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Technology & Innovation

MATCHING GRANTS LEVERAGE PROGRAM

**EMPIRE STATE DEVELOPMENT
DIVISION OF SCIENCE, TECHNOLOGY & INNOVATION**



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Revised 8/2011



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1. The Matching Grants Leverage Program

A. Overview

The goal of the Empire State Development Division of Science, Technology & Innovation (NYSTAR) Matching Grants Leverage Program is to assist New York State research institutions in attracting new federal and private foundation or industry research dollars to New York. NYSTAR will consider a Matching Funds Grant request once all of the required information as described below has been submitted.

To provide adequate time to process the request, forward all information to NYSTAR a minimum of 30 days before the grant is due for submission. NYSTAR will accept applications after this date, but a response may not be provided prior to the proposal submission deadline. NYSTAR will not accept applications after the grant has been received.

B. Eligibility

Higher education and not-for-profit research institutions (herein referred to as research institution) in New York State are eligible to apply for matching funds or a letter of support. To qualify for a Matching Funds Grant, NYSTAR requires the research institution to meet a minimum 3:1 matching requirement of dollars coming to New York State, **excluding** institutional support. For every dollar an institution receives from NYSTAR, the institution must receive three dollars from sources outside the institution. Funds eligible for matching are those received by the institution from the granting entity and/or from private industry that will remain in New York State. Institutional and other state funds are not eligible to calculate the 3:1 matching funds requirement.

In addition to the above, the institution must demonstrate in-kind institutional support that equals a 1:1 match of requested state funds. Items eligible to be approved as match must be directly related to the purpose of the proposed activities. Items eligible for match include, but are not limited to: compensation for the research staff and graduate students working on the project; and costs related to constructing, renovating, preparing and equipping the work space required for the project. The applicant institution must provide the funds used to demonstrate this 1:1 match requirement should the institution receive the federal or private research grant. Funds derived from other research grants may not be used to meet this requirement.

Both the 3:1 non-institutional and the 1:1 institutional match are required in the executed contract the institution will enter into with NYSTAR if the institution receives the research grant and the State makes a financial commitment.

C. Funding Amounts

The minimum matching funds that may be applied for from the State is \$100,000 per year.

D. Activities to Be Supported

State matching funds may be used for expenses including, but not limited to, salaries of the principal investigator and the research staff, equipment, materials, and supplies. NYSTAR funds cannot be used to pay for general operational costs such as rent and utility costs. All indirect costs charged to NYSTAR and matching funds are limited to a maximum of 15 percent of total salaries plus fringe benefits. NYSTAR does not recognize the full Federal indirect cost rate when calculating indirect costs on its contracts.

E. Application Process

For NYSTAR to consider a request for a Matching Funds Grant, research institutions are required to submit the following:

- a. A cover letter addressed to Ed Reinfurt, Director, requesting consideration of a Matching Fund Grant request signed by an individual at the research institution who has the legal authority to enter into contracts on behalf of the institution;
- b. The project abstract for the grant (2 page maximum);
- c. A completed Application Form;
- d. Budget Form 1: A list showing the source of funds for the project;
- e. Budget Form 2: For grants supporting a consortium, a breakdown showing how the funds will be disbursed among the members of the consortium;
- f. The date the application is due; and
- g. Indication of whether the matching funds grant request will support initiatives that have received, or is receiving, New York State grants from any agency or public benefit corporation.

Upon submission of the information listed above, NYSTAR will consider the application and may request further information or clarification of information. **An individual at the research institution who has the legal authority to enter into contracts on behalf of the institution must submit all applications.**

F. Review Process

Upon receipt of the required information, NYSTAR will review the request to determine if all matching fund requirements have been met. After all submission requirements have been met, NYSTAR will review the request and forward it for consideration by the Director or a designee. NYSTAR reserves the right to suggest modifications to the proposal.

Requests for Letters of Support will be reviewed by NYSTAR staff and forwarded for consideration by the Director or a designee.

G. Reporting

Each institution receiving a State matching fund grant will be required to complete and file financial and progress reports to NYSTAR semi-annually. Upon execution of a contract for such matching funds, NYSTAR will provide reporting guidelines and forms to the institution. Any institution receiving a matching funds grant equal to or in excess of one million dollars, in total, may be required to provide NYSTAR with an annual report for five years after receiving all of the State's matching funds.

H. Submission of Information

Mail the hard copy of the request to:

Ed Reinfurt, Director
Empire State Development Division of Science, Technology & Innovation
Matching Grants Leverage Program
30 S. Pearl Street, 11th Floor
Albany, NY 12207-3425

E-mail a copy of the request to:

NYSTARsupport@empire.state.ny.us

If you have any questions about the Matching Grants Leverage Program, please call 518-292-5700.