine in Society and Director of the Center for Medical Humanities, Compassionate Care and Bioethics at Stony Brook Medicine. Dr. Post lectured on the benefits of volunteering. Over 200 students, faculty, staff, alumni, and folks from the community attended. For more on this event visit: [https://www.youtube.com/watch?v=BcPYe6QdTpk](https://www.youtube.com/watch?v=BcPYe6QdTpk).

**Winter Commencement**

Stony Brook celebrated Winter Commencement on Thursday, December 19 in the Pritchard Gymnasium. Two ceremonies were held to confer bachelor’s, master’s and doctoral degrees, as well as certificates, for summer 2013 and fall 2013 graduates. In addition, Stony Brook proudly bestowed the Honorary Degree of Doctor of Letters upon alumnus **Joe Nathan**, a standout Major League Baseball pitcher. Of the 2,244 candidates receiving their degrees, 851 registered to attend Commencement and a total of 663 graduates chose to attend their respective ceremony.
XIV. UPCOMING EVENTS

Black History Month Celebration

The Office of Multicultural Affairs and the Black History Month Committee kicked off the University’s annual Black History Month celebration with an opening ceremony on January 29. Dr. Zebulon Mileskey, Visiting Assistant Professor of Africana Studies at Stony Brook University, served as the moderator of a panel discussion which focused on the meaning of Black History. This event marked the beginning of a series of activities for Black History Month that will take place in February. The Black History Month Closing Program is scheduled for Thursday, February 27 from 8 p.m. to 11 p.m. in SAC Ballroom A. This event will feature cultural performances by student organizations, special presentations and awards. Visit the Black History Month Web site for a full list of events and activities: www.stonybrook.edu/blackhistory.

University to Host Annual Service Awards Dinner

Stony Brook University will host its annual Service Awards ceremony on Tuesday, February 11. This event celebrates and recognizes employees who have reached the 25-, 30-, 35-, 40-, 45-, and 50-year service milestones as of December 31, 2013. Over 300 employees will be recognized this year.

Plans for the 2014 Stars of Stony Brook Gala Set

This year’s Stars of Stony Brook Gala will be held on Wednesday, April 16. In addition to raising important funds for student scholarships and in keeping with our tradition of highlighting the varied and exemplary programs that make Stony Brook University unique, this year’s Gala will focus on Centre ValBio. We are especially delighted that we will be honoring acclaimed Stony Brook University professor and founding director of Centre ValBio, Dr. Patricia Wright. Additional information about the Gala will be provided in the coming weeks.

XV. ATHLETICS UPDATE

Women’s Basketball

Third year Head Coach Beth O’Boyle has the women’s basketball program off to their best start in Division I history. The Seawolves are 15-6 overall and 6-2 in the America East. They have won 11 of their last 14 games and are 8-4 on the road.

Men’s Basketball

Under Head Coach Steve Pikiell, the men’s basketball team has an overall record of 15-7. The team is 7-1 in America East play. The Seawolves have now won 22 consecutive home conference games at Pritchard Gymnasium, the third-longest active streak in the nation, and are 34-2 overall in the last 36 games played at Pritchard Gymnasium.
Women’s Lacrosse

Following a conference championship and a trip to the NCAA Tournament last spring, third year Head Coach Joe Spallina and the women’s lacrosse team are currently ranked 12th in the nation according to the Lacrosse Magazine preseason poll. The team’s first game is at home on February 15 against Bucknell University. The team has a challenging schedule this season, which includes four fellow 2013 NCAA Tournament qualifiers, two teams that finished in the top 20 in both major polls and seven squads that ranked in the top 40 in the ratings percentage index.

Men’s Lacrosse

Under third year Head Coach Jim Nagle, the Stony Brook men’s lacrosse team is preparing for a tough schedule. In addition to a tough conference schedule, the team will play against non-conference perennial powerhouses Maryland, Rutgers and defending national champion Duke University. The first game of the season is slated for February 14 against Marist at home. The Seawolves will play 10 home games for the first time in 25 years. Stony Brook University will also serve as host to the 2014 America East Conference Tournament in early May.

“What Makes You a Seawolf” Contest Announced

The Athletics Department recently announced the “What Makes You a Seawolf” contest. If you know someone who truly embodies what it means to be a Seawolf – they demonstrate commitment, passion, pride, respect and swagger – consider sending a nomination to SeawolvesTickets@stonybrook.edu. Nominations should include a brief description of the individual along with the reasons why this person is the ultimate Seawolf. Five winners will be selected to receive two complimentary men’s basketball season tickets for the 2014-2015 inaugural season in the new 4,000-seat Stony Brook Arena. The deadline for submissions is Friday, March 14.