

**CONFIDENTIAL DRAFT**

# **The University at Albany START-UP NY Plan**

Submitted to the  
NYS Empire State Development Corporation and  
State University of New York

*December 5, 2013  
(last updated)*



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## A. OVERVIEW

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

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

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

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

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

## **B. START-UP NY CAMPUS CONTACT PERSON, OFFICE AND ADDRESS**

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

The program head and contact will be:

Michael H. Shimazu  
Associate Vice President for Business Partnerships  
and Economic Development  
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## C. IDENTIFICATION OF DESIGNATED SPACES AND/OR LAND UNDER START-UP NY

### **SPACE AVAILABLE IN CAMPUS BUILDINGS**

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

#### **Uptown Academic Podium – Up to 1,635 SF wet lab with support spaces**

- About this Location – Home to STEM disciplines, arts and humanities, social sciences, business, and education, the Uptown Academic Podium provides the highest level of access and interconnectedness with UAlbany students, faculty, researchers, and staff. It also provides access to high-quality support services, resources and amenities.
- Description of Space – UAlbany has identified Biology Building lab suite 341-342 for designation under the START-UP NY initiative. This space is currently vacant and will require minor upgrades prior to occupancy. The suite includes 4 work bench areas, lab shelving and case work, a 5 foot-wide fume hood, two (2) small equipment rooms, an office and two (2) write-up rooms.

#### **Downtown Academic Campus – Up to 10,000 SF in Schuyler School Building**

- About the Location – The Downtown Academic Campus, at 135 Western Avenue, is in the center of the City of Albany and home to nationally ranked UAlbany programs in Criminal Justice, Social Welfare, and Political Science. The Schuyler School Building was recently acquired by the University and provides an opportunity for businesses to integrate with these instructional and research programming on the downtown campus. Additionally, this facility is geographically situated in an underserved area further creating a nexus to UAlbany's academic and research programs (e.g., micro-loan entrepreneurship) which could spur growth in economically distressed areas.

Description of Space – UAlbany has identified up to 10,000 SF of space within the Schuyler Building under the START-UP NY initiative. While the entire 127,000 SF facility is vacant and requires gut renovation, it is a priority of UAlbany's Capital Plan; and the University will explore opportunities for START-UP NY ventures as opportunities arise.

#### **East Campus – Up to 8,631 SF of lab and office spaces**

- About the Location – Home to the UAlbany's top ranked School of Public Health, this technology-focused hub located in Rensselaer County consists of instructional, office, and research space, including high quality biology, chemistry, materials science and animal research labs, along with approximately 20 tenants including Taconic Farms and Albany Molecular Research.
- Description of Space – UAlbany has earmarked up to 8,631 SF on its East Campus, including 10 wet labs, most with fume hoods, ranging from 441 to 1,366 SF. The spaces also include 5 offices of various sizes. The East Campus is owned and operated by a UAlbany affiliate, the University at Albany Bioscience Development Corporation.

### Guidance on Additional Space for START-UP NY

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



### LAND AVAILABLE ON EXISTING CAMPUS PROPERTIES

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

- **East Campus Land Parcels – Up to 36 acres**  
 UAlbany has earmarked up to 36 acres of buildable land on its East Campus for designation under the START-UP NY initiative. In addition to the East Campus’ School of Public Health and existing biotechnology partners, this site is directly adjacent to Regeneron Pharmaceuticals. The land is a strategic location for future growth, particularly in the biomedical and public health disciplines given the campus’s state-of-the-art infrastructure and breadth of human capital.
- **Fuller Road West Land Parcel – Up to 18 acres**  
 UAlbany has identified up to 18 acres of land on Fuller Road for designation under the START-UP NY initiative. This site includes acreage adjacent to UAlbany student housing facilities and the NanoCollege Complex. It is suitable for low impact development, providing access to the NanoCollege facilities as well as UAlbany researchers, students, faculty and staff.

### Guidance on Future Development of Campus Land

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



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

## **200,000 SQUARE FEET OF SPACE AND LAND BEYOND THE CAMPUS BOUNDARIES**

At the time of this submission, UAlbany is not including space or land beyond its campus boundaries for designation under the START-UP NY initiative.

