





# Department of Health and Human Services

## Part 1. Overview Information

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### Participating Organization(s)

National Institutes of Health (NIH (<http://www.nih.gov>))

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### Components of Participating Organizations

NATIONAL INSTITUTES OF HEALTH (NIH (0))

National Eye Institute (NEI (<https://www.nei.nih.gov/>))

National Heart, Lung, and Blood Institute (NHLBI (<https://www.nhlbi.nih.gov/>))

National Human Genome Research Institute (NHGRI (<https://www.genome.gov/>))

National Institute on Aging (NIA (<https://www.nia.nih.gov/>))

National Institute on Alcohol Abuse and Alcoholism (NIAAA (<https://www.niaaa.nih.gov/>))

National Institute of Allergy and Infectious Diseases (NIAID (<https://www.niaid.nih.gov/>))

*Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD (<https://www.nichd.nih.gov/>))*

National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS (<https://www.niams.nih.gov/>))

National Institute of Biomedical Imaging and Bioengineering (NIBIB (<http://www.nibib.nih.gov/>))

National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK (<https://www.niddk.nih.gov/>))

National Institute on Drug Abuse (NIDA (<https://www.drugabuse.gov/>))

National Institute of Environmental Health Sciences (NIEHS (<https://www.niehs.nih.gov/>))

National Institute of General Medical Sciences (NIGMS (<https://www.nigms.nih.gov/>))

National Institute of Mental Health (NIMH (<https://www.nimh.nih.gov/index.shtml>))

National Institute of Neurological Disorders and Stroke (NINDS (<https://www.ninds.nih.gov/>))

National Institute of Nursing Research (NINR (<https://www.ninr.nih.gov/>))

National Institute on Minority Health and Health Disparities (NIMHD (<https://www.nimhd.nih.gov/>))

National Center for Complementary and Integrative Health (NCCIH (<https://nccih.nih.gov/>))

*The following Institutes/Centers only accept mechanistic studies*

(<https://grants.nih.gov/grants/glossary.htm#MechanisticStudy>) that meet NIH's definition of a clinical trial (<https://grants.nih.gov/grants/glossary.htm#ClinicalTrial>). See Related Notices section below.

**February 04, 2022** - Notice of NIAMS' Participation in NOT-MD-22-006. See Notice NOT-AR-22-017 (<https://grants.nih.gov/grants/guide/notice-files/NOT-AR-22-017.html>).

National Heart, Lung, and Blood Institute (NHLBI (<http://www.nhlbi.nih.gov/>))

National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS (<http://www.niams.nih.gov/>))

National Institute of Neurological Disorders and Stroke (NINDS (<http://www.ninds.nih.gov/>))

National Center for Complementary and Integrative Health (NCCIH (<http://www.nccam.nih.gov/>))

National Institute of Mental Health (NIMH (<http://www.nimh.nih.gov/>))

Note: Not all NIH Institutes and Centers (ICs) participate in Parent Announcements. Applicants should carefully note which ICs participate in this announcement and view their respective areas of research interest at the [R01 Clinical Trial Required IC-Specific Scientific Interests and Contact website](https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html) (<https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html>). Applicants should also carefully note which ICs accept only mechanistic trials. ICs that do not participate in this announcement will not consider applications for funding.

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### Funding Opportunity Title

Research Project Grant (Parent R01 Clinical Trial Required)

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### Activity Code

R01 ([https://grants.nih.gov/grants/funding/ac\\_search\\_results.htm?text\\_curr=r01&Search.x=0&Search.y=0&Search.Type=Activity](https://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r01&Search.x=0&Search.y=0&Search.Type=Activity)) Research Project Grant

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### Announcement Type

Reissue of PA-19-055 (<https://grants.nih.gov/grants/guide/pa-files/pa-19-055.html>)

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### Related Notices

See [Notices of Special Interest](https://grants.nih.gov/grants/guide/NOSIs_targeting_list.cfm?GuideDocID=33275) ([https://grants.nih.gov/grants/guide/NOSIs\\_targeting\\_list.cfm?GuideDocID=33275](https://grants.nih.gov/grants/guide/NOSIs_targeting_list.cfm?GuideDocID=33275)) associated with this funding opportunity

**February 16, 2022** - Notice of NIDA Participation in NOT-MH-21-105, "Notice of Special Interest: Advancing Health Communication Research on HIV Prevention, Treatment and Cure". See Notice NOT-DA-21-079 (<https://grants.nih.gov/grants/guide/notice-files/NOT-DA-21-079.html>).

**February 4, 2022** - NIGMS Limitations on Clinical Trial Applications Submitted to the NIH Research Project Grant (Parent R01 Clinical Trial Required). See Notice NOT-GM-22-027 (<https://grants.nih.gov/grants/guide/notice-files/NOT-GM-22-027.html>).

**December 28, 2021** - Notice of Special Interest (NOSI): Advancing Innovative Non-invasive Physiologic Monitoring To Improve Fetal Assessment. See Notice NOT-HD-21-053 (<https://grants.nih.gov/grants/guide/notice-files/NOT-HD-21-053.html>).

**October 28, 2021** - Reminder: FORMS-G Grant Application Forms & Instructions Must be Used for Due Dates On or After January 25, 2022 - New Grant Application Instructions Now Available. See Notice [NOT-OD-22-018](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-018.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-018.html>).

**September 13, 2021** - Updates to the Non-Discrimination Legal Requirements for NIH Recipients. See Notice [NOT-OD-21-181](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-181.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-181.html>).

**August 5, 2021** - New NIH "FORMS-G" Grant Application Forms and Instructions Coming for Due Dates on or after January 25, 2022. See Notice [NOT-OD-21-169](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-169.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-169.html>).

**August 5, 2021** - Update: Notification of Upcoming Change in Federal-wide Unique Entity Identifier Requirements. See Notice [NOT-OD-21-170](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-170.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-170.html>).

**April 20, 2021** - Expanding Requirement for eRA Commons IDs to All Senior/Key Personnel. See Notice [NOT-OD-21-109](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-109.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-109.html>).

See [Notices of Special Interest](https://grants.nih.gov/grants/guide/notice-files/NOT-HL-23-002.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HL-23-002.html>) associated with this funding opportunity.

