



# Division of Science, Technology & Innovation

**A Division of Empire State Development**

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## **Empire State Development Division of Science, Technology & Innovation (NYSTAR)**

### **MATCHING GRANTS LEVERAGE PROGRAM**

Revised 11/16

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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 funding for applied research, technology acceleration or supply chain assistance funding. NYSTAR will consider a Matching Funds Grant request once all of the required information as described below has been submitted.

A funding commitment made through this program demonstrates New York State support to strengthen an applicant's proposal and increase the likelihood that state research institutions will be awarded competitive federal funding. New York State funding will only be granted to research institutions that are successfully awarded the federal funding to which a matching grant commitment is tied to.

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, if the solicitation is open for 30 days or less, but a response may not be provided prior to the proposal submission deadline. NYSTAR will not accept applications after the grant has been awarded. If funding is available, NYSTAR will accept applications on a monthly basis with a due date of the 20<sup>th</sup> of each month.

### **B. Eligibility**

Higher education research institutions 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. For every dollar a research institution receives from NYSTAR, the research institution must receive three dollars from other sources. Funds eligible for matching are those received by the research institution from the federal or foundation granting entity and/or from private industry that will remain in New York State. Other state funds are not eligible to calculate the 3:1 matching funds requirement.

An applicant may include up to 1:1 institution match. Items eligible to be approved as match must be directly related to the purpose of the proposed activities. Items eligible for institutional match include, but are not limited to: compensation for project staff and students working on the project; and costs related to constructing, renovating, preparing and equipping the work space required for the project. Funds derived from other research grants may not be used to meet this requirement.

The 3:1 match is required in the executed contract the institution will enter into with NYSTAR, if the applicant is successfully awarded funding 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 with a maximum of \$500,000 per year.

### **D. Activities to Be Supported**

State matching funds may be used for expenses including, but not limited to, salaries of staff directly involved in the proposed project, 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 Matt Watson, Director, requesting consideration of a Matching Fund Grant signed by an individual at the research institution who has the legal authority to enter into contracts on behalf of the institution;
- b. A summary of the grant opportunity and institution's proposal. (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 Federal 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 review the application and may request further information or clarification of information. **An individual who has the legal authority to enter into contracts on behalf of the institution must submit all applications.**

Annually, NYSTAR will have 12 rounds of grant reviews with a proposal due date of the 20<sup>th</sup> of each month.

**Questions may be submitted through email to: [nystar@esd.ny.gov](mailto:nystar@esd.ny.gov). Frequently Asked**

**Questions (FAQs) will be updated and posted in a timely manner at <https://esd.ny.gov/nystar/matchinggrants.asp>.**

## **F. Review Process**

Upon receipt of the required information, NYSTAR will review the request to determine if all matching fund requirements have been met. If all submission requirements have been met, NYSTAR will forward it for consideration by the review committee. Requests will be reviewed by a panel of three or more individuals who will provide individual scores. An average of the reviewers' scores will be the final score of the application. In the event of multiple requests receiving the same score and funding not available for all requests, all amounts, for the proposals with a tied score, will be lowered by the same proportion until they total at or under the available funding level. In addition, the panel has the authority to approve less than the full amount that the applicant is seeking. NYSTAR reserves the right to suggest modifications to the proposal.

The review committee will consider the following factors when scoring the proposals:

- Economic Impact potential (15 Points);
  - Applicants should include the following potential impacts that the proposal will likely achieve including: jobs created/retained; sales increased/retained; cost savings; companies created; angel/venture/other funding; additional research funding and/or other information that demonstrates expanding the innovation economy.
- Technology focus potential (15 Points);
  - Applicants should briefly explain the potential of the technology and/or project potential and the importance to New York State industry. Examples of technology that may be accelerated / commercialized are expected.
- Number of NYSTAR Matching Grants Leverage Program commitments pending or awarded to the applicants institution and availability of funds (15 Points);
  - Applicants should list other proposals that have recently been submitted to this program by their institution, to the best of their ability.
- Credentials of key personnel (15 Points);
  - Summarize the background of key staff and their experience in the technology sector or project and previous work with industry/entrepreneurs.
- Funding amount leveraged and source(s) (10 Points);
  - Applicants should include the amount of funding that will be made possible by the Matching Grant Leverage Program with a breakdown that includes sources (ex. Federal, foundation, industry, etc.)
- Industry and/or entrepreneur partners (10 Points);
  - Applications should list companies and/or entrepreneurs that will be partnering on the project.
- Reasonableness of Budget (20 Points)
  - Applicants should breakdown funding sources and uses of funding.

Only requests receiving a score of 75 or better from the review committee will be recommended for Matching Grant Leverage Program Funding. In the event that funding is limited at the time of consideration of requests, NYSTAR will fund the top scoring applications (in full or partially) until the funding is fully committed.

### **G. Reporting**

Each institution receiving a State matching fund grant will be required to complete and file financial and progress reports to NYSTAR bi-annually. In addition, success stories and tracking impacts/metrics will be required. 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 up to five years after receiving all of the State's matching funds.

All awardees must provide the following minimum deliverables to ESD; more details will be included in the agreement:

- Bi-Annual progress and financial reports;
- Bi-Annual reports detailing activities;
- Information on technology transfer and associated economic benefits (impacts); and
- Success stories.

### **H. Award Notification**

Applicants that receive a commitment through the Matching Grant Leverage Program must notify NYSTAR within 60 days after the federal or foundation award announcement has been made by the granting entity, or the funding commitment made through this program will be rescinded. A copy of the award letter must be emailed to NYSTAR before the contract process will begin.

### **I. Submission of Information**

Applications to the Matching Grants Leverage Program should be emailed to: [nystar@esd.ny.gov](mailto:nystar@esd.ny.gov).

Also, on the electronic fillable PDF application, select submit to generate a copy of the application and then email it to the address above (NOTE: the subject line of the self-generated email is designed to automatically route the application to NYSTAR staff – Do not add, delete or change the subject line).

If you have any questions about the Matching Grants Leverage Program, please call 518-292-5100.