

**Questions & Answers and Modifications  
as of 12/14/07  
for RFA No. 0710241239**

Grants for Institutional Development of Stem Cell Research Capabilities

The **Questions and Answers** provided here have been separated into five categories: General; Supplemental Funding; Bridge Funding; and Shared Equipment/Core Facilities. Some are repeated in more than one category to aid the reader.

NYSTEM will continue to accept and respond to individual questions through 4pm on December 31.

Attached to this Question and Answer document are the following **Modifications**:

- Attachment 1 – reflecting the correction of a math error for Columbia University Morningside Campus, of which the university has been notified), and
- Additional Standards for applicants conducting human embryonic stem cell research, which were adopted and approved by the ESSCB Funding Committee on December 13, 2007.

General

1. **Please define the use of the term “institution” in this solicitation as it relates to the number of applications that may be submitted.**

Each eligible institution is given a separate line on Attachment 1. So, for example, the member campuses of the CUNY system (e.g., Hunter, City) are considered separate institutions for the purposes of this application. As such, Hunter may submit a single application, and City College may submit a separate application.

2. **Are multiple applications from one institution acceptable?**

No. Only one application will be accepted per institution. The application should incorporate any or all of the eligible activities as it deems to be eligible and appropriate in response to the solicitation. Many institutions seem to be coordinating the application through the Research Office.

3. **The submission is to be done electronically on a pdf with institutional signature and PI signature. Is the PI allowed to submit? Or must it come from an institutional officer?**

As long as the submission Face Page is signed by both individuals, it does not matter who sends the Email to submit the application.

The PI, however, should be an institutional official rather than an individual investigator.

4. **Our institution is closed the final week of the year for winter break. Are any extensions to the New Year's eve deadline allowed?**

No extensions will be granted.

5. **Is Wadsworth Center eligible to apply?**

No.

6. **My institution is a non-profit laboratory that does not receive any funds from NIH or NSF. Can we still apply?**

No. Your institution does not meet the eligibility criteria to receive funds from the current solicitation. There are likely to be future Requests for Applications (RFAs) for which your lab and/or institution may be eligible to apply.

7. **If a stem cell researcher has appointments at more than one institution, can the funded stem cell projects of that investigator be supported by these funds if only one of the institutions is eligible to apply?**

Only those projects that were submitted through or awarded to the eligible institution may be included in the application.

8. **Does receipt of funds from industry/pharma eliminate a research project from eligibility for support from this RFA?**

No.

9. **Will there be additional funds for PI-driven research in the future or is this one institutional grant all that will be offered?**

This solicitation is the first to be issued. There will be future Requests for Applications (RFAs) for which your lab and/or institution may be eligible to apply.

10. **Will this solicitation be offered again next year or later into the future?**

That decision has not been made. This first solicitation is intended to support and bolster institutional infrastructure in New York State research laboratories.

11. **Are there any citizenship requirements for investigators receiving support under this solicitation?**

No, there are no stipulations placed on citizenship.

**12. Is the maximum award amount shown in Attachment 1 inclusive of the 10% indirect costs?**

Page 3 of the solicitation notes that Facilities and Administrative Costs (indirects, overhead) will be included in the total amount of the award.

**13. Is the maximum award amount shown in Attachment 1 the maximum we can receive per individual grant, or is it that the sum total of all grants from the institution not to be more than this amount? If the latter is the case, how do we represent the budgets?**

Only one application may be submitted by the institution, and should represent the sum total of all projects the institution intends to support with funds from this award. The solicitation describes the means by which Forms 4 (a summary budget for the entire application), 4a (a summary budget for each eligible activity) and 4b (a budget for each project supported under that eligible activity) should be used to reflect the proposed budgets.

**14. Please describe the proper use of Forms 4, 4a and 4b.**

Form 4b is the smallest increment. A separate Form 4b should be used for each component project, and should reflect only the direct costs for which the applicant is seeking funding from this RFA. A separate Form 4a should be used for each of the four eligible activities. Each Form 4a is the sum of all Form 4b's for that eligible activity. From each Form 4b, the entry on line 12 is entered on a separate line in Column A on Form 4a. Ten percent indirect costs are added to Column B on Form 4a (where appropriate), and the total of those columns is reflected in Column C. Form 4 is the sum of the four Form 4a's. Twenty-five percent match is added to Column D on Form 4. Match can be applied per eligible activity or applied to the sum total of the request (see question #17 below).

