



Symposium for Research Administrators

University of Wisconsin-Madison
September 26th, 2018

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Navigating the new NIH E-forms and decoding the new Human Subjects Section

September 26, 2018

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1. Use the correct FOA number for your grant

Program Announcements
Typical and Atypical Patterns of Language and Literacy in Dual Language
Learners (**R01-Clinical Trial Optional**)
[\(PA-18-316\)](#)

Typical and Atypical Patterns of Language and Literacy in Dual Language
Learners (**R21-Clinical Trial Optional**)
[\(PA-18-328\)](#)

Investigator-Initiated Clinical Trials Targeting Diseases within the Mission of
NIDDK (**R01-Clinical Trial Required**)
[\(PA-18-330\)](#)

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Testing Interventions for Health-Enhancing Physical Activity (**R01 - Clinical Trial Optional**)
[\(PAR-18-324\)](#)

Simulation Modeling and Systems Science to Address Health Disparities
(R01-Clinical Trial Not Allowed)
[\(PAR-18-331\)](#)

Clinic Testing Therapeutic/Indication Pairing Strategies (**U01 Clinical Trial Required**)
[\(PAR-18-332\)](#)

NHLBI Program Project Applications (**P01 - Clinical Trials Optional**)
[\(PAR-18-405\)](#)
 National Heart, Lung, and Blood Institute



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Parent Announcements

R01	NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)	PA-18-494	NIH	12/04/2017	01/05/2018	01/08/2021
R01	NIH Research Project Grant (Parent R01 Clinical Trial Required)	PA-18-345	NIH	11/03/2017	01/05/2018	01/08/2021
R21	NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Not Allowed)	PA-18-680	NIH	12/04/2017	01/16/2018	01/08/2021
R21	NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Required)	PA-18-344	NIH	11/03/2017	01/16/2018	01/08/2021



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2. Cayuse is set to keep you from submitting to the wrong FOA.

Once you answer the questions on the form Cayuse will create ERRORS if you answered wrong to the FOA that was uploaded!



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Overview | Opportunities | Proposals | Routing | People | Institutions | Reports | Settings

Proposals List - HSCT Form - APT

Study Record: PHS Human Subjects and Clinical Trials Information

1.4. * Clinical Trial Questionnaire
(If the answers to all four questions below are yes, this study meets the definition of a Clinical Trial.)

1.4.a. Does the study involve human participants? ☐ Yes ☐ No

1.4.b. Are the participants prospectively assigned to an intervention? ☐ Yes ☐ No

1.4.c. Is the study designed to evaluate the effect of the intervention on the participants? ☐ Yes ☐ No

1.4.d. Is the effect that will be evaluated a health-related, biomedical, or behavioral outcome? ☐ Yes ☐ No

1.5. Provide the ClinicalTrials.gov Identifier (e.g., NCT01694324) for this trial, if applicable: _____

Section 3 - Study Population Characteristics

2.1. Conditions or Phase of Study: _____

Error (3) / Warning (0) / Info (0)

Error (HS Study Form 1.4.3[NO]) You cannot answer Yes to all questions 1.4.a through 1.4.d in the Clinical Trial Questionnaire since this PGT does not allow clinical trials.

Error (HS Study Form 3.1.3[NO]) Attachment of Service History attachment is required.

Error (HS Study Form 3.2[NO]) A response to the question regarding Study Site Studies is required.

Final Review

3. New forms expiration date

For any type of a form page be sure to get the latest version:

OMB Expiration date to 3/31/2020

OMB No. 0625-0001 and 0625-0002 (Rev. 08/17 Approved Through 03/31/2020)

BIOGRAPHICAL SKETCH

Provide the following information for the Seneschey personnel and other significant contributors.
Follow the format for each person. DO NOT EXCEED FIVE PAGES.

