



Guidelines Application for 2009-10 CAT Grants

Applications for the July 1, 2009 through June 30, 2010 period are due

May 26, 2009

Application forms are available on the CAT web page www.cat.columbia.edu.

Please contact the CAT office at 212-305-2944 with any additional questions.

<u>Contents</u>	<u>Page</u>
1. Overview	2
2. How to Apply	2
3. Awards	2
4. Review Process	2
5. Matching Funds Details	2
6. Economic Impact Details	3
7. Activities to Be Supported With NYSTAR Funds	3

Note: For 2009-010, some requirements and grant amounts have been changed. Match requirements have been relaxed, but economic impact to companies is maintained or increased.

1. Overview

Centers for Advanced Technology (CAT) support university-industry collaborative research and technology transfer in commercially relevant technologies. The CAT program was created in 1983 to facilitate the transfer of technology from New York's top research universities into commercially viable products produced in the private sector.

General eligibility criteria for projects co-supported with 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 Sections 3 and 5)
- significant documented economic impact to a New York State company
- historical results of PI from previous CAT grants, if any
- an industry partner in New York State that provides matching funds and required documentation (letters of support, etc.) for CAT reports to NYSTAR

* Advanced Information Management. This has historically included biomedical informatics, bioinformatics/genomics/computational biology, biomedical imaging, computer science

2. How to Apply

To submit a grant application for 2009-10 –

- Complete the CAT Grant Application, 2009-10
- Complete the CAT Project Budget Form, 2009-10
- Submit application, signed by PI and supervisor (email application form; fax/mail original with signatures by May 15, 2009.
- Include signed (original) letter (on letterhead) from company confirming matching funds and anticipated economic impact.

3. Awards

For 2009-10, applicants may request co-support for industry-related projects of up to \$100,000. Larger budget requests require both significant match and demonstrable potential economic impact. In-kind match from company sponsor can help proposal rating, but is not a substitute for cash. Awards may be limited by available funds.

4. Review Process

Applications will be reviewed by an internal group – the CAT Management Team.

5. Matching Funds

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

- Committed matching funds must be completely spent by the end of the project year - June 30, 2010 – and should be spent in tandem with CAT funds.
- Proof of cash payment to Columbia is required.
- For 2009-10, the target match ratio of NYS cash to CAT funds is reduced to 3:1. Preferred applications will have NYS cash match in excess of this suggested minimum.
- Applications for projects with lesser NYS cash match will be considered, and may be funded, if the overall CAT match threshold for the project year is achieved, and the funds are available. However, the need for demonstrated economic impact to the company is maintained.

6. Economic Impact (to company directly resulting from the CAT project) consists of one or more of the following items:

- Number of new jobs created
- Number of saved/retained jobs
- Revenue received by company
- Savings realized
- Capital expenditures
- Financing (e.g., angel, venture, SBIR, other) received

An estimate of impact must be included in the application. The final impact must be documented at the project year end by a letter from a senior company manager.

Typical economic impact is 10-20x the amount of project matching funds. (New job created value = \$100K per year, retained = \$75K per year)

7. Activities to Be Supported With NYSTAR Funds (from NYSTAR Guidelines)

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

- 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% of direct personnel costs (salaries plus fringe benefits). This Indirect Cost limit may also apply to industry matching funds.

NYSTAR funds cannot -

- be provided to any for-profit organization.
- be used for rent or capital construction; rehabilitation, renovation, or upgrading of existing space or infrastructure; or for telecommunications or utility costs.
- be expended on basic research or research projects that do not receive matching funds support from a company.