**15. There is a four page limit on Form 3. Is there a page limit for Form 4b sections? For example the justification of need following a Form 4b budget is a narrative section that could be very detailed or very brief depending on the writer. What would be acceptable for this application?**

There is no page limit for Form 4b. Each project may require different types and amounts of back-up, justification, substantiation, etc. As with all applications, an effort should be made to make a strong case for funding while sparing the reviewer's eyestrain as much as possible.

- 16. What are the review criteria for supplemental and bridge projects?**  
Eligibility, feasibility, and reasonableness of budget are the criteria used for all activities.
- 17. In meeting the required match, do all projects have to be matched or can the match be applied to a smaller subset of projects as long as the total match is 25% of the entire budget? Can match be done in the years beyond the award year (e.g., staff salaries in subsequent years to run the equipment purchased under this grant)?**  
Total match must be greater than or equal to 25% of the entire budget awarded. Match must be in the same budget year as the award.
- 18. Our institution would like some assurance that a long-term benefit will be reaped from investment of matching funds. What is the long-term plan for supporting stem cell research in New York State?**  
The legislation that created the Empire State Stem Cell Research Board in 2007 authorizes \$600 million to be invested in stem cell research activities in New York State over ten years. The Board is preparing to embark upon a strategic planning initiative that will provide the necessary framework upon which to recommend future stem cell research initiatives.
- 19. For In-Kind Match, could monies for existing stem cell awards be considered for cost sharing?**  
No. Match is generally considered to be contributed directly by the institution, and in this case, must also be used to support activities that are of the type permitted to be funded under this program (supplemental, bridge, training and shared equipment/core facilities).
- 20. Are there any additional guidelines available that explain what type of information you are looking for the Form #3 (the Institutional Commitment to Stem Cell Research form). Would this be general descriptions that the institution provides or is this to be a description of the individual investigator's facilities, plans and overview?**  
This is an institution-wide application, so the form is intended to reflect the institution's commitment to the development and enhancement of stem cell research at your institution.

**21. Is Appendix D to be submitted as part of the application?**

No. NYSTEM will work with contractors to develop final workplans and budgets for inclusion in the contract after a determination regarding the award is made.

**22. Must the funds be used for human embryonic stem cell research or may other model systems be used?**

All stem cell research in any model system could be eligible for support from these funds.

**23. How can I know if and when further RFAs might be announced, especially for investigators that are not currently funded?**

Short of attending the public meetings, there are two ways to stay abreast of plans for RFAs from the Empire State Stem Cell Board: (1) visit <http://stemcell.ny.gov/index.html> and sign up for eAlerts or (2) view a webcast of the meeting at <http://www.health.state.ny.us/events/webcasts/> .

Bridge Funding

**1. For bridge funding projects, the solicitation specifically states that the “stem cell research was deemed meritorious by reviewers following submission of a competitive renewal application”. First, what is the definition of meritorious? Second, if a past funded project was not eligible for renewal but the continuing project was submitted to another funding agency or program and was peer-reviewed and scored would that project be eligible for bridge funding?**

A meritorious project receives a score comparable to the NIH 2.5 or better, or is in the top third. The second scenario you describe could be considered eligible if it were demonstrated to be the continuation of a funded project that had been scored as meritorious by the second agency. Please refer to the section labeled "Applying for Funds" on page 2 of the solicitation regarding determination of eligibility.

**2. Can a project be eligible for bridge funding if it is not a continuing project? For example we have several projects that were submitted to the NIH as new projects and were reviewed and scored but not funded.**

New projects are not eligible for bridge funding.

- 3. What are the review criteria for supplemental and bridge projects?**  
Eligibility, feasibility, and reasonableness of budget are the criteria used for all activities.