NAME: _____

ORA COMMONS USER NAME (credential, e.g., agency login): _____

POSITION TITLE: _____

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY

A. Personal Statement

B. Positions and Honors

4. Human Subjects Information was removed from the Research Plan page

****Now on it's own form**



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Add a record for each proposed human subject study by selecting "Add New Study" or "Add New Delayed Onset Study" as appropriate. Delayed onset studies are those for which there is no well-defined plan for human subject involvement at the time of submission, per agency policies on Delayed Onset Studies. For delayed onset studies, you will provide the study name and a justification for omission of human subjects study information.

Other Requested Information

(no pdf) (no src)

Study Record(s)

Attach human study records using unique filenames.

Add New Study | Import Study

#	Study Title	Is a Clinical Trial?
1	DETECT Study	

Limited to 30 characters

Delayed Onset Study(ies)

Add New Delayed Onset Study

#	Study Title	Anticipated Clinical Trial?	Justification
1			

4 types of projects:

1. For No Human Subjects or animals OR animals, only just answer the HS/CT opening page.
2. Human Subjects with Exemption 4, answer Section 1 and upload 3.1 Protection of Human Subjects
3. Human subjects research (aka: Clinical Research), complete Sections 1, 2 and 3.
4. For a Clinical Trial, complete Sections 1-4.

Before you begin adding text into the Sections.....**KNOWN PROBLEM !**

Rules for Text Fields

On This Page:

- Allowable Characters
- Cutting and Pasting
- Field Lengths
- Formatting

Allowable Characters

- The standard character set for our application forms is Unicode, with UTF-8 encoding (including Greek and other special characters).
- Characters known to cause issues and recommended substitutions:
 - "Smart quotes" or "curly quotes" that curve into your text - use straight single and double quotes (the ones you type from your keyboard) instead.
 - "Em-dash" (the long dash) - use the short dash instead.

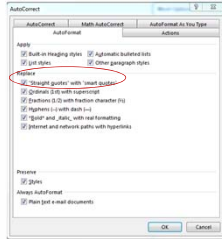
Cutting and Pasting

- Cutting and pasting text from Word or another text editor into a text field is generally OK, but watch out for proprietary fonts or special characters. For example, some word processors like Word automatically convert straight quotation marks into "smart quotes" or "curly quotes" that are curved one way at the beginning of the quote and the other way at the end of a quote.
- Much of your original formatting (font, bolding, bullets, subscript, superscript) will be lost when you cut and paste (see Formatting below).
- If your submission option supports application previewing before submission (e.g., ASSIST - Preview Application; Webquest - Generate Images), then use that feature to check your data entry. You can then make any necessary adjustments to your records before the system links the data into the database.

After cut/paste with the find feature on the Cayuse HS form page to search for ' and " with straight quotes—these cause an ERROR!

Word can be set to not use smart quotes by going here:

File ⇒ Options ⇒ Proofing ⇒ Auto Correct Options... ⇒ AutoFormat ⇒ Check Replace "straight quotes" with "smart quotes"



Cannot add a Study Record if you answer No to Human Subjects question on R&R Other Project Information form.

HS = Human Subjects
CT = Clinical Trials

Study Record: PHS Human Subjects and Clinical Trials Information

OMB Number: 0925-0001
Expiration Date: 03/31/2020

* Always required field

Section 1 - Basic Information

1.1. * Study Title (each study title must be unique)
Required and system enforced. Up to 600 characters. Study title must be unique within the application. First 150 characters of title will show in application bookmark.

1.2. * Is this Study Exempt from Federal Regulations? ☐ Yes ☐ No ← Answer required and system enforced

1.3. Exemption Number ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ← If Study Exempt is Yes, must provide exemption number.