- **October 26, 2021** - Notice of Special Interest (NOSI): IDEA2Health: Innovative Data Evaluation and Analysis to Health. See Notice [NOT-HL-22-001](https://grants.nih.gov/grants/guide/notice-files/NOT-HL-22-001.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HL-22-001.html>).
- **October 26, 2021** - Notice of NHLBI Participation in NOT-AT-21-002 "Notice of Special Interest (NOSI): Promoting Research on Interception and Its Impact on Health and Disease (R01). See Notice [NOT-HL-21-037](https://grants.nih.gov/grants/guide/notice-files/NOT-HL-21-037.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HL-21-037.html>).
- **July 19, 2021** - Notice of Clarification of NIAMS' Clinical Trial Guidance on Notice of Special Interest (NOSI) NOT-MD-21-008: Research to Address Vaccine Hesitancy, Uptake, and Implementation among Populations that Experience Health Disparities. See Notice [NOT-AR-21-023](https://grants.nih.gov/grants/guide/notice-files/NOT-AR-21-023.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-AR-21-023.html>).
- **March 16, 2021** - Notice of NICHD Participation in PA-20-183. See Notice [NOT-HD-21-019](https://grants.nih.gov/grants/guide/notice-files/NOT-HD-21-019.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HD-21-019.html>).
- **February 25, 2021** - Notice of Information: Submission of NIAID Investigator- Initiated Clinical Trials to Appropriate FOAs. See Notice [NOT-AI-21-037](https://grants.nih.gov/grants/guide/notice-files/NOT-AI-21-037.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-AI-21-037.html>).
- **February 18, 2021** - NIBIB Guidance for Support of Clinical Trial Applications. See Notice [NOT-EB-21-005](https://grants.nih.gov/grants/guide/notice-files/NOT-EB-21-005.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-EB-21-005.html>).
- **February 18, 2021** - Notice of NIBIB Participation in PA-20-183. See Notice [NOT-EB-21-003](https://grants.nih.gov/grants/guide/notice-files/NOT-EB-21-003.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-EB-21-003.html>).
- **December 23, 2020** - Notice of NIDDK Participation in PA-20-183, Research Project Grant (Parent R01 Clinical Trial Required). See Notice [NOT-DK-21-004](https://grants.nih.gov/grants/guide/notice-files/NOT-DK-21-004.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-DK-21-004.html>).
- **August 26, 2020** - Notice of Correction to Eligibility in NIH Funding Opportunity Announcements. See Notice [NOT-OD-20-171](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-171.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-171.html>).
- **October 6, 2020** - NIAMS Policy for Acceptance of Clinical Trial Applications and Participation in Parent R01 and R21 (Clinical Trial Required) Announcements. See Notice [NOT-AR-21-009](https://grants.nih.gov/grants/guide/notice-files/NOT-AR-21-009.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-AR-21-009.html>).
- **October 5, 2020** - Consolidated Notice on NIMH Clinical Trials Policies. See Notice [NOT-MH-20-105](https://grants.nih.gov/grants/guide/notice-files/NOT-MH-20-105.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-MH-20-105.html>).
- **September 24, 2020** - Notice of Change to NIEHS target FOAs for NOT-HL-20-788. See Notice [NOT-HL-20-015](https://grants.nih.gov/grants/guide/notice-files/NOT-HL-20-015.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HL-20-015.html>).
- **August 26, 2020** - Notice of NIGMS Participation in NOT-ES-20-018. See Notice [NOT-GM-20-046](https://grants.nih.gov/grants/guide/notice-files/NOT-GM-20-046.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-GM-20-046.html>).
- **May 18, 2020** - Notice of NIDCD's Withdrawal from Participation in PA-20-183. See Notice [NOT-DC-20-009](https://grants.nih.gov/grants/guide/notice-files/NOT-DC-20-009.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-DC-20-009.html>).
- **October 8, 2019** - Consolidated Notice on NCCIH Clinical Trials Policies. See Notice [NOT-AT-20-001](https://grants.nih.gov/grants/guide/notice-files/NOT-AT-20-001.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-AT-20-001.html>).
- **July 25, 2019** - Consolidated Notice on NIMH Clinical Trials Policies. See Notice [NOT-MH-19-031](https://grants.nih.gov/grants/guide/notice-files/NOT-MH-19-031.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-MH-19-031.html>).
- **April 16, 2019** - NHLBI Limitations on Clinical Trial Applications Submitted to the NIH Parent (R01 Clinical Trial Required) Funding Opportunity Announcement (FOA) [NOT-HL-19-690](https://grants.nih.gov/grants/guide/notice-files/NOT-HL-19-690.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-HL-19-690.html>).
- **December 21, 2018** - NIMH Acceptance of Clinical Trial Applications under the Parent R01 and R21 Clinical Trial Required, or Basic Experimental Studies Involving Humans (BESH) Announcements is Limited to Mechanistic Clinical Trials. See Notice [NOT-MH-19-006](https://grants.nih.gov/grants/guide/notice-files/NOT-MH-19-006.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-MH-19-006.html>).
- **December 18, 2017** - Notice of NINDS Policy for Submission of Applications and Participation in PA-18-345. See Notice [NOT-NS-18-011](https://grants.nih.gov/grants/guide/notice-files/NOT-NS-18-011.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-NS-18-011.html>).

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#### Funding Opportunity Announcement (FOA) Number

PA-20-183

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#### Companion Funding Opportunity

[PA-20-185](https://grants.nih.gov/grants/guide/pa-files/pa-20-185.html) (<https://grants.nih.gov/grants/guide/pa-files/pa-20-185.html>) NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)

[PA-20-184](https://grants.nih.gov/grants/guide/pa-files/pa-20-184.html) (<https://grants.nih.gov/grants/guide/pa-files/pa-20-184.html>) Research Project Grant (Parent R01 Basic Experimental Studies with Humans Required)

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#### Number of Applications

See [Section III. 3. Additional Information on Eligibility](#).

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#### Catalog of Federal Domestic Assistance (CFDA) Number(s)

93.213, 93.867, 93.172, 93.233, 93.286, 93.840, 93.837, 93.838, 93.839, 93.866, 93.273, 93.855, 93.846, 93.279, 93.113, 93.859, 93.307, 93.853, 93.361, 93.242, 93.847, 93.865

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#### Funding Opportunity Purpose

The NIH Research Project Grant supports a discrete, specified, circumscribed project in areas representing the specific interests and competencies of the investigator(s). This Parent Funding Opportunity Announcement requires that at least

1 clinical trial be proposed. The proposed project must be related to the programmatic interests of one or more of the participating NIH Institutes and Centers (ICs) based on their scientific missions.

Applicants should note that some ICs Related Notices) only accept applications proposing mechanistic studies that meet NIH's definition of a clinical trial through this funding opportunity announcement.

## Key Dates

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### Posted Date

May 05, 2020

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### Open Date (Earliest Submission Date)

May 05, 2020

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### Letter of Intent Due Date(s)

Not Applicable

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### Application Due Date(s)

Standard dates ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11111](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11111)) apply.

The first standard due date for this FOA is June 5, 2020

All applications are due by 5:00 PM local time of applicant organization. All types of non-AIDS applications allowed for this funding opportunity announcement are due on the listed date(s).

Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.

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### AIDS Application Due Date(s)

Standard AIDS dates ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11112](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11112)) apply. The first AIDS application due date for this FOA is September 7, 2020.

All applications are due by 5:00 PM local time of applicant organization. All types of AIDS and AIDS-related applications allowed for this funding opportunity announcement are due on the listed date(s).

Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.

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### Scientific Merit Review

Standard dates ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11113](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11113)) apply

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### Advisory Council Review

Standard dates ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11113](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11113)) apply

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### Earliest Start Date

Standard dates ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11113](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11113)) apply

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### Expiration Date

May 08, 2023

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### Due Dates for E.O. 12372

Not Applicable

### Required Application Instructions

It is critical that applicants follow the instructions in the Research (R) Instructions in the SF424 (R&R) Application Guide ([//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=12000](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=12000)), except where instructed to do otherwise (in this FOA or in a Notice from NIH Guide for Grants and Contracts ([//grants.nih.gov/grants/guide/](https://grants.nih.gov/grants/guide/))).

Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in Section IV. When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions.

**Applications that do not comply with these instructions may be delayed or not accepted for review.**

There are several options available to submit your application through Grants.gov to NIH and Department of Health and Human Services partners. You **must** use one of these submission options to access the application forms for this opportunity.

