ADDENDUM
RFA # 1206180230

New York State Department of Health and the Empire State Stem Cell Board Request for Applications

Investigator Initiated Research Projects (IIRP) and
Innovative, Developmental or Exploratory Activities (IDEA)
in Stem Cell Research

AMENDMENT #2

Forms 16 – 18 change to instructions for completing Section A of each form*

(RFA Section V, pages 20 – 24)

*Forms 7-18 have been re-posted to correct instructions and format of Forms 16-18

Human Subjects – Form 16

Submit a separate Form 16 for the applicant and each sub-applicant. Accurately complete at least Section A of each form. In addition, if more than one human subject protocol will be required to complete the proposed research project, complete a separate form for each protocol.

Section A

1. Enter the name of the applicant or sub-applicant institution.

2. Type an "X" in the appropriate box (YES or NO) to indicate whether activities involving human subjects are planned at any time during the proposed project. Select YES even if the proposed project is exempt from Regulations for the Protection of Human Subjects.

   To determine whether the planned use of human specimens, cells, cell lines or data is considered to be human subjects research, ask the IRB staff from your organization and refer to http://grants.nih.gov/grants/policy/hs/faqs_specimens.htm and the OHRP Guidance on Research Involving Coded Private Information or Biological Specimens (http://www.hhs.gov/ohrp/policy/cdebiol.html) for guidance. If the use of human specimens, cells, cell lines or data are not considered to be human subjects research, skip the rest of Section A and follow the instructions for Section B.1, below.

If activities involving human subjects, specimens, cells, cell lines or data are not planned at any time during the proposed project, select NO and skip the rest of the form.

3. If YES is checked in #2, type an "X" in the appropriate box (YES or NO) to indicate whether the project Exempt from federal regulation.

4. If YES is checked in #3, type an "X" in the box to identify the appropriate exemption number (1 through 6). **NOTE:** This exemption must be determined and documented by the IRB. Exemptions are defined in Part III: Policies, Assurances, Definitions, and Other Information found at http://grants.nih.gov/grants/funding/424/index.htm#inst.

5. If NO is checked in #3, type an "X" in the appropriate box (YES or NO) to indicate whether the IRB review is pending.

6. Enter the IRB approval date. This field may only be left blank if the review is Pending (if YES is checked in #5).

7. Enter the IRB protocol approval number assigned by the IRB. This field may only be left blank if the review is Pending (if YES is checked in #5).

8. Enter the OHRP Federal-wide Assurance number for the institution (this is not the IRB protocol approval number).

Section B

1. If the proposed studies using human specimens, cells, cell lines or data are not considered to be human subjects research (see Section A #2), provide an explanation of why the proposed studies do not constitute research involving human subjects.

   The explanation could include: a description of the source of the data/biological specimens, and whether there is any intervention or interaction with the subjects in order to obtain the specimens and data; what identifiers will be associated; the role(s) of providers of the data/biological specimens in the proposed research; and the manner by which the privacy of research participants and confidentiality of data will be protected. Research that does not involve intervention or interaction with living individuals, or identifiable private information, is not human subjects research. Research involving the use of coded private information or biological specimens may not constitute human subjects research if the conditions of the OHRP Guidance on Research Involving Coded Private Information or Biological Specimens have been met (http://www.hhs.gov/ohrp/policy/cdebiol.html). Research that only proposes the use of cadaver specimens is not human subjects research because human subjects are defined as "living individuals." The use of cadaver specimens is not regulated by 45 CFR Part 46, but may be governed by other federal, state or local laws.

2. If YES is checked in #2 of Section A, provide a thorough narrative according to the instructions for the appropriate scenario (B, D, E or F) found in Part II: Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan found at http://grants.nih.gov/grants/funding/424/index.htm#inst.

Appropriate oversight and management of human subjects research projects are essential to ethical conduct of research. Certification of Institutional Review Board (IRB) review and approval is not required prior to application review; however, an appropriate standard IRB

protocol approval form or signed exemption will be required prior to contract execution. In addition, the organization will be required to certify that all key personnel who are involved in the design and conduct of human subject research have completed the required education/training requirements in the protection of human research participants.

Vertebrate Animals – Form 17

Submit a separate Form 17 for the applicant and each sub-applicant. Accurately complete at least Section A of each form. In addition, if more than one vertebrate animal protocol will be required to complete the proposed research project, complete a separate form for each protocol.

Section A

1. Enter the name of the applicant or sub-applicant institution.

2. Type an "X" in the appropriate box (YES or NO) to indicate whether activities involving vertebrate animals are planned at any time during the proposed project.

   To determine whether the planned use of vertebrate animals, tissues or custom antibodies are considered to be vertebrate animal research, ask the IACUC staff from your organization and refer to http://grants.nih.gov/grants/olaw/references/phspol.htm and http://grants.nih.gov/grants/olaw/faqs.htm#A for guidance.

   If activities involving vertebrate animals are not planned at any time during the proposed project, select NO to #2 and skip the rest of the form.

3. If YES is checked in #2, type an "X" in the appropriate box (YES or NO) to indicate whether the IACUC review is pending.

4. If NO is checked in #3, enter the IACUC approval date. This field may only be left blank if the review is Pending (if YES is checked in #3).

5. Enter the IACUC protocol approval number assigned by the IACUC. This field may only be left blank if the review is Pending (if YES is checked in #3).

6. Enter the OLAW Assurance Number for your organization. This is not the IACUC approval number.

7. Enter the USDA Registration Number for your organization. This field should be left blank if the animal species is not covered by the USDA. This is not the IACUC or OLAW approval number.