1.4. * Clinical Trial Questionnaire ← Answers to questionnaire required and system enforced

If the answers to all four questions below are yes, this study meets the definition of a Clinical Trial:

1.4.a. Does the study involve human participants? ☐ Yes ☐ No

1.4.b. Are the participants prospectively assigned to an intervention? ☐ Yes ☐ No

1.4.c. Is the study designed to evaluate the effect of the intervention on the participants? ☐ Yes ☐ No

1.4.d. Is the effect that will be evaluated a health-related biomedical or behavioral outcome? ☐ Yes ☐ No

1.5. Provide the ClinicalTrials.gov Identifier (e.g., NCT07654321) for this trial, if applicable

Optional: provide NCT# if available. Newly proposed studies do not need

600 is not correct—Limited to 30 characters! If you need to change the title it can only be done on this page.

Section 1.2: Is this study exempt from federal regulations?

Exemptions:

- Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt.
- Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt.
- Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:
 - Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.
- Research involving taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Section 1.3: If exempt, which exemption?

Study Record: PHS Human Subjects and Clinical Trials Information

OMB Number: 0925-0001
Expiration Date: 03/31/2020

Section 1 - Basic Information

1.1 Study Title (This study title must be unique within the application. First 150 characters of title will show in application.)

1.2 Is this Study Exempt from Federal Regulations? ☐ Yes ☐ No

1.3 Exemption Number:

1.4 Clinical Trial Questionnaire: ☐ Yes ☐ No

If four questions are all Yes AND FCM allows clinical trials, then study will be flagged as a Clinical Trial (CT) study.

Section 1.4: Clinical Trial Questionnaire

Study Record: PHS Human Subjects and Clinical Trials Information

OMB Number: 0925-0001
Expiration Date: 03/31/2020

Section 1 - Basic Information

1.1 Study Title (This study title must be unique within the application. First 150 characters of title will show in application.)

1.2 Is this Study Exempt from Federal Regulations? ☐ Yes ☐ No

1.3 Exemption Number:

1.4 Clinical Trial Questionnaire: ☐ Yes ☐ No

If four questions are all Yes AND FCM allows clinical trials, then study will be flagged as a Clinical Trial (CT) study.

Section 1.4: Clinical Trial?

The 4 questions determine if the project is a clinical trial:

- 1) Does this study involve **human subjects**?
- 2) Are the participants assigned prospectively to an **intervention**?
- 3) Is the study designed to **evaluate the effect** of the intervention on the participants?
- 4) Is the effect that will be evaluated a health-related biomedical or behavioral **outcome**?

✓ YES to all four = Clinical Trial

If yes, must fill out Sections 1-4

Case studies:

Clinical Trial?

Case Study #1:

The study involves the recruitment of research participants who are randomized to receive one of two approved drugs. It's designed to compare the effects of the drugs on the blood level of a protein.

1. Does the study involve human participants?
2. Are the participants prospectively assigned to an intervention?
3. Is the study designed to evaluate the effect of the intervention on the participants?
4. Is the effect being evaluated a health-related biomedical or behavioral outcome?

Case Study #2:

The study involves the recruitment of patients with disease X who are receiving one of three standard therapies as part of their clinical care. It's designed to assess the relative effectiveness of the 3 therapies by monitoring survival rates using medical records over a few years.

1. Does the study involve human participants?
2. Are the participants prospectively assigned to an intervention?
3. Is the study designed to evaluate the effect of the intervention on the participants?
4. Is the effect being evaluated a health-related biomedical or behavioral outcome?

Section 2.5. Recruitment and Retention

Describe how you will recruit and retain participants in your study. You should address both planned recruitment activities as well as proposed engagement strategies for retention

Examples:

Recruitment- "Participants will be primary care patients from XYZ clinic. Pre-screening will identify those grossly eligible patients that have had disease x in the last year, btw the ages of 20-57, and currently use an inhaled steroid. A primary care physician will approach the patient to see if they are interested and, if so, a research staff member will go through the consent with them. No study procedures will be conducted until after informed consent is received."