1. Use the NIH ASSIST system to prepare, submit and track your application online.

[Apply Online Using ASSIST](#)

2. Use an institutional system-to-system (S2S) solution to prepare and submit your application to Grants.gov and eRA Commons (<http://public.era.nih.gov/commons/>) to track your application. Check with your institutional officials regarding availability.

3. Use Grants.gov (<https://www.grants.gov/web/grants/applicants/download-application-package.html#search=true&oppNum=pa-20-183>) Workspace to prepare and submit your application and eRA Commons (<http://public.era.nih.gov/commons/>) to track your application.

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## Part 2. Full Text of Announcement

### Section I. Funding Opportunity Description

The NIH Research Project Grant supports a discrete, specified, circumscribed project in scientific areas that represent the investigators' specific interests and competencies and that fall within the mission of the participating NIH Institutes and Centers (ICs). The R01 is the original, and historically the oldest, grant mechanism used by the NIH to support health-related research and development.

All applications submitted to this Parent Funding Opportunity Announcement must propose clinical trial(s) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=82370](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82370)).

Research grant applications are assigned to participating ICs based on receipt and referral guidelines and many applications are assigned to multiple participating ICs with related research interests. Applicants are encouraged to identify a participating IC that supports their area of research via the R01 Clinical Trial Required IC-Specific Scientific Interests and Contact website (<https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html>) and contact Scientific/Research staff from relevant ICs to inquire about their interest in supporting the proposed research project.

For specific information about the mission of each NIH IC, visit the List of NIH Institutes, Centers, and Offices (<http://www.nih.gov/institutes-nih/list-nih-institutes-centers-offices>) website.

NIH defines a clinical trial as "A research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes." (NOT-OD-15-015 (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-015.html>))

NIH not only supports trials of safety and efficacy, it also supports mechanistic exploratory studies that meet the definition of a clinical trial and are designed to explore or understand a biological or behavioral process, the pathophysiology of a disease, or the mechanism of action of an intervention. These studies may focus on basic and/or translational discovery research in healthy human subjects and in human subjects who are affected by the pathophysiology of diseases and disorders. By addressing basic questions and concepts in biology, behavior, and pathophysiology, these studies may provide insight into understanding human diseases and disorders along with potential treatments or preventive strategies. NIH also supports biomarker studies that meet the definition of a clinical trial and that may provide information about physiological function, target engagement of novel therapeutics, and/or the impact of therapeutics on treatment response. NIH thus supports studies that meet the definition of clinical trials (as noted above) but do not seek to establish safety, clinical efficacy, effectiveness, clinical management, and/or implementation of preventive, therapeutic, and services interventions.

Applicants should note that some ICs (see the Related Notices section above) only accept applications proposing mechanistic studies that meet NIH's definition of a clinical trial through this funding opportunity announcement. A mechanistic study is designed to understand a biological or behavioral process, the pathophysiology of a disease, or the mechanism of action of an intervention. If the proposed research project includes clinical trial other than a mechanistic study that would be assigned to one of these ICs, applicants are advised to contact relevant Scientific/Research staff (<https://grants.nih.gov/grants/guide/contacts/Clinical-Trial-Parent-R01.html>) to discuss alternative mechanisms of support of these studies.

See Section VIII. Other Information for award authorities and regulations.

### Section II. Award Information

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#### Funding Instrument

Grant: A support mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.

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#### Application Types Allowed

Revision  
New  
Renewal  
Resubmission

The QER Glossary ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11116](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11116)) and the SF424 (R&R) Application Guide provide details on these application types. Only those application types listed here are allowed for this FOA.

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#### Clinical Trial?

Required: Only accepting applications that propose clinical trial(s)

Need help determining whether you are doing a clinical trial? ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=82370](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82370))

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#### Funds Available and Anticipated Number of Awards

The number of awards is contingent upon NIH appropriations and the submission of a sufficient number of meritorious applications.

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#### Award Budget

Application budgets are not limited but need to reflect the actual needs of the proposed project.

**Award Project Period**

The scope of the proposed project should determine the project period. The maximum project period is 5 years.

NIH grants policies as described in the [NIH Grants Policy Statement \(https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11120\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) will apply to the applications submitted and awards made from this FOA.

NIH grants policies as described in the [NIH Grants Policy Statement \(https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11120\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) will apply to the applications submitted and awards made from this FOA.

**Section III. Eligibility Information****1. Eligible Applicants****Eligible Organizations****Higher Education Institutions**

- Public/State Controlled Institutions of Higher Education
- Private Institutions of Higher Education

The following types of Higher Education Institutions are always encouraged to apply for NIH support as Public or Private Institutions of Higher Education:

- Hispanic-serving Institutions
- Historically Black Colleges and Universities (HBCUs)
- Tribally Controlled Colleges and Universities (TCCUs)
- Alaska Native and Native Hawaiian Serving Institutions
- Asian American Native American Pacific Islander Serving Institutions (AANAPISIs)

**Nonprofits Other Than Institutions of Higher Education**

- Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)
- Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education)

**For-Profit Organizations**

- Small Businesses
- For-Profit Organizations (Other than Small Businesses)

**Local Governments**

- State Governments
- County Governments
- City or Township Governments
- Special District Governments
- Indian/Native American Tribal Governments (Federally Recognized)
- Indian/Native American Tribal Governments (Other than Federally Recognized)

**Federal Governments**

- Eligible Agencies of the Federal Government
- U.S. Territory or Possession

**Other**

- Independent School Districts
- Public Housing Authorities/Indian Housing Authorities
- Native American Tribal Organizations (other than Federally recognized tribal governments)
- Faith-based or Community-based Organizations
- Regional Organizations
- Non-domestic (non-U.S.) Entities (Foreign Institutions)

**Foreign Institutions**

Non-domestic (non-U.S.) Entities (Foreign Institutions) are eligible to apply.

Non-domestic (non-U.S.) components of U.S. Organizations are eligible to apply.

Foreign components, as defined in the [NIH Grants Policy Statement \(https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11116\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11116), are allowed.

**Required Registrations****Applicant organizations**

Applicant organizations must complete and maintain the following registrations as described in the SF 424 (R&R) Application Guide to be eligible to apply for or receive an award. All registrations must be completed prior to the application being submitted. Registration can take 6 weeks or more, so applicants should begin the registration process as soon as possible. The [NIH Policy on Late Submission of Grant Applications \(https://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-039.html\)](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-039.html) states that failure to complete registrations in advance of a due date is not a valid reason for a late submission.

- [Dun and Bradstreet Universal Numbering System \(DUNS\) \(http://fedgov.dnb.com/webform\)](http://fedgov.dnb.com/webform) - All registrations require that applicants be issued a DUNS number. After obtaining a DUNS number, applicants can begin both SAM and eRA Commons registrations. The same DUNS number must be used for all registrations, as well as on the grant application.
- [System for Award Management \(SAM\) \(https://www.sam.gov/portal/public/SAM/\)](https://www.sam.gov/portal/public/SAM/) - Applicants must complete and maintain an active registration, which requires renewal at least annually. The renewal process may require as much time as the initial registration. SAM registration includes the assignment of a Commercial and Government Entity (CAGE) Code for domestic organizations which have not already been assigned a CAGE Code.
  - [NATO Commercial and Government Entity \(NCAGE\) Code \(https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11176\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11176) - Foreign organizations must obtain an NCAGE code (in lieu of a CAGE code) in order to register in SAM.
- [eRA Commons \(https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11123\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11123) - Applicants must have an active DUNS number to register in eRA Commons. Organizations can register with the eRA Commons as they are working through their SAM or Grants.gov registration, but all registrations must be in place by time of submission. eRA Commons requires organizations to identify at least one Signing Official (SO) and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application.