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

### **Future Consideration for Inclusion of Off-Campus Space/Land**

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

- 1) Align with or further UAlbany's academic mission
- 2) Provide community and economic benefits – particularly, in underserved and economically distressed areas; and
- 3) Be proximate to UAlbany's campus as required by statute and regulation

### **Local Government and Economic Development Stakeholders**

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

- Albany and Rensselaer County, County Executives
- City of Albany, Mayor
- Town of East Greenbush, Supervisor
- Economic Development entities (IDAs and Center for Economic Growth)

In discussions regarding off-campus space/land with these stakeholders, UAlbany will emphasize the importance of targeting underserved and economically distressed populations and giving preference to underutilized properties under the START-UP NY initiative.

## **D. DESCRIPTION OF THE TYPE OF BUSINESS OR BUSINESSES**

### **Description of Eligible Businesses**

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

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

Ineligible businesses will include retail/wholesale businesses, restaurants, real estate brokers, law firms, medical or dental practices, real estate management companies, hospitality industries,

finance/financial services, and other personal services. Additionally, utilities and businesses engaged in the generation or distribution of electricity are ineligible.

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

## **E. ALIGNING WITH OR FURTHERING THE ACADEMIC MISSION**

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

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

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

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

### **Leveraging UAlbany's NYSUNY 2020's Four Transformation Research Clusters**

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

#### **Research Cluster #1: Climate and Environmental Science Research**

Leveraging our internationally acclaimed Department of Atmospheric and Environmental Science (DAES) and Atmospheric Science Research Center (ASRC), UAlbany will target businesses that align with or further its Climate and Environmental Science Research Cluster under NYSUNY 2020.

This cluster will pursue advances in environmental science and climate prediction with the potential to serve as an R&D arm for climate sensitive businesses and industries. UAlbany can offer cutting-edge facilities to spur fruitful collaborations for mutual benefit -- including outstanding opportunities



for the University's students to obtain invaluable experience on business applications related to their research and studies.

### **Research Cluster #2: Biomedical Science and Biotechnology**

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

### **Research Cluster #3: Forensic Sciences and Cyber Security**

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

### **Research Cluster #4: Advanced Data Analytics**

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

## **Leveraging the Breadth of the University at Albany's Mission**

### Comprehensive Undergraduate, Graduate and Professional Education

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

### Research and Discovery

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

### Entrepreneurship and Innovation

Entrepreneurship and innovation are emerging university-wide priorities for both faculty and students. Under UAlbany's approved NYSUNY 2020 plan, the University is developing an Emerging Technologies and Entrepreneurship Complex (E-TEC) and corresponding ecosystem to

transform pioneering research and innovation into commercial activity and public-private partnership opportunities. Leveraging the E-TEC ecosystem, which brings together business development and technology transfer, the University is particularly well positioned to support the creation and growth of new business and industry under the START-UP NY initiative.

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

#### Community Engagement in Economically Distressed Areas

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

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

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

UAlbany’s proposed START-UP NY plan anticipates attracting new businesses and new jobs to the Capital Region over the next ten (10) years. These businesses will include out-of-state companies, new start-ups or expanding businesses from New York State.

Eligible START-UP NY businesses that align with the academic mission under the University’s START-UP NY plan will not only create new employment opportunities, but will attract new investment locally spurring additional economic growth across the Capital Region economy.

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

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

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

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

- to leverage resources among academic, not-for-profit, governmental and commercial organizations

- to open new doors for business, cultivate opportunities for startup companies, and build the competency of research, education and health care
- to prepare for tomorrow by supporting education and workforce development
- to focus development within the urban core

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

## **G. DESCRIPTION OF HOW UALBANY WILL SELECT BUSINESSES**

### **Accepting Businesses Applications**

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

### START-UP NY Campus Advisory Committee

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

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

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

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

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

### **Evaluation and Selection**

The START-UP NY Campus Advisory Committee will select prospective businesses for participation in the University’s program on the basis of their ability to align with or further the academic mission of the University, their potential for economic benefits and their potential for benefits to the community. At least half of the evaluation for prospective businesses will be based

on the furtherance of the University's academic mission, with economic and community benefits comprising the remaining considerations. Through this approach, the University's START-UP plan will consider a number of related factors in assessing business applications which may include, but are not be limited to:

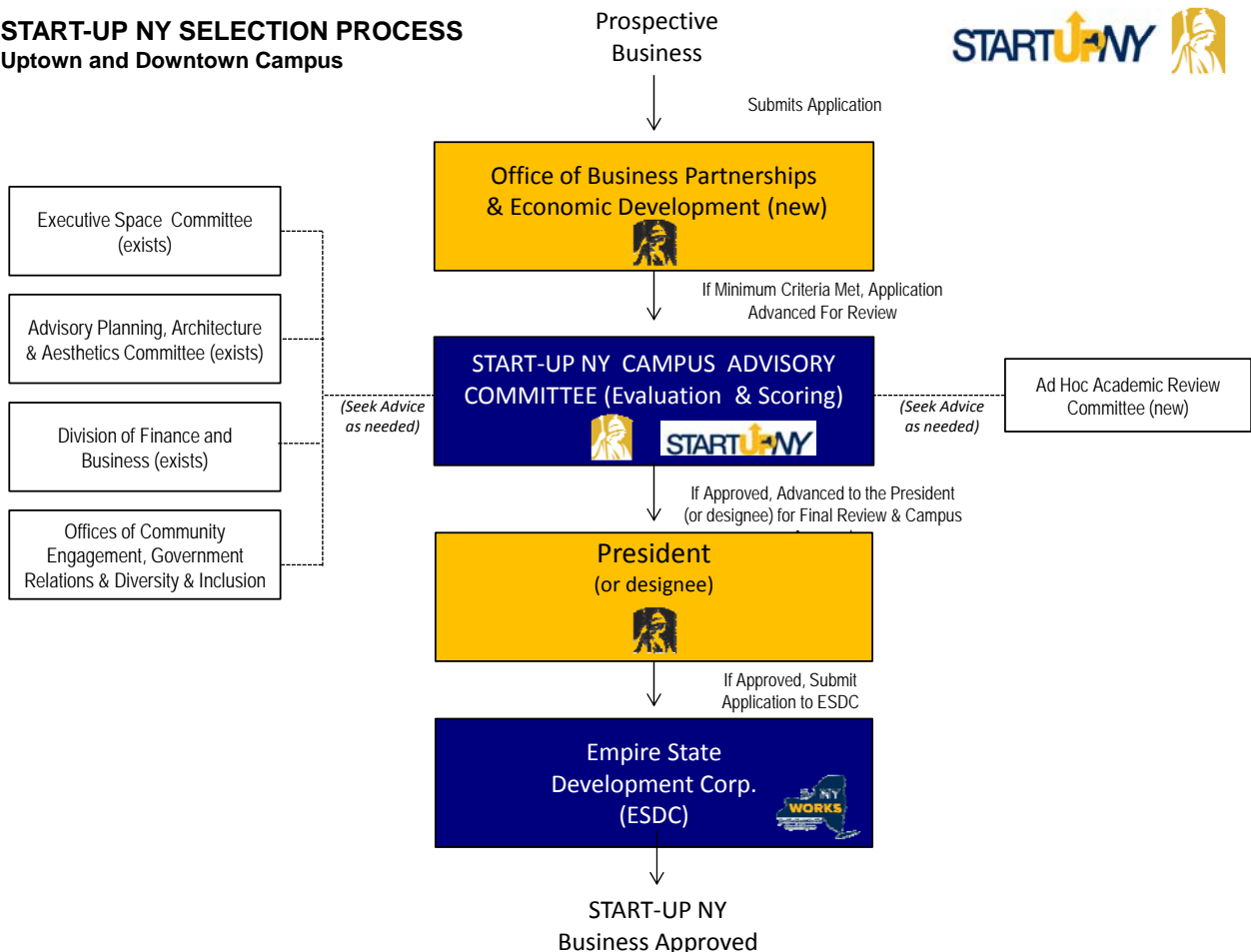
Academic and Research Alignment

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

Economic Benefit

- How many net new jobs will be created?
- Is the business viable in both the short- and long-term?
- Will the business attract private financial investment?

**START-UP NY SELECTION PROCESS**  
Uptown and Downtown Campus



- Does the business plan to make capital investments (e.g., renovation, new construction)?
- Are the new jobs in critical areas of the economy?
- How will the University financially benefit from the terms of the lease?