### Supplemental Funding

- 1. For supplemental projects, would peer-reviewed projects funded by our university's internal grant program be eligible as a currently funded project needing supplemented?**  
No. These funds are intended to support externally peer-reviewed projects.
- 2. For Supplemental projects it is requested that a project abstract be included. I assume that this is an abstract of the proposed project. Should an abstract of the currently funded project be included in addition to the notice of award?**  
An abstract of the currently funded project should be attached. The supplemental aspects of the project can be detailed either in a separate abstract or made part of the justification for the supplemental funds.
- 3. Should biosketches be included with supplemental projects?**  
If the supplemental funds will be used to support additional staff, biosketches for those additional staff should be included.
- 4. What are the review criteria for supplemental and bridge projects?**  
Eligibility, feasibility, and reasonableness of budget are the criteria used for all activities.
- 5. If the research project abstract does not mention stem cells but the application includes it, will this project be eligible for supplemental funding?**  
If there is back-up documentation that can be provided in the application that reflects stem cell research is part of the funded project, this project would be considered eligible.
- 6. Our institution has a funded core facility for human embryonic stem cell research. Should we apply for supplemental funding or shared equipment?**  
Whichever is most appropriate for the proposed use of the funds (i.e., staff for the core may be supplemental, whereas equipment purchases may be shared equipment). In either case, appropriate documentation should be provided.

## Stem Cell Research Training

1. **One of the fundable categories in this RFA is training by travel to hosting labs and conferences. Is it permissible to use these funds to invite external stem cell research experts to provide training of our investigators at our institution, and can the unspecified funds for travel and conferences be used for this purpose?**

Yes.

2. **Does the invitation of external speakers and experts to our institution qualify as Stem Cell Research Training, and can the unspecified funds for travel and conferences be used for this purpose?**

Yes.

3. **Can graduate students and post docs be included in the training plan/budget, or is it restricted to PIs?**

The original intention behind the training activity #3 was to allow experienced investigators to take sabbaticals, visit other labs to learn/refine stem cell specific techniques, attend specific conferences and seminars, and other appropriate means of training. It has been broadened to allow the reverse (e.g., inviting speakers to your institution). The overall goal is to reinforce and bolster the stem cell research community – a goal that does not exclude training for postdocs and graduate students.

4. **Can training of one researcher in a new technique be provided by another researcher from the same institution?**

Yes, provided that the requested support does not include salary.

## Shared Equipment/Core Facility

1. **Can a joint application be provided, e.g. for shared equipment across eligible institutions or for a joint core facility?**

Yes. It must be clear that there is no duplication, however, and the application must clearly indicate such arrangements and relationships.

2. **Our institution has a funded core facility for human embryonic stem cell research. Should we apply for supplemental funding or shared equipment?**

Whichever is most appropriate for the proposed use of the funds (i.e., staff for the core may be supplemental, whereas equipment

purchases may be shared equipment). In either case, appropriate documentation should be provided.

3. **May equipment purchased with funds from this solicitation be located in a facility owned by the applicant institution but not located on the main campus?**

Yes.

4. **Is the cost of an extended service contract/maintenance agreement (that goes beyond the end date of the contract) considered an eligible expenditure?**

No.

5. **Creating a single core facility involves equipment, supplies, training, staff, etc. May we include all of this in a single budget?**

Yes, please do.

6. **Is the zero in the Indirect Cost column on Form 4 appropriate for a core facility or can it be changed?**

The zero was placed there as a reminder to applicants that no indirect costs would be paid on the equipment purchase itself. Applicants proposing to support a core facility may replace the zero with the appropriate indirect cost associated with the core (exclusive of its equipment).

7. **Must the equipment be used for human embryonic stem cell research or may other model systems be used?**

The equipment funded through this RFA could be used for stem cell research in any model system (e.g., human, mouse).