Section B

If YES is checked in #2 of Section A, provide a thorough narrative to address the following five points. For additional guidance on this narrative, refer to Part I: Instructions for Preparing and Submitting an Application found at http://grants.nih.gov/grants/funding/424/index.htm#inst.

1) *Description of Proposed Animal Use*
   Provide a detailed description of the animal use proposed in the Workplan, including identification of species, strain, age, sex and number of animals to be used.

2) *Justification*
   Justify the use of animals, the choice of species and the number to be used. If animals are in short supply, costly, or to be used in large numbers, provide additional rationale for their selection and numbers, and include power calculations.

3) *Veterinary Care*
   Provide information on the veterinary care of the animals.

4) *Description of Procedures to Ensure that the Discomfort, Distress, Pain and Injury will be Limited*
   Describe the procedures for ensuring that discomfort, distress, pain and injury will be limited to that which is unavoidable in the conduct of scientifically sound research. Describe the use of analgesic, anesthetic and tranquilizing drugs, and comfortable restraining devices to minimize discomfort, distress, pain and injury.

5) *Description of Any Method of Euthanasia*
   Describe any method of euthanasia to be used and the reasons for its selection. State whether this method is consistent with the recommendations of the American Veterinary Medical Association (AVMA) Guidelines on Euthanasia. If not, include a scientific justification for not following the recommendations.

Appropriate oversight and management of the use of vertebrate animals are essential to the ethical conduct of research. Certification of Institutional Animal Care and Use Committee (IACUC) review and approval is not required prior to application review; however, a standard IACUC protocol approval form will be required prior to contract execution.

Human Stem Cells – Form 18

Submit a separate Form 18 for the applicant and each sub-applicant. Accurately complete at least Section A of each form. In addition, if more than one human stem cell protocol will be required to complete the proposed research project, complete a separate form for each protocol.

<u>Section A</u>

1. Enter the name of the applicant or sub-applicant institution.

2. Type an “X” in the appropriate box (YES or NO) to indicate whether activities involving human stem cells as defined below are planned at any time during the proposed project. Select YES even if the project is Exempt under NAS or ISSCR guidelines.

   The use of the following types of human cells require ESCRO review and oversight: embryonic stem cells, totipotent or pluripotent cells, pluripotent stem cell lines, neural and gonadal progenitor stem cells, or other somatic tissues for stem cell research (excluding cells that remain restricted in tissue potential and are not known to possess totipotent or pluripotent potential). For guidance, ask the ESCRO staff from your

organization and refer to Section E of Appendix A-2 of the Sample Contract found here as Attachment 5 to this RFA.

If activities involving human stem cells **as defined above** are not planned at any time during the proposed project, select NO and skip the rest of the form.

3. If YES is checked in #2, type an "X" in the appropriate box to indicate whether the project is Exempt from National Academy of Sciences (NAS) or International Society for Stem Cell Research (ISSCR) guidelines for human stem cell research.

4. If YES is checked in #3, type an "X" to indicate the appropriate exemption. **NOTE:** This exemption must be determined and documented by the ESCRO. Exemptions are outlined in Section E of Appendix A-2 of the Sample Contract found here as Attachment 5 to this RFA.

5. If NO is checked in #3, type an "X" in the appropriate box (YES or NO) to indicate whether the ESCRO review is pending.

6. Enter the ESCRO approval date. This field may only be left blank if the review is Pending (if YES is checked in #5).

7. Enter the ESCRO protocol approval number assigned by the ESCRO. This field may only be left blank if the review is Pending (if YES is checked in #5).

<u>Section B</u>
If YES is checked in #2 of Section A, provide a thorough narrative to address the following four points.

1) *Involvement of Human Stem Cells*
Describe the involvement of human stem cells as outlined in the research plan. Include descriptions of the cell lines to be used, e.g., source or means of derivation of the cell lines, donor consent procedures specific to stem cell derivation including donor reimbursement or payment as applicable, and characterization of the stem cell lines or embryonic sources as known. If new cell lines are to be derived, explain the justification for such new derivation. For any new derivation of the specified human stem cell lines *Form 16, Human Subjects* research must also be completed. For any use of the specified human stem cells in conjunction with animal studies, *Form 17, Vertebrate Animals* must also be completed.

2) *Sources of Materials - Confidentiality*
If specified human stem cell lines are to be obtained from sources outside the awarded institution or the primary investigator's laboratory, identify the sources of the research cell lines. This description should include the provenance of such cell lines and the source of any accompanying records or data, and whether the records are traceable to the original gamete donors, or other donors. Describe any agreements, material transfer agreements or confidentiality agreements executed in the transfer of such materials.

If the proposed research includes a clinical trial intervention, in a subsection labeled Data and Safety Monitoring, describe the oversight and monitoring plan to ensure the safety of participants and the validity and integrity of the data obtained. An appropriate

plan must also be submitted to the applicant's IRB for approval and subsequently to NYSTEM prior to accrual of human participants.

3) *Importance of the Knowledge to be Gained*
   Discuss why the use of the specified human stem cell lines is reasonable in relation to the importance of the knowledge that reasonably may be expected to result.

4) *Therapeutics*
   If a therapeutic or biological is involved, describe the product and state whether the 30-day interval between submission of the applicant certification to the FDA and its response has elapsed or has been waived and/or whether use of the biological has been withheld or restricted by the FDA.

Appropriate oversight and administration are essential to the ethical conduct of research. Certification of Embryonic Stem Cell Research Oversight committee (ESCRO) review and approval is not required prior to application review; however, an appropriate ESCRO protocol approval form or signed exemption will be required prior to contract award. In addition, the organization will be required to certify that all key personnel who are involved with human stem cell research have completed education/training requirements required by their institutional ESCRO, as applicable, before funds are awarded.