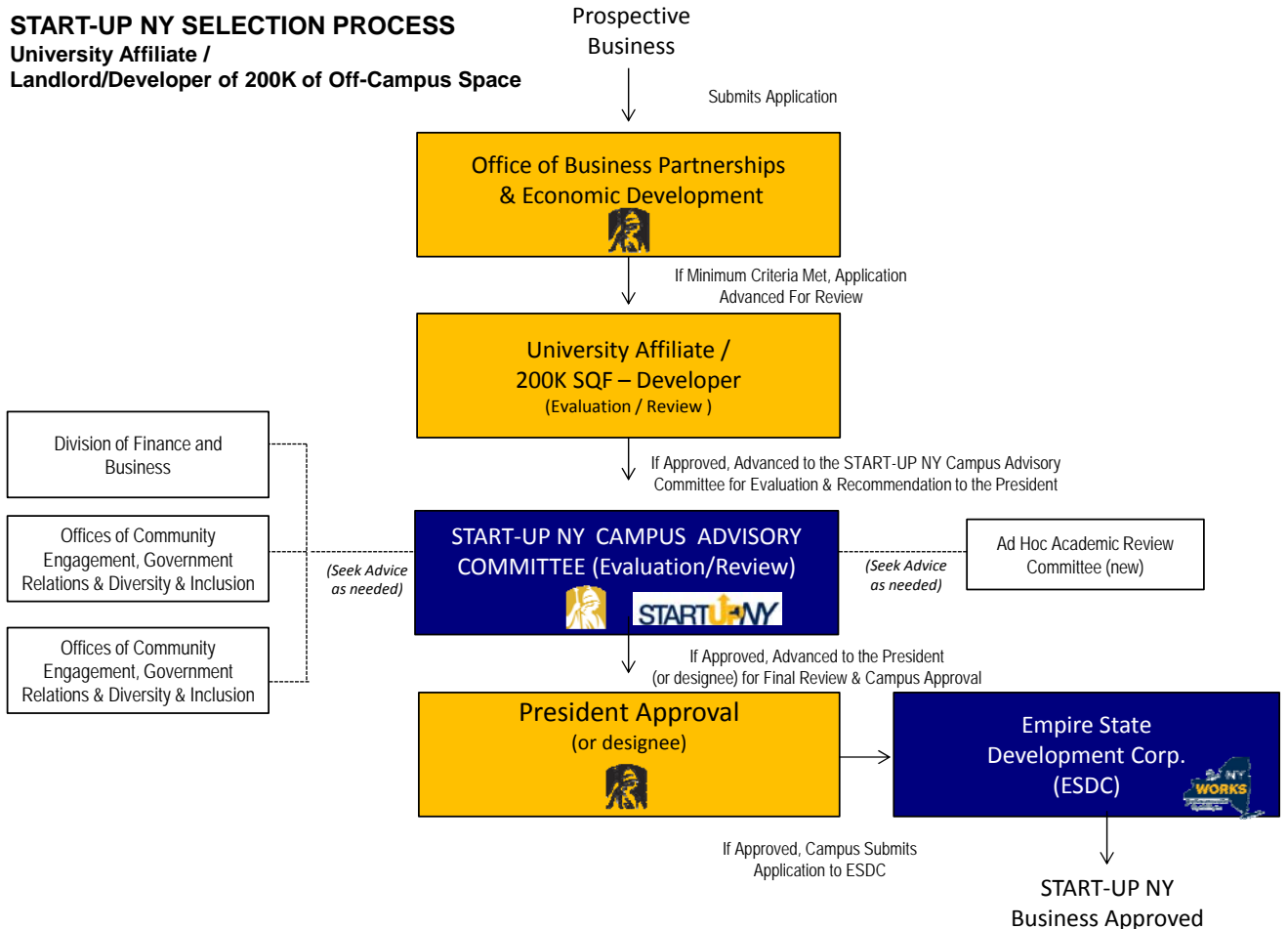
Community Benefits

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

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

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

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



requires an additional step. UAlbany's Office of Business Partnerships and Economic Development will continue with the first review to ensure that prospective businesses seeking to secure START-UP NY designation satisfy certain minimum criteria. Before the application is moved forward to the START-UP NY Campus Advisory Committee and the President, it requires an evaluation by the University affiliate for economic viability, corporate governance and business planning reasons. Again, existing University committees can be solicited to assist with the review process and an Ad-hoc Academic Review Committee can be convened as needed to provide the University and its affiliates with the full array of information needed to assess each application.

### **Upon ESDC Final Approval**

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

## **H. OTHER ISSUES**

### **Confidentiality**

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

### **Conflict of Interest**

The University's evaluations and selection process will account for prospective conflict of interest issues through adherence to the section four hundred thirty-nine of Article 21 of the Economic Development Law, as well as the policies of the State University of New York and the Research Foundation of the State University of New York.

### **Accelerated Decision-Making Process**

Some prospective START-UP NY businesses may require a more rapid decision-making process. Accordingly, the President of the University reserves authority to select and advance businesses under the START-UP NY program to NYS Empire State Development Corporation for final approval.