## Attachment 1

Organization Name	NIH Total Awards \$	NSF Total Grants \$	TOTAL	1% of TOTAL	Maximum Award from this Solicitation
AARON DIAMOND AIDS RESEARCH CENTER	\$6,550,879		<b>\$6,550,879</b>	\$65,509	\$100,000
ALBANY MEDICAL COLLEGE OF UNION UNIV	\$11,057,295		<b>\$11,057,295</b>	\$110,573	\$110,573
AMERICAN MUSEUM OF NATURAL HISTORY		\$4,827,000	<b>\$4,827,000</b>	\$48,270	\$100,000
BARNARD COLLEGE	\$1,229,718	\$1,451,000	<b>\$2,680,718</b>	\$26,807	\$100,000
BETH ISRAEL MEDICAL CTR (NEW YORK)	\$3,169,794		<b>\$3,169,794</b>	\$31,698	\$100,000
BOYCE THOMPSON INST FOR PLANT RESEARCH	\$666,858	\$1,953,000	<b>\$2,619,858</b>	\$26,199	\$100,000
BROOKHAVEN SCIENCE ASSOC-BROOKHAVEN LAB	\$7,735,824	\$261,000	<b>\$7,996,824</b>	\$79,968	\$100,000
BROOKLYN COLLEGE	\$3,718,579	\$1,399,000	<b>\$5,117,579</b>	\$51,176	\$100,000
CITY COLLEGE OF NEW YORK	\$10,224,996	\$9,655,000	<b>\$19,879,996</b>	\$198,800	\$198,800
CLARKSON UNIVERSITY	\$441,591	\$2,748,000	<b>\$3,189,591</b>	\$31,896	\$100,000
COLD SPRING HARBOR LABORATORY	\$31,419,298	\$6,674,000	<b>\$38,093,298</b>	\$380,933	\$380,933
COLLEGE AT OLD WESTBURY	\$1,728,257	\$41,000	<b>\$1,769,257</b>	\$17,693	\$100,000
COLLEGE OF ENVIRON (SUNY)		\$1,668,000	<b>\$1,668,000</b>	\$16,680	\$100,000
COLUMBIA UNIV NEW YORK MORNINGSIDE	\$32,454,948	\$70,720,147	<b>\$103,175,095</b>	\$1,031,751	\$1,000,000
COLUMBIA UNIVERSITY HEALTH SCIENCES	\$290,645,805	\$1,363,853	<b>\$292,009,658</b>	\$2,920,097	\$1,000,000
COLUMBIA UNIVERSITY TEACHERS COLLEGE	\$3,280,244	\$70,000	<b>\$3,350,244</b>	\$33,502	\$100,000
CORNELL UNIVERSITY ITHACA	\$63,849,626	\$103,017,000	<b>\$166,866,626</b>	\$1,668,666	\$1,000,000
CUNY GRADUATE SCH AND UNIV CTR	\$1,570,348	\$3,022,000	<b>\$4,592,348</b>	\$45,923	\$100,000
FEINSTEIN INSTITUTE FOR MEDICAL RESEARCH	\$18,648,379		<b>\$18,648,379</b>	\$186,484	\$186,484
FORDHAM UNIVERSITY	\$2,044,608	\$219,000	<b>\$2,263,608</b>	\$22,636	\$100,000
GRADUATE COLLEGE OF UNION UNIVERSTY	\$237,500	\$1,265,000	<b>\$1,502,500</b>	\$15,025	\$100,000
HAUPTMAN-WOODWARD MEDICAL RESEARCH INST	\$5,244,274		<b>\$5,244,274</b>	\$52,443	\$100,000
HERBERT H. LEHMAN COLLEGE	\$3,040,025	\$625,000	<b>\$3,665,025</b>	\$36,650	\$100,000
HOSPITAL FOR SPECIAL SURGERY	\$10,388,440		<b>\$10,388,440</b>	\$103,884	\$103,884
HUNTER COLLEGE	\$13,715,538	\$1,891,000	<b>\$15,606,538</b>	\$156,065	\$156,065
INSTITUTE FOR BASIC RES IN DEV DISABIL	\$2,569,750		<b>\$2,569,750</b>	\$25,698	\$100,000
INSTITUTE OF ECOSYSTEM STUDIES	\$403,429	\$2,167,000	<b>\$2,570,429</b>	\$25,704	\$100,000
JOHN JAY COLLEGE OF CRIMINAL JUSTICE	\$1,147,961	\$716,000	<b>\$1,863,961</b>	\$18,640	\$100,000
LIGHTHOUSE INTERNATIONAL	\$1,004,777		<b>\$1,004,777</b>	\$10,048	\$100,000
LONG ISLAND UNIVERSITY BROOKLYN CAMPUS	\$2,497,347		<b>\$2,497,347</b>	\$24,973	\$100,000
MONTEFIORE MEDICAL CENTER (BRONX, NY)	\$15,089,925		<b>\$15,089,925</b>	\$150,899	\$150,899
MOUNT SINAI SCHOOL OF MEDICINE OF NYU	\$169,409,034	\$160,000	<b>\$169,569,034</b>	\$1,695,690	\$1,000,000
NATHAN S. KLINE INSTITUTE FOR PSYCH RES	\$9,529,747	\$59,000	<b>\$9,588,747</b>	\$95,887	\$100,000