- Grants.gov – Applicants must have an active DUNS number and SAM registration in order to complete the Grants.gov registration.

#### Program Directors/Principal Investigators (PD(s)/PI(s))

All PD(s)/PI(s) must have an eRA Commons account. PD(s)/PI(s) should work with their organizational officials to either create a new account or to affiliate their existing account with the applicant organization in eRA Commons. If the PD/PI is also the organizational Signing Official, they must have two distinct eRA Commons accounts, one for each role. Obtaining an eRA Commons account can take up to 2 weeks.

#### Eligible Individuals (Program Director/Principal Investigator)

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the Program Director(s)/Principal Investigator(s) (PD(s)/PI(s)) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support.

For institutions/organizations proposing multiple PDs/PIs, visit the Multiple Program Director/Principal Investigator Policy and submission details in the Senior/Key Person Profile (Expanded) Component of the SF424 (R&R) Application Guide.

## 2. Cost Sharing

This FOA does not require cost sharing as defined in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11126).  
[https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11126](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11126)

## 3. Additional Information on Eligibility

### Number of Applications

Applicant organizations may submit more than one application, provided that each application is scientifically distinct.

The NIH will not accept duplicate or highly overlapping applications under review at the same time. This means that the NIH will not accept:

- A new (A0) application that is submitted before issuance of the summary statement from the review of an overlapping new (A0) or resubmission (A1) application.
- A resubmission (A1) application that is submitted before issuance of the summary statement from the review of the previous new (A0) application.
- An application that has substantial overlap with another application pending appeal of initial peer review (see [NOT-OD-11-101](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-101.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-101.html>))

## Section IV. Application and Submission Information

### 1. Requesting an Application Package

The application forms package specific to this opportunity must be accessed through ASSIST, Grants.gov Workspace or an institutional system-to-system solution. Links to apply using ASSIST or Grants.gov Workspace are available in [Part 1](#) of this FOA. See your administrative office for instructions if you plan to use an institutional system-to-system solution.

### 2. Content and Form of Application Submission

It is critical that applicants follow the instructions in the Research (R) Instructions in the [SF424 \(R&R\) Application Guide](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=12000) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=12000](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=12000)) except where instructed in this funding opportunity announcement to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review.

#### Page Limitations

All page limitations described in the SF424 Application Guide and the [Table of Page Limits](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11133) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11133](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11133)) must be followed.

#### Instructions for Application Submission

The following section supplements the instructions found in the SF424 (R&R) Application Guide and should be used for preparing an application to this FOA.

#### SF424(R&R) Cover

All instructions in the SF424 (R&R) Application Guide must be followed.

#### SF424(R&R) Project/Performance Site Locations

All instructions in the SF424 (R&R) Application Guide must be followed.

#### SF424(R&R) Other Project Information

All instructions in the SF424 (R&R) Application Guide must be followed.

#### SF424(R&R) Senior/Key Person Profile

All instructions in the SF424 (R&R) Application Guide must be followed.

#### R&R or Modular Budget

All instructions in the SF424 (R&R) Application Guide must be followed.

#### R&R Subaward Budget

All instructions in the SF424 (R&R) Application Guide must be followed.

#### PHS 398 Cover Page Supplement

All instructions in the SF424 (R&R) Application Guide must be followed.

#### PHS 398 Research Plan

All instructions in the SF424 (R&R) Application Guide must be followed, with the following additional instructions:

**Resource Sharing Plan:** Individuals are required to comply with the instructions for the Resource Sharing Plans as provided in the SF424 (R&R) Application Guide.

The following modifications also apply:

#### Appendix:

Only limited Appendix materials are allowed. Follow all instructions for the Appendix as described in the SF424 (R&R) Application Guide.

#### PHS Human Subjects and Clinical Trials Information



When involving human subjects research, clinical research, and/or NIH-defined clinical trials (and when applicable, clinical trials research experience) follow all instructions for the PHS Human Subjects and Clinical Trials Information form in the SF424 (R&R) Application Guide, with the following additional instructions:

If you answered "Yes" to the question "Are Human Subjects Involved?" on the R&R Other Project Information form, you must include at least one human subjects study record using the **Study Record: PHS Human Subjects and Clinical Trials Information** form or **Delayed Onset Study** record.

**Study Record: PHS Human Subjects and Clinical Trials Information**

All instructions in the SF424 (R&R) Application Guide must be followed.

**Delayed Onset Study**

Note: Delayed onset does NOT apply to a study that can be described but will not start immediately (i.e., delayed start). All instructions in the SF424 (R&R) Application Guide must be followed.

**PHS Assignment Request Form**

All instructions in the SF424 (R&R) Application Guide must be followed.

**Foreign Institutions**

Foreign (non-U.S.) institutions must follow policies described in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11137) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11137](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11137)), and procedures for foreign institutions described throughout the SF424 (R&R) Application Guide.

**3. Unique Entity Identifier and System for Award Management (SAM)**

See Part 1, Section III.1 for information regarding the requirement for obtaining a unique entity identifier and for completing and maintaining active registrations in System for Award Management (SAM), NATO Commercial and Government Entity (NCAGE) Code (if applicable), eRA Commons, and Grants.gov

**4. Submission Dates and Times**

[Part I, Overview Information](#) contains information about Key Dates and times. Applicants are encouraged to submit applications before the due date to ensure they have time to make any application corrections that might be necessary for successful submission. When a submission date falls on a weekend or [Federal holiday](#) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=82380](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82380)), the application deadline is automatically extended to the next business day.

Organizations must submit applications to [Grants.gov](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11128) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11128](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11128)) (the online portal to find and apply for grants across all Federal agencies). Applicants must then complete the submission process by tracking the status of the application in the [eRA Commons](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11129) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11129](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11129)), NIH's electronic system for grants administration. NIH and Grants.gov systems check the application against many of the application instructions upon submission. Errors must be corrected and a changed/corrected application must be submitted to Grants.gov on or before the application due date and time. If a Changed/Corrected application is submitted after the deadline, the application will be considered late. Applications that miss the due date and time are subjected to the NIH Policy on Late Application Submission.

Applicants are responsible for viewing their application before the due date in the eRA Commons to ensure accurate and successful submission.

Information on the submission process and a definition of on-time submission are provided in the SF424 (R&R) Application Guide.

**5. Intergovernmental Review (E.O. 12372)**

This initiative is not subject to [intergovernmental review](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11142). ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11142](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11142))

**6. Funding Restrictions**

All NIH awards are subject to the terms and conditions, cost principles, and other considerations described in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11120](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120)).

Pre-award costs are allowable only as described in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11143) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11143](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11143)).

**7. Other Submission Requirements and Information**

Applications must be submitted electronically following the instructions described in the SF424 (R&R) Application Guide. Paper applications will not be accepted.

Applicants must complete all required registrations before the application due date. [Section III, Eligibility Information](#) contains information about registration.