Retention- "Building rapport and trust with enrolled subjects is the primary retention mechanism used in this research project. Subjects are called for reminders to study visits and occasional check-ins from the research coordinators (noted in protocol). In addition, as a way to offset travel costs, we are able to offer our subjects \$25 for each study visit, which contributes to the high rate of subjects who come in for follow-up visits."



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Section 2.6. Recruitment Status

Required unless you indicated Exemption 4 and/or if you selected "no" to 1.4.a.
"Does the study involve human participants."

Drop-down options:

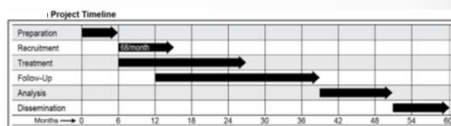
- Not yet recruiting
- Recruiting
- Enrolling by invitation
- Active, not recruiting
- Completed
- Suspended
- Terminated (Halted prematurely)
- Withdrawn (No participants enrolled)



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Section 2.7. Study Timeline

Provide a description or diagram describing the study timeline. The description should be general (i.e one year after notice of award) and should not include specific dates.



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Section 2.8. Enrollment of first subject

- Requires MM/DD/YYYY and a drop down menu of:
 - Anticipated
 - Actual

Inclusion Enrollment Report

1. Using an Existing Dataset or Resource ☐ Yes ☒ No

2. Enrollment Location Type ☒ Domestic ☐ Foreign

3. Enrollment Country(ies)
 Add New Country

4. Enrollment Location(s)

5. Comments

Planned

Racial Categories	Ethnic Categories		Total
	Not Hispanic or Latino	Hispanic or Latino	
	Female	Male	
American Indian/ Alaska Native	85 ±	119 ±	204 ±
Asian	130 ±	9 ±	139 ±
Native Hawaiian or Other Pacific Islander	5 ±	9 ±	14 ±
Black or African American	500 ±	340 ±	840 ±
White	2009 ±	2009 ±	4018 ±
More than One Race	20 ±	39 ±	59 ±
Total	2760 ±	2580 ±	5340 ±

Section 3- Protection and Monitoring Plans

Section 3 - Protection and Monitoring Plans

3.1. Protection of Human Subjects

3.2. Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site?

☐ Yes ☐ No ☐ N/A
 Answer required and system enforced. "N/A" is only a valid option for fellowship and career development applications or if exemption 4.

If yes, describe the single IRB plan

3.3. Data and Safety Monitoring Plan

3.4. Will a Data and Safety Monitoring Board be appointed for this study?

☐ Yes ☐ No
 Answer required and system enforced for CT study unless otherwise noted in opportunity. Optional for HS study.

3.5. Overall Structure of the Study Team

Section 4 - Protocol Synopsis

4.1. Brief Summary

All Study Process fields of 3 in flow 4-9 are required and system enforced for

Proposals List • RED Form • DETECT Study

Study Record: PHS Human Subjects and Clinical Trials Information: 1

Section 3 - Protection and Monitoring Plans

3.1. Protection of Human Subjects [DETECT human subjects_PHS.pdf](#) (no enc)

3.2. Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site?

☐ Yes ☐ No ☐ N/A

If yes, describe the single IRB Plan: [DETECT single IRB plan.pdf](#) (no enc)

3.3. Data and Safety Monitoring Plan [DATA safety plan DETECT.pdf](#) (no enc)

3.4. Will a Data and Safety Monitoring Board be appointed for this study?

☐ Yes ☐ No

3.5. Overall Structure of the Study Team [Overall Structure of the Team DETECT grant.pdf](#) (no enc)

Section 4 - Protocol Synopsis

4.1. Brief Summary

Brief Summary
The objectives of this protocol are to 1) Compare the effects of detection and isolation for asymptomatic *C. difficile* colonization to the current standard of care (barrier

4.2. Study Design

4.2.a. Narrative Study Description
Clostridium difficile infection (CDI) has become the most common healthcare-associated infection (HCAI) in U.S. hospitals causing half a million infections and 35,000 deaths.

