

**30 Questions & Answers and *Modifications*
to RFA #0802071100**

Planning Grants for Emerging Opportunities and
Consortia Development for Stem Cell Research

NOTE: These questions & answers and *modifications* supersede any previously received written or verbal responses.

Letter of Intent

1. The Letter of Intent form is posted as a .pdf file. Is it available in another format?
Yes. The Letter of Intent form was reposted to the DOH web site as a Microsoft Word (.doc) document Monday, May 12, 2008. It can be downloaded from: <http://www.health.state.ny.us/funding/> .

2. The Letter of Intent form and instructions do not indicate where I should include the research project title and summary paragraph of the proposed research. What should I do?
Only complete the information requested on the Letter of Intent form. Information regarding the title and scope of the proposed research should not be submitted.

3. Can I add additional pages to the Letter of Intent form if I do not have room to list all my collaborators?
Yes. Be careful to retain the signature boxes and have the Letter of Intent signed.

4. Do we need to identify the members of a consortium in the Letter of Intent?
Yes, using Attachment 4 to the RFA. Anticipated members of the consortia planning activities should be listed as collaborators. However, these collaborators can change between the time of filing the Letter of Intent and the time the application is filed without notification to NYSTEM.

5. The Letter of Intent form asks for the primary contact at a collaborating institution. Should this be the senior scientist involved?
Yes. The primary contact person should have knowledge of the proposed application and the intent to form collaboration should funding be approved.

6. If I file a Letter of Intent, do I have to file an application?
No. Filing a Letter of Intent does not require submission of an application (see page 5 of the RFA).

7. When is the Letter of Intent due and is it mandatory to file a Letter of Intent?
The Letter of Intent due date has been extended to June 4, 2008 by 1 PM and must be filed and accepted before an application can be filed in response to the RFA (see pages 4 and 5 of the RFA). *This answer represents a modification to the RFA.*
8. How will I know if my Letter of Intent was accepted?
The submitting Principal Investigator will receive written (e-mail) acknowledgement from NYSTEM indicating:
- **Accepted Letters of Intent – notification will include assigned application number(s) to be used when filing the application(s) (see page 5 of the RFA); or**
 - **Declined Letters of Intent (received after the due date or not properly signed) – notification will include reason for the declination. *This answer represents a modification to the RFA.***
9. What if the applicant institution decides to change the Principal Investigator after the Letter of Intent is filed?
If the applicant institution decides to change the Principal Investigator after the Letter of Intent is filed, the institution must notify NYSTEM in writing prior to or at the time of application (see page 5 of the RFA).
10. Can you define a collaborator?
A collaborator is any individual outside the PI's laboratory who will be participating in or contributing to the research project. This individual can be within the applicant institution or from another institution, and may or may not receive funding support.
11. Can a collaborator be from outside New York State or from outside the United States?
Yes. However, at least one collaborator in addition to the applicant PI must be employed by a New York State not-for-profit or governmental organization (see page 2 of the RFA).
12. Where do I send the Letter of Intent and to whom should it be mailed (couriers generally require a name)?
Letters of Intent can be addressed to the attention of Michael Heeran and should be mailed to:
- Regular mail (US Postal Service only):**
New York State Department of Health
Wadsworth Center, Room D350
Extramural Grants Administration
Empire State Plaza
PO Box 509
Albany, NY 12201-0509

Courier (Express Mail Services and any non US Postal Service carrier):
New York State Department of Health
Wadsworth Center, Room D350
Extramural Grants Administration
Empire State Plaza
Dock J – P1 Level
Albany, NY 12201-0509

13. For mailing purposes, can I bundle a Letter of Intent from this RFA with Letters of Intent from other NYSTEM RFAs from my institution that are due on the same day?

Yes. Be sure to include the appropriate number and types of Letters of Intent as directed in each RFA (see Attachment 4 to each RFA). However, note that the due date of the Letter of Intent for this RFA has been extended to June 4, 2008 while the due dates for the other NYSTEM RFAs have not been extended.

Eligible Participants/Institutions

14. Is there a limit to how many applications an individual can participate in?

No. Individuals can participate in as many applications as they wish but may only serve as Principal Investigator on one application. This is confirmed on page 2 of the RFA as “An institution ... may only serve as the lead institution on one application.” Serving as the lead institution on that application does commit the applicant institution to one of its maximum of three institutional partnerships (also see question #15).