For assistance with your electronic application or for more information on the electronic submission process, visit [How to Apply - Application Guide](https://grants.nih.gov/grants/how-to-apply-application-guide.html) (<https://grants.nih.gov/grants/how-to-apply-application-guide.html>). If you encounter a system issue beyond your control that threatens your ability to complete the submission process on-time, you must follow the [Dealing with System Issues](https://grants.nih.gov/grants/how-to-apply-application-guide/ue-dates-and-submission-policies/dealing-with-system-issues.htm) (<https://grants.nih.gov/grants/how-to-apply-application-guide/ue-dates-and-submission-policies/dealing-with-system-issues.htm>) guidance. For assistance with application submission, contact the Application Submission Contacts in [Section VII](#).

**Important reminders:**

All PD(s)/PI(s) must include their eRA Commons ID in the Credential field of the Senior/Key Person Profile Component of the SF424(R&R) Application Package. Failure to register in the Commons and to include a valid PD/PI Commons ID in the credential field will prevent the successful submission of an electronic application to NIH. See [Section III](#) of this FOA for information on registration requirements.

The applicant organization must ensure that the DUNS number it provides on the application is the same number used in the organization's profile in the eRA Commons and for the System for Award Management. Additional information may be found in the SF424 (R&R) Application Guide.

See [more tips](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11146) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11146](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11146)) for avoiding common errors.

Upon receipt, applications will be evaluated for completeness and compliance with application instructions by the Center for Scientific Review, NIH. Applications that are incomplete or non-compliant will not be reviewed.

**Requests of \$500,000 or more for direct costs in any year**

Applicants requesting \$500,000 or more in direct costs in any year (excluding consortium F&A) must contact a Scientific/Research Contact at least 6 weeks before submitting the application and follow the [Policy on the Acceptance for Review](#)

of Unsolicited Applications that Request \$500,000 or More in Direct Costs as described in the SF424 (R&R) Application Guide.

### Post Submission Materials

Applicants are required to follow the instructions for post-submission materials, as described in [the policy](#) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=82299](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82299)). Any instructions provided here are in addition to the instructions in the policy.

## Section V. Application Review Information

### 1. Criteria

Only the review criteria described below will be considered in the review process. Applications submitted to the NIH in support of the [NIH mission](#) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11149](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11149)) are evaluated for scientific and technical merit through the NIH peer review system.

#### Overall Impact

Reviewers will provide an overall impact score to reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the research field(s) involved, in consideration of the following review criteria and additional review criteria (as applicable for the project proposed).

#### Scored Review Criteria

Reviewers will consider each of the review criteria below in the determination of scientific merit, and give a separate score for each. An application does not need to be strong in all categories to be judged likely to have major scientific impact. For example, a project that by its nature is not innovative may be essential to advance a field.

#### Significance

Does the project address an important problem or a critical barrier to progress in the field? Is the prior research that serves as the key support for the proposed project rigorous? If the aims of the project are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved? How will successful completion of the aims change the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field?

Are the scientific rationale and need for a clinical trial to test the proposed hypothesis or intervention well supported by preliminary data, clinical and/or preclinical studies, or information in the literature or knowledge of biological mechanisms? For trials focusing on clinical or public health endpoints, is this clinical trial necessary for testing the safety, efficacy or effectiveness of an intervention that could lead to a change in clinical practice, community behaviors or health care policy? For trials focusing on mechanistic, behavioral, physiological, biochemical, or other biomedical endpoints, is this trial needed to advance scientific understanding?

#### Investigator(s)

Are the PD(s)/PI(s), collaborators, and other researchers well suited to the project? If Early Stage Investigators or those in the early stages of independent careers, do they have appropriate experience and training? If established, have they demonstrated an ongoing record of accomplishments that have advanced their field(s)? If the project is collaborative or multi-PD/PI, do the investigators have complementary and integrated expertise; are their leadership approach, governance and organizational structure appropriate for the project?

With regard to the proposed leadership for the project, do the PD/PI(s) and key personnel have the expertise, experience, and ability to organize, manage and implement the proposed clinical trial and meet milestones and timelines? Do they have appropriate expertise in study coordination, data management and statistics? For a multicenter trial, is the organizational structure appropriate and does the application identify a core of potential center investigators and staffing for a coordinating center?

#### Innovation

Does the application challenge and seek to shift current research or clinical practice paradigms by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions? Are the concepts, approaches or methodologies, instrumentation, or interventions novel to one field of research or novel in a broad sense? Is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions proposed?

Does the design/research plan include innovative elements, as appropriate, that enhance its sensitivity, potential for information or potential to advance scientific knowledge or clinical practice?

#### Approach

Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? Have the investigators included plans to address weaknesses in the rigor of prior research that serves as the key support for the proposed project? Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed? Are potential problems, alternative strategies, and benchmarks for success presented? If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed? Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects?

Does the application adequately address the following, if applicable?

#### Study Design

Is the study design justified and appropriate to address primary and secondary outcome variable(s)/endpoints that will be clear, informative and relevant to the hypothesis being tested? Is the scientific rationale/premise of the study based on previously well-designed preclinical and/or clinical research? Given the methods used to assign participants and deliver interventions, is the study design adequately powered to answer the research question(s), test the proposed hypothesis/hypotheses, and provide interpretable results? Is the trial appropriately designed to conduct the research efficiently? Are the study populations (size, gender, age, demographic group), proposed intervention arms/dose, and duration of the trial, appropriate and well justified?

Are potential ethical issues adequately addressed? Is the process for obtaining informed consent or assent appropriate? Is the eligible population available? Are the plans for recruitment outreach, enrollment, retention, handling dropouts, missed visits, and losses to follow-up appropriate to ensure robust data collection? Are the planned recruitment timelines feasible and is the plan to monitor accrual adequate? Has the need for randomization (or not), masking (if appropriate), controls, and inclusion/exclusion criteria been addressed? Are differences addressed, if applicable, in the intervention effect due to sex/gender and race/ethnicity?

Are the plans to standardize, assure quality of, and monitor adherence to, the trial protocol and data collection or distribution guidelines appropriate? Is there a plan to obtain required study agent(s)? Does the application propose to use existing available resources, as applicable?

#### *Data Management and Statistical Analysis*

Are planned analyses and statistical approach appropriate for the proposed study design and methods used to assign participants and deliver interventions? Are the procedures for data management and quality control of data adequate at clinical site(s) or at center laboratories, as applicable? Have the methods for standardization of procedures for data management to assess the effect of the intervention and quality control been addressed? Is there a plan to complete data analysis within the proposed period of the award?

If the project involves human subjects and/or NIH-defined clinical research, are the plans to address 1) the protection of human subjects from research risks, and 2) inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion or exclusion of individuals of all ages (including children and older adults), justified in terms of the scientific goals and research strategy proposed?

#### **Environment**

Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources available to the investigators adequate for the project proposed? Will the project benefit from unique features of the scientific environment, subject populations, or collaborative arrangements?

If proposed, are the administrative, data coordinating, enrollment and laboratory/testing centers, appropriate for the trial proposed?

Does the application adequately address the capability and ability to conduct the trial at the proposed site(s) or centers? Are the plans to add or drop enrollment centers, as needed, appropriate?

If international site(s) is/are proposed, does the application adequately address the complexity of executing the clinical trial?

If multi-sites/centers, is there evidence of the ability of the individual site or center to: (1) enroll the proposed numbers; (2) adhere to the protocol; (3) collect and transmit data in an accurate and timely fashion; and, (4) operate within the proposed organizational structure?