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Organization Name	NIH Total Awards \$	NSF Total Grants \$	TOTAL	1% of TOTAL	Maximum Award from this Solicitation
NATIONAL DEVELOPMENT & RES INSTITUTES	\$16,600,696		<b>\$16,600,696</b>	\$166,007	\$166,007
NEW YORK ACADEMY OF MEDICINE	\$3,042,414		<b>\$3,042,414</b>	\$30,424	\$100,000
NEW YORK BLOOD CENTER	\$5,798,637		<b>\$5,798,637</b>	\$57,986	\$100,000
NEW YORK MEDICAL COLLEGE	\$21,410,832	\$161,000	<b>\$21,571,832</b>	\$215,718	\$215,718
NEW YORK STATE PSYCHIATRIC INSTITUTE	\$50,574,524		<b>\$50,574,524</b>	\$505,745	\$505,745
NEW YORK STRUCTURAL BIOLOGY CENTER	\$3,920,098		<b>\$3,920,098</b>	\$39,201	\$100,000
NEW YORK UNIVERSITY	\$33,582,631	\$21,776,000	<b>\$55,358,631</b>	\$553,586	\$553,586
NEW YORK UNIVERSITY SCHOOL OF MEDICINE	\$112,364,798	\$646,000	<b>\$113,010,798</b>	\$1,130,108	\$1,000,000
NY HALL OF SCIENCE		\$1,445,000	<b>\$1,445,000</b>	\$14,450	\$100,000
NYC COLLEGE OF TECHNOLOGY		\$1,288,000	<b>\$1,288,000</b>	\$12,880	\$100,000
ORDWAY RESEARCH INSTITUTE, INC.	\$3,082,114		<b>\$3,082,114</b>	\$30,821	\$100,000
POLYTECHNIC UNIVERSITY OF NEW YORK		\$3,232,000	<b>\$3,232,000</b>	\$32,320	\$100,000
POPULATION COUNCIL	\$6,972,447		<b>\$6,972,447</b>	\$69,724	\$100,000
QUEENS COLLEGE	\$1,303,634	\$1,095,000	<b>\$2,398,634</b>	\$23,986	\$100,000
QUEENSBORO COMMUNITY COLLEGE	\$209,880	\$1,050,000	<b>\$1,259,880</b>	\$12,599	\$100,000
RENSSELAER POLYTECHNIC INSTITUTE	\$7,711,001	\$16,440,000	<b>\$24,151,001</b>	\$241,510	\$241,510
RIVERSIDE RESEARCH INSTITUTE	\$1,448,670		<b>\$1,448,670</b>	\$14,487	\$100,000
ROCHESTER INSTITUTE OF TECHNOLOGY	\$1,866,968	\$3,797,000	<b>\$5,663,968</b>	\$56,640	\$100,000
ROCKEFELLER UNIVERSITY	\$75,916,580	\$926,000	<b>\$76,842,580</b>	\$768,426	\$768,426
ROSWELL PARK CANCER INSTITUTE CORP	\$41,843,194	\$101,000	<b>\$41,944,194</b>	\$419,442	\$419,442
SLOAN-KETTERING INSTITUTE FOR CANCER RES	\$104,351,851	\$172,000	<b>\$104,523,851</b>	\$1,045,239	\$1,000,000
ST. JOHN'S UNIVERSITY	\$1,848,050		<b>\$1,848,050</b>	\$18,481	\$100,000
ST. LUKE'S-ROOSEVELT INST FOR HLTH SCIS	\$12,911,530		<b>\$12,911,530</b>	\$129,115	\$129,115
STATE COLLEGE OF OPTOMETRY	\$1,433,402		<b>\$1,433,402</b>	\$14,334	\$100,000
STATE UNIVERSITY NEW YORK BINGHAMTON	\$5,245,004	\$3,067,000	<b>\$8,312,004</b>	\$83,120	\$100,000
STATE UNIVERSITY NEW YORK STONY BROOK	\$59,491,489	\$27,653,000	<b>\$87,144,489</b>	\$871,445	\$871,445
STATE UNIVERSITY OF NEW YORK AT ALBANY	\$5,769,452	\$3,500,000	<b>\$9,269,452</b>	\$92,695	\$100,000
STATE UNIVERSITY OF NEW YORK AT BUFFALO	\$44,736,167	\$15,906,000	<b>\$60,642,167</b>	\$606,422	\$606,422
SUNY DOWNSTATE MEDICAL CENTER	\$19,226,746		<b>\$19,226,746</b>	\$192,267	\$192,267
SYRACUSE UNIVERSITY	\$6,567,703	\$7,860,000	<b>\$14,427,703</b>	\$144,277	\$144,277
THE COLLEGE BOARD		\$1,970,000	<b>\$1,970,000</b>	\$19,700	\$100,000
TRUDEAU INSTITUTE, INC.	\$10,145,739		<b>\$10,145,739</b>	\$101,457	\$101,457
UNIVERSITY OF ROCHESTER	\$152,052,675	\$13,297,000	<b>\$165,349,675</b>	\$1,653,497	\$1,000,000