15. The RFA says institutions can participate in only three applications. Does any institution employee participating in an application count toward this limit?

No. In addition, the Department of Health wants to make it quite clear that Page 2 of the RFA states “An institution may be involved as a partner in a maximum of three consortia...” Institutional partnership is defined as the commitment of resources to the planning application that extends beyond those expenses reimbursed through the contract budget (“in kind” contributions). The collaboration of a single investigator whose percent effort is fully reimbursed through the contract budget is not considered an institutional partnership.

If, at the time applications are received, an institution is determined to have committed resources to (i.e. “is involved as a partner in”) more than three applications (also see question #14), NYSTEM will notify the over-committed institution, requiring resolution within three business days. If the over-commitment is not rectified within that time, the associated applications will be deemed ineligible for review. *This answer represents a modification to the RFA.*

General Questions

16. Form 1: If there is not a DHHS Agreement for the F&A rate, what information is required for documentation and in what format should it be presented?

The RFA states "In the absence of a DHHS agreement, an equivalently documented rate for the organization may be used." An institution's Certified Financial Statements could be submitted if other documentation does not exist.

17. Form 1: If the institutional affiliation of the Co-PI is different from that of the PI, a second face page must be completed. On that second face page, should all the information on the second page pertain to the Co-PI's institution - for example, the Co-PI institution's federal employee number or the Co-PI institution's F&A rate?

Yes, all information on the Co-PI's face page should be specific to the Co-PI, the Co-PI's institution, and the work the Co-PI is putting forth on the research project.

18. Form 6 (the Subcontractor Personnel Effort and Budget Justification): should one provide a detailed listing of line items or is it meant to be a narrative?

Both. The table needs to be filled out and narrative completed as described on the form.

19. With respect to Facilities and Administrative costs for subcontracts, does the same 20% maximum apply?

Yes. Subcontractor F&A costs are likewise limited, and must be included in the applicant's direct costs.

20. Where can I get the application forms?

The Microsoft Word document forms can be downloaded from: <http://www.health.state.ny.us/funding/> . Forms are specific to each RFA.

21. What are the margin requirements on the application forms?

Applicants must adhere to the margin requirements as set in the application forms. Using the forms as posted at <http://www.health.state.ny.us/funding/> without modifying the margins is strongly advised. Most, not all, margins are 0.5" top/bottom and 0.6" left/right.

22. Is there an official goal or mission statement for the Empire State Stem Cell Board?

No. Currently the Board has not adopted an official mission statement. However, the Empire State Stem Cell Board draft strategic plan can be viewed at: <http://www.nystem.org/>.

23. Is there a page limit to the Work Plan?
Yes. The Work Plan is limited to five pages, including text and figures. See RFA page 15.
24. Can an investigator who is in the process of getting their green card be a PI?
Yes, as long as the investigator is an employee of the institution.
25. Will the planning grants only advise NYSTEM on possible future RFAs, or is it the idea that successful planning grants will directly result in a fundable plan / consortium after the one year period without going through a new RFA?
As stated on page 1 of the RFA, the review of resulting plans from this RFA may impact NYSTEM's work to develop and issue future RFAs. Any future RFAs issued will be open competitions such that applicants need not have been recipients of planning awards to be eligible to apply for a future consortium RFA. A successful planning grant applicant that wishes to obtain future funding to implement the plan will need to apply for such funding under a subsequent RFA.
26. We are a non profit (or public) institution that manages external grant funds on behalf of the institution that employs the PI. Does the PI meet the criteria of being "employed by the applicant institution" in this case?
Yes. For purposes of this RFA, the PI can be considered an employee of the applicant institution.
27. Is there a minimum percent effort requirement for the PI?
No.
28. Would there be an opportunity to submit additional material (e.g., supportive data) for the award subsequent to the submission deadline of the complete application?
No. All material must be submitted by the application due date and time.
29. Do you require subcontracts to reimburse collaborators for their time and effort related to the research project?
No. There are no specific requirements requiring subcontracts to be in place. The policies and procedure of the applicant institution should be followed in these matters.
30. Can someone on sabbatical from an out of state institution who is working full time in our Institute, as a visiting professor, qualify as a PI? Does the position and time commitment suffice for "employee" status in the absence of payment?
Yes, as long as the policies of both the home and visiting institution do not conflict with the RFA in this regard.