#### **Additional Review Criteria**

As applicable for the project proposed, reviewers will evaluate the following additional items while determining scientific and technical merit, and in providing an overall impact score, but will not give separate scores for these items.

##### **Study Timeline**

Is the study timeline described in detail, taking into account start-up activities, the anticipated rate of enrollment, and planned follow-up assessment? Is the projected timeline feasible and well justified? Does the project incorporate efficiencies and utilize existing resources (e.g., CTSA, practice-based research networks, electronic medical records, administrative database, or patient registries) to increase the efficiency of participant enrollment and data collection, as appropriate?

Are potential challenges and corresponding solutions discussed (e.g., strategies that can be implemented in the event of enrollment shortfalls)?

#### **Protections for Human Subjects**

For research that involves human subjects but does not involve one of the categories of research that are exempt under 45 CFR Part 46, the committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their participation according to the following five review criteria: 1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, and 5) data and safety monitoring for clinical trials.

For research that involves human subjects and meets the criteria for one or more of the categories of research that are exempt under 45 CFR Part 46, the committee will evaluate: 1) the justification for the exemption, 2) human subjects involvement and characteristics, and 3) sources of materials. For additional information on review of the Human Subjects section, please refer to the [Guidelines for the Review of Human Subjects \(https://grants.nih.gov/grants/guide/redirect.htm?id=11175\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11175).

#### **Inclusion of Women, Minorities, and Individuals Across the Lifespan**

When the proposed project involves human subjects and/or NIH-defined clinical research, the committee will evaluate the proposed plans for the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (or exclusion) of individuals of all ages (including children and older adults) to determine if it is justified in terms of the scientific goals and research strategy proposed. For additional information on review of the Inclusion section, please refer to the [Guidelines for the Review of Inclusion in Clinical Research \(https://grants.nih.gov/grants/guide/redirect.htm?id=11174\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11174).

#### **Vertebrate Animals**

The committee will evaluate the involvement of live vertebrate animals as part of the scientific assessment according to the following criteria: (1) description of proposed procedures involving animals, including species, strains, ages, sex, and total number to be used; (2) justifications for the use of animals versus alternative models and for the appropriateness of the species proposed; (3) interventions to minimize discomfort, distress, pain and injury; and (4) justification for euthanasia method if NOT consistent with the AVMA Guidelines for the Euthanasia of Animals. Reviewers will assess the use of chimpanzees as they would any other application proposing the use of vertebrate animals. For additional information on review of the Vertebrate Animals section, please refer to the [Worksheet for Review of the Vertebrate Animal Section \(https://grants.nih.gov/grants/guide/redirect.htm?id=11150\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11150).

#### **Biohazards**

Reviewers will assess whether materials or procedures proposed are potentially hazardous to research personnel and/or the environment, and if needed, determine whether adequate protection is proposed.

#### **Resubmissions**

For Resubmissions, the committee will evaluate the application as now presented, taking into consideration the responses to comments from the previous scientific review group and changes made to the project.

## Renewals

For Renewals, the committee will consider the progress made in the last funding period.

## Revisions

For Revisions, the committee will consider the appropriateness of the proposed expansion of the scope of the project. If the Revision application relates to a specific line of investigation presented in the original application that was not recommended for approval by the committee, then the committee will consider whether the responses to comments from the previous scientific review group are adequate and whether substantial changes are clearly evident.

## Additional Review Considerations

As applicable for the project proposed, reviewers will consider each of the following items, but will not give scores for these items, and should not consider them in providing an overall impact score.

### Applications from Foreign Organizations

Reviewers will assess whether the project presents special opportunities for furthering research programs through the use of unusual talent, resources, populations, or environmental conditions that exist in other countries and either are not readily available in the United States or augment existing U.S. resources.

### Select Agent Research

Reviewers will assess the information provided in this section of the application, including 1) the Select Agent(s) to be used in the proposed research, 2) the registration status of all entities where Select Agent(s) will be used, 3) the procedures that will be used to monitor possession use and transfer of Select Agent(s), and 4) plans for appropriate biosafety, biocontainment, and security of the Select Agent(s).

### Resource Sharing Plans

Reviewers will comment on whether the following Resource Sharing Plans, or the rationale for not sharing the following types of resources, are reasonable: (1) [Data Sharing Plan \(//grants.nih.gov/grants/guide/redirect.htm?id=11151\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11151); (2) [Sharing Model Organisms \(//grants.nih.gov/grants/guide/redirect.htm?id=11152\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11152); and (3) [Genomic Data Sharing Plan \(GDS\) \(//grants.nih.gov/grants/guide/redirect.htm?id=11153\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11153).

### Authentication of Key Biological and/or Chemical Resources:

For projects involving key biological and/or chemical resources, reviewers will comment on the brief plans proposed for identifying and ensuring the validity of those resources.

### Budget and Period of Support

Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research.

## 2. Review and Selection Process

Applications will be evaluated for scientific and technical merit by (an) appropriate Scientific Review Group(s), in accordance with [NIH peer review policy and procedures \(//grants.nih.gov/grants/guide/redirect.htm?id=11154\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11154), using the stated [review criteria \(file:///C:/Users/mckenziene/AppData/Local/Microsoft/Windows/NetCache/Content.Outlook/13V4OPZR/Research%20Draft.docx#\\_1\\_Criteria\)](file:///C:/Users/mckenziene/AppData/Local/Microsoft/Windows/NetCache/Content.Outlook/13V4OPZR/Research%20Draft.docx#_1_Criteria). Assignment to a Scientific Review Group will be shown in the eRA Commons.

As part of the scientific peer review, all applications will receive a written critique.

Applications may undergo a selection process in which only those applications deemed to have the highest scientific and technical merit (generally the top half of applications under review) will be discussed and assigned an overall impact score.

Applications will be assigned on the basis of established PHS referral guidelines to the appropriate NIH Institute or Center. Applications will compete for available funds with all other recommended applications. Following initial peer review, recommended applications will receive a second level of review by the appropriate national Advisory Council or Board. The following will be considered in making funding decisions:

- Scientific and technical merit of the proposed project as determined by scientific peer review.
- Availability of funds.
- Relevance of the proposed project to program priorities.

## 3. Anticipated Announcement and Award Dates

After the peer review of the application is completed, the PD/PI will be able to access his or her Summary Statement (written critique) via the [eRA Commons \(//grants.nih.gov/grants/guide/redirect.htm?id=11123\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11123). Refer to Part 1 for dates for peer review, advisory council review, and earliest start date.

Information regarding the disposition of applications is available in the [NIH Grants Policy Statement \(//grants.nih.gov/grants/guide/redirect.htm?id=11156\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11156).

## Section VI. Award Administration Information

### 1. Award Notices

If the application is under consideration for funding, NIH will request "just-in-time" information from the applicant as described in the [NIH Grants Policy Statement \(//grants.nih.gov/grants/guide/redirect.htm?id=11157\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11157).

A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization for successful applications. The NoA signed by the grants management officer is the authorizing document and will be sent via email to the grantee's business official.

Awardees must comply with any funding restrictions described in [Section IV.5. Funding Restrictions](#). Selection of an application for award is not an authorization to begin performance. Any costs incurred before receipt of the NoA are at the recipient's risk. These costs may be reimbursed only to the extent considered allowable pre-award costs.