Section 3.1: Protection of Human Subjects (PHS)

For studies that involve Non-Exempt Human Subjects Research: NIH requires a PHS attachment that is commensurate with the risks of the study, size and complexity

This section requires 4 sections, following the headings and specified order below:

1. Risks to Human Subjects
 - a. Human Subjects Involvement, Characteristics, Design
 - b. Study Procedures, materials, and Potential Risks
2. Adequacy of Protection Against Risks
 - a. Informed Consent and Assent
 - b. Protections Against Risk
 - c. Vulnerable Subjects, if relevant
3. Potential Benefits of the Proposed Research to Research Participants and Others
4. Importance of the knowledge to be gained

For specifics on completing section: go to, <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g-500-phs-human-subjects-and-clinical-trials-information.htm#PHS>



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Section 3.2 : Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site?

No- not a multi-site trial

N/A- indicated exempt in 1.2, training or fellowship applicant

Yes- This is a multi-site trial within the US and you are expected to use a single IRB (sIRB) to conduct the ethical review required by HHS regulations for the Protections of Human Subjects Research

If YES, you will need to describe the sIRB plan, which should include the following elements:

- Describe how you will comply with the NIH Policy on the Use of sIRB for Multi-Site Research.
- Provide the name of the IRB that will serve as the sIRB of record.
- Indicate that all identified participating sites have agreed to rely on the proposed sIRB and that any sites added after award will rely on the sIRB.
- Briefly describe how communication between sites and the sIRB will be handled.
- Indicate that all participating sites will, prior to initiating the study, sign an authorization/reliance agreement that will clarify the roles and responsibilities of the sIRB and participating sites.
- Indicate which institution or entity will maintain records of the authorization/reliance agreements and of the communication plan.



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Section 3.3: Data and Safety Monitoring Plan (DSMP)

A DSMP is required for all clinical trials (optional for all other human subjects research- although if there are significant risks to participants, it may be appropriate to include a DSMP)

NIH requires a DSMP that is commensurate with the risks of the trial, its size, and its complexity. Provide a description of the DSMP, including:

- The overall framework for safety monitoring and what information will be monitored.
- The frequency of monitoring, including any plans for interim analysis and stopping rules (if applicable).
- The process by which **Adverse Events (AEs)**, including **Serious Adverse Events (SAEs)** such as deaths, hospitalizations, and life threatening events and **Unanticipated Problems**, will be managed and reported, as required, to the IRB, the person or group responsible for monitoring, the awarding IC, the NIH, and the FDA, if applicable.
- The individual(s) or group that will be responsible for trial monitoring and advising the appointing entity. Because the DSMP will depend on potential risks, complexity, and the nature of the trial, a number of options for monitoring are possible. These include, but are not limited to, monitoring by a:
 - While the PI must ensure that the trial is conducted according to the approved protocol, in some cases (e.g., low risk trials, not blinded), it may be acceptable for the PI to also be responsible for carrying out the DSMP.
 - Independent safety monitor/designated medical monitor: a physician or other expert who is independent of the study.
 - Data Monitoring Committee (DMC) – an small group of independent experts to monitor data and safety.
 - Data and Safety Monitoring Board (DSMB), a formal independent board of experts including investigators and biostatisticians.

NIH requires the establishment of DSMBs for multi-site clinical trials involving interventions that entail potential risk to the participants, and generally, for all Phase III clinical trials, although Phase I and Phase II clinical trials may also need DSMBs. If a DSMB is used, please describe the general composition of the Board without naming specific individuals.



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Section 3.4: Will a Data and Safety Monitoring Board (DSMB) be appointed for this study?

- Answer required if your project is a Clinical Trial

- Yes or No

- DSMB: NIH requires the establishment of DSMBs for multi-site clinical trials involving interventions that entail potential risk to the participants, and generally, for all **Phase III clinical trials**.