## Attachment 1

<b>Organization Name</b>	<b>NIH Total Awards \$</b>	<b>NSF Total Grants \$</b>	<b>TOTAL</b>	<b>1% of TOTAL</b>	<b>Maximum Award from this Solicitation</b>
UPSTATE MEDICAL UNIVERSITY	\$19,589,139	\$69,000	<b>\$19,658,139</b>	\$196,581	\$196,581
WADSWORTH CENTER	\$25,244,395	\$1,047,000	<b>\$26,291,395</b>	\$262,914	\$262,914
WEILL MEDICAL COLLEGE OF CORNELL UNIV	\$103,651,572	\$488,000	<b>\$104,139,572</b>	\$1,041,396	\$1,000,000
WINIFRED MASTERSON BURKE MED RES INST	\$5,438,706		<b>\$5,438,706</b>	\$54,387	\$100,000
YESHIVA UNIVERSITY	\$144,066,657	\$123,000	<b>\$144,189,657</b>	\$1,441,897	\$1,000,000
YORK COLLEGE	\$3,080,228		<b>\$3,080,228</b>	\$30,802	\$100,000

**Empire State Stem Cell Board**  
**Additional Standards for Human Embryonic Stem Cell Research**  
**Approved by the Funding Committee on December 13, 2007**

1. **ESCRO Review**: ESCRO committees should adhere to either NAS or ISSCR standards, including those guidelines' recommendations regarding the composition and proper scope of review of ESCRO committees, except as specified below.
2. **Consent to Donation**: Consent to donate gametes or embryos to research must be obtained prior to donation. With respect to obtaining re-consent from gamete or embryo donors immediately prior to donation to research, ESCROs should apply the standards set forth in ISSCR 11.2, but may choose to use the stricter guidelines provided in NAS 3.2.
3. **Payment**: ESCROs should review information, where available, regarding the payment of donors who produced gametes originally for reproductive purposes to ensure compliance with ISSCR 11.5(a). Where no such information is reasonably available, ESCROs need not ensure that payment history complies with either NAS or ISSCR guidelines.