Any application awarded in response to this FOA will be subject to terms and conditions found on the [Award Conditions and Information for NIH Grants \(//grants.nih.gov/grants/guide/redirect.htm?id=11158\)](https://grants.nih.gov/grants/guide/redirect.htm?id=11158) website. This includes any recent legislation and policy applicable to awards that is highlighted on this website.

ClinicalTrials.gov: If an award provides for one or more clinical trials. By law (Title VIII, Section 801 of Public Law 110-85), the "responsible party" must register and submit results information for certain "applicable clinical trials" on the ClinicalTrials.gov Protocol Registration and Results System Information Website (<https://register.clinicaltrials.gov>). NIH

expects registration and results reporting of all trials whether required under the law or not. For more information, see <https://grants.nih.gov/policy/clinical-trials/reporting/index.htm>.  
 Institutional Review Board or Independent Ethics Committee Approval: Grantee institutions must ensure that protocols are reviewed by their IRB or IEC. To help ensure the safety of participants enrolled in NIH-funded studies, the awardee must provide NIH copies of documents related to all major changes in the status of ongoing protocols. Data and Safety Monitoring Requirements: The NIH policy for data and safety monitoring requires oversight and monitoring of all NIH-conducted or -supported human biomedical and behavioral intervention studies (clinical trials) to ensure the safety of participants and the validity and integrity of the data. Further information concerning these requirements is found at [http://grants.nih.gov/grants/policy/hs/data\\_safety.htm](http://grants.nih.gov/grants/policy/hs/data_safety.htm) and in the application instructions (SF424 (R&R) and PHS 398).  
 Investigational New Drug or Investigational Device Exemption Requirements: Consistent with federal regulations, clinical research projects involving the use of investigational therapeutics, vaccines, or other medical interventions (including licensed products and devices for a purpose other than that for which they were licensed) in humans under a research protocol must be performed under a Food and Drug Administration (FDA) investigational new drug (IND) or investigational device exemption (IDE).

## 2. Administrative and National Policy Requirements

All NIH grant and cooperative agreement awards include the *NIH Grants Policy Statement* (<https://grants.nih.gov/grants/guide/redirect.htm?id=11120>) as part of the NoA. For these terms of award, see the *NIH Grants Policy Statement Part II: Terms and Conditions of NIH Grant Awards, Subpart A: General* (<https://grants.nih.gov/grants/guide/redirect.htm?id=11157>) and *Part II: Terms and Conditions of NIH Grant Awards, Subpart B: Terms and Conditions for Specific Types of Grants, Grantees, and Activities* (<https://grants.nih.gov/grants/guide/redirect.htm?id=11159>). More information is provided at *Award Conditions and Information for NIH Grants* (<https://grants.nih.gov/grants/guide/redirect.htm?id=11158>).

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex. This includes ensuring programs are accessible to persons with limited English proficiency. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. Please see <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> (<https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html>) and <http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html> (<http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html>).

HHS recognizes that research projects are often limited in scope for many reasons that are nondiscriminatory, such as the principal investigator's scientific interest, funding limitations, recruitment requirements, and other considerations. Thus, criteria in research protocols that target or exclude certain populations are warranted where nondiscriminatory justifications establish that such criteria are appropriate with respect to the health or safety of the subjects, the scientific study design, or the purpose of the research. For additional guidance regarding how the provisions apply to NIH grant programs, please contact the Scientific/Research Contact that is identified in Section VII under Agency Contacts of this FOA.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> (<https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html>) and <https://www.lep.gov> (<https://www.lep.gov>). For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53> (<https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>).
- Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html> (<http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>).
- HHS funded health and education programs must be administered in an environment free of sexual harassment. Please see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html> (<https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>); <https://www2.ed.gov/about/offices/list/ocr/docs/shguide.html>; and <https://www.eeoc.gov/eeoc/publications/upload/fs-sex.pdf> (<https://www.eeoc.gov/eeoc/publications/upload/fs-sex.pdf>). For information about NIH's commitment to supporting a safe and respectful work environment, who to contact with questions or concerns, and what NIH's expectations are for institutions and the individuals supported on NIH-funded awards, please see <https://grants.nih.gov/grants/policy/harassment.htm> (<https://grants.nih.gov/grants/policy/harassment.htm>).
- Recipients of FFA must also administer their programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws. Collectively, these laws prohibit exclusion, adverse treatment, coercion, or other discrimination against persons or entities on the basis of their consciences, religious beliefs, or moral convictions. Please see <https://www.hhs.gov/conscience/conscience-protections/index.html> (<https://www.hhs.gov/conscience/conscience-protections/index.html>) and <https://www.hhs.gov/conscience/religious-freedom/index.html> (<https://www.hhs.gov/conscience/religious-freedom/index.html>).

Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/contact-us/index.html> (<https://www.hhs.gov/ocr/about-us/contact-us/index.html>) or call 1-800-368-1019 or TDD 1-800-537-7697.

In accordance with the statutory provisions contained in Section 872 of the Duncan Hunter National Defense Authorization Act of Fiscal Year 2009 (Public Law 110-417), NIH awards will be subject to the Federal Awardee Performance and Integrity Information System (FAPIS) requirements. FAPIS requires Federal award making officials to review and consider information about an applicant in the designated integrity and performance system (currently FAPIS) prior to making an award. An applicant, at its option, may review information in the designated integrity and performance systems accessible through FAPIS and comment on any information about itself that a Federal agency previously entered and is currently in FAPIS. The Federal awarding agency will consider any comments by the applicant, in addition to other information in FAPIS, in making a judgement about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 45 CFR Part 75.205 "Federal awarding agency review of risk posed by applicants." This provision will apply to all NIH grants and cooperative agreements except fellowships.

### Cooperative Agreement Terms and Conditions of Award

Not Applicable

## 3. Reporting

When multiple years are involved, awardees will be required to submit the [Research Performance Progress Report \(RPPR\)](https://grants.nih.gov/grants/rppr/index.htm) (<https://grants.nih.gov/grants/rppr/index.htm>) annually and financial statements as required in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11161) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11161](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11161)).

A final RPPR, invention statement, and the expenditure data portion of the Federal Financial Report are required for closeout of an award, as described in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11161) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11161](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11161)).

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), includes a requirement for awardees of Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards issued in FY2011 or later. All awardees of applicable NIH grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at [www.fsrs.gov](http://www.fsrs.gov) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11170](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11170)) on all subawards over \$25,000. See the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11171) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11171](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11171)) for additional information on this reporting requirement.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts from all Federal awarding agencies with a cumulative total value greater than \$10,000,000 for any period of time during the period of performance of a Federal award, must report and maintain the currency of information reported in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently FAPIIS). This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available. Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75 – Award Term and Conditions for Recipient Integrity and Performance Matters.

## Section VII. Agency Contacts

We encourage inquiries concerning this funding opportunity and welcome the opportunity to answer questions from potential applicants.

