



Guidelines for CAT Grant Applications, 2007-08

*CAT applications for company co-sponsored project for the July 1, 2007 through June 30, 2008 period will be **due May 30, 2007.***

Sections 1-3 below provide application guidance and grant requirements. An application form (2007-08 CAT Application) is also available on the CAT web page www.cat.columbia.edu) The Appendix includes general CAT program goals and details from NYSTAR.

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1. Overview

General eligibility criteria for projects seeking CAT funds:

- scientific merit, topical relevancy (to CAT technical area*) and need
- commercial potential
- reasonableness of budget and project time frame
- commitment of matching funds (see below and Section 5)
- significant documented economic impact to a New York State company
- historical results of PI from previous CAT grants, if any
- an industry partner, preferably in New York State, that provides matching funds and required documentation (letters of support, etc.) for CAT reports to NYSTAR

See Section 5 for definitions.

* Generally biomedical informatics, bioinformatics/genomics/computational biology, biomedical imaging, computer science

2. Review Process

Applications will be reviewed by an internal group – the CAT Management Team (Hripcsak, Cimino, Schulzrinne, and Tomaselli).

3. Matching Funds (see definition on p. 3)

- Only projects with committed matching funds will be accepted for review. Committed means a letter from a company senior manager clearly stating the type and level of match. (Note: Committed matching funds must be completely spent by the end of the project year - June 30, 2008)
- There are two categories of matching funds accepted by NYSTAR:
 1. Cash from NYS companies,
 2. Cash from non-NYS and in-kind from both NYS and non-NYS companies. Federal grant funds are in this second category. Also,
- The minimum match ratio of NYS cash to CAT funds is 4:1. Preferred applications will have NYS cash match in excess of this minimum.
- Applications for projects with less than the 4:1 ratio or no NYS cash match will be considered, and may be funded, if the overall CAT match threshold for 2007-08 is achieved, and the allowable annual expenditure limit has not been reached.

4. Amount of Awards

Awards for 2007-08 will continue at the same two-level maximum scheme. Larger budget requests with significant match and potential economic impact will be considered.

Award Type	Maximum Direct Cost Award ⁽¹⁾	Minimum Match Requirements	
		NYS Cash	Other ⁽²⁾
A - Level	\$50,000	\$200,000	Bonus
B - Level	\$25,000	\$100,000	Bonus

(1) Direct costs include salary and fringe benefits plus materials, equipment, and travel.

(2) "Other" match will boost application rank score.

Note: CAT grants and matching cash funds are subject to a special low indirect cost rate of 15% on salary and fringe benefits only.

5. How to Apply

To submit a grant application for 2007-08 –

- Complete the CAT Grant Application, 2007-08
- Complete the CAT Project Budget Form, 2007-08
- Submit application, signed by PI and supervisor (email application form; fax/mail original with signatures by May 30, 2007.
- Include signed (original) letter (on letterhead) from company confirming matching funds and anticipated economic impact.

6. Definitions

Economic Impact (to company due to the CAT project) consists of one or more of the following items:

- Number of new jobs created
- Number of saved jobs
- Revenue received by company
- Savings realized
- Capital expenditures
- Financing received

Any impact must be documented at year end by a letter from a senior company manager.

Matching funds includes cash and in-kind [equipment, materials, software, company labor on campus (with restrictions)] donations from industry client. Cash from a NYS company is the preferred type of matching funds.

7. Activities to Be Supported With NYSTAR Funds

The purpose of NYSTAR's investment in the CAT is to enhance its ability to contribute to economic growth in New York State. NYSTAR funds may only be used to support collaborative applied research with industry and industry-oriented education and training.

1. USES OF NYSTAR FUNDS

NYSTAR CAT Program funds may be used for the following items:

- Employment of faculty and support staff;
- Employment of graduate and undergraduate students, including fellowships;
- Purchase of equipment and/or fixtures;
- Purchase of materials and supplies;
- Travel to a company location for project-related activities;
- Other purposes explicitly approved by NYSTAR prior to being incurred.

2. LIMITATIONS:

Indirect Costs are limited to 15 percent of direct personnel costs (salaries plus fringe benefits). This Indirect Cost limit also applies to Matching Funds that will be recognized under the CAT Program.

Aside from providing for general allowable operating needs of the CAT such as equipment and supply purchases, travel, etc., NYSTAR funds **cannot** be provided to any for-profit organization.

NYSTAR funds cannot be used for rent or capital construction; rehabilitation, renovation, or upgrading of existing space or infrastructure; or for telecommunications or utility costs.

No NYSTAR funds may be expended on basic research or research projects that do not receive matching funds support from a company.