### Application Submission Contacts

eRA Service Desk (Questions regarding ASSIST, eRA Commons, application errors and warnings, documenting system problems that threaten submission by the due date, and post-submission issues)

Finding Help Online: <http://grants.nih.gov/support/> (<https://grants.nih.gov/support/>) (preferred method of contact)

Telephone: 301-402-7469 or 866-504-9552 (Toll Free)

General Grants Information (Questions regarding application instructions, application processes, and NIH grant resources)

Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov) (<mailto:GrantsInfo@nih.gov>) (preferred method of contact)

Telephone: 301-945-7573

Grants.gov Customer Support (Questions regarding Grants.gov registration and Workspace)

Contact Center Telephone: 800-518-4726

Email: [support@grants.gov](mailto:support@grants.gov) (<mailto:support@grants.gov>)

### Scientific/Research Contact(s)

Participating NIH Institutes and Centers are listed in "Components of Participating Organizations" in [Part 1. Overview](https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components_of_Participating) ([https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components\\_of\\_Participating](https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components_of_Participating)). Scientific/Research Contact information is listed on [R01 Clinical Trial Required IC-Specific Scientific Interests and Contact website](https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html) (<https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html>)

### Peer Review Contact(s)

Examine your eRA Commons account for review assignment and contact information (information appears two weeks after the submission due date).

### Financial/Grants Management Contact(s)

Participating NIH Institutes and Centers are listed in "Components of Participating Organizations" in [Part 1. Overview](https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components_of_Participating) ([https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components\\_of\\_Participating](https://grants.nih.gov/grants/guide/pa-files/PA-18-345.html#Components_of_Participating)). Financial/Grants Management Contact information is listed on the [R01 Clinical Trial Required IC-Specific Scientific Interests and Contact website](https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html) (<https://grants.nih.gov/grants/guide/contacts/parent-R01-CT-Required.html>)

## Section VIII. Other Information

Recently issued trans-NIH [policy notices](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11163) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11163](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11163)) may affect your application submission. A full list of policy notices published by NIH is provided in the [NIH Guide for Grants and Contracts](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11164) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11164](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11164)). All awards are subject to the terms and conditions, cost principles, and other considerations described in the [NIH Grants Policy Statement](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) ([https://grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11120](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120)).

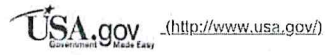
### Authority and Regulations

Awards are made under the authorization of Sections 301 and 405 of the Public Health Service Act as amended (42 USC 241 and 284) and under Federal Regulations 42 CFR Part 52 and 45 CFR Part 75.

[Weekly TOC for this Announcement](https://grants.nih.gov/grants/guide/WeeklyIndex.cfm?05-08-20) (<https://grants.nih.gov/grants/guide/WeeklyIndex.cfm?05-08-20>)

[NIH Funding Opportunities and Notices](https://grants.nih.gov/grants/guide/index.html) (<https://grants.nih.gov/grants/guide/index.html>)





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**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files \(/grants/edocs.htm\)](http://grants.edocs.nih.gov/help/downloading_files/).





## ขั้นตอนการสมัครขอรับทุน National Institute of Health (NIH)

1. ผู้สมัครจะต้องแจ้งความประสงค์และนำส่งข้อมูลเข้ามายังกองบริหารงานวิจัย ภายในกำหนดเวลาแจ้งความประสงค์การจัดส่งข้อเสนอในหนังสือประชาสัมพันธ์ โดยนำส่งข้อมูลทางอีเมล [chittiporn.nua@mahidol.edu](mailto:chittiporn.nua@mahidol.edu) เพื่อขอเปิดบัญชี eRA commons และขอสร้างข้อเสนอโครงการในระบบออนไลน์ ASSIST ของแหล่งทุน NIH โดยแจ้งข้อมูลดังนี้

Name: Surname:

Email ([XXXX@mahidol.ac.th](mailto:XXXX@mahidol.ac.th) หรือ [XXXX@mahidol.edu](mailto:XXXX@mahidol.edu)):

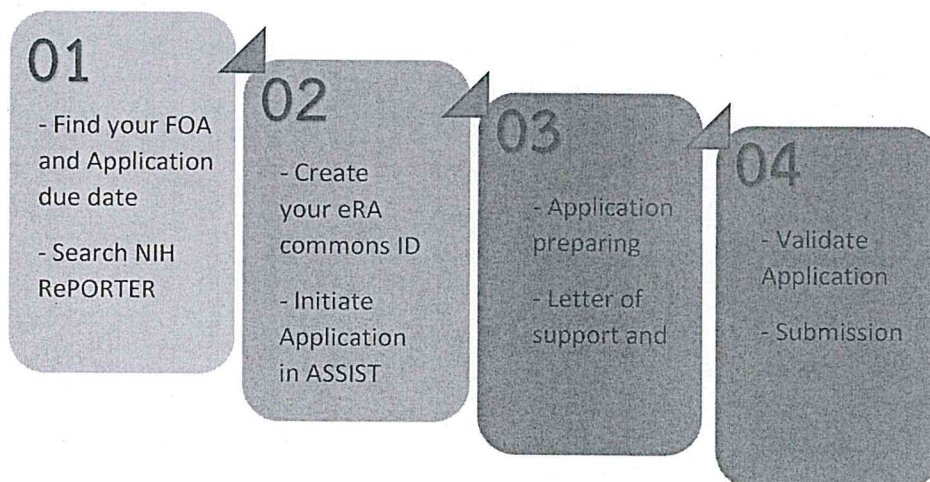
Funding Opportunity Announcement (FOA) Number:

Application title:

Application due date:

2. ผู้สมัครขอรับทุนศึกษาประกาศทุน (Funding opportunity announcements หรือ FOA) อย่างละเอียด ตรวจสอบกำหนดการส่งข้อเสนอของมหาวิทยาลัย และสืบค้นข้อมูลที่เกี่ยวข้องกับงานวิจัยของตนเองผ่าน NIH RePORTER <https://reporter.nih.gov>
3. มหาวิทยาลัยสร้างบัญชี eRA commons และสร้างข้อเสนอโครงการในระบบ ASSIST ให้ผู้สมัครขอรับทุน ผู้ขอรับทุนจัดทำข้อเสนอโครงการและเอกสารที่เกี่ยวข้องตามข้อกำหนดของแหล่งทุนร่วมกับมหาวิทยาลัย
4. ผู้สมัครขอรับทุนนำส่งเอกสารข้อเสนอโครงการฉบับสมบูรณ์ผ่านหัวหน้าส่วนงานเพื่อขออนุมัติจัดส่งข้อเสนอโครงการผ่านระบบออนไลน์ ASSIST ตามกำหนดรับข้อเสนอของมหาวิทยาลัย\*\* กองบริหารงานวิจัยตรวจสอบข้อเสนอโครงการ เสนออนุมัตินำส่งข้อเสนอโครงการและจัดส่งข้อเสนอโครงการในนามของมหาวิทยาลัยไปยังแหล่งทุน

(\*\*หากผู้สมัครขอรับทุนนำส่งข้อเสนอโครงการให้กองบริหารงานวิจัยตรวจสอบล่าช้ากว่ากำหนดของมหาวิทยาลัย มหาวิทยาลัยขอสงวนสิทธิ์ในการรับข้อเสนอโครงการเพื่อนำส่งแหล่งทุนในรอบนั้นๆ)



สอบถามข้อมูลเพิ่มเติม คุณจิตติพร 02-8496252 [chittiporn.nua@mahidol.edu](mailto:chittiporn.nua@mahidol.edu)

หน่วยสนับสนุนการขอทุนวิจัยจากแหล่งทุนต่างประเทศ

Mahidol University: Supporting Unit for International Research Funding (MU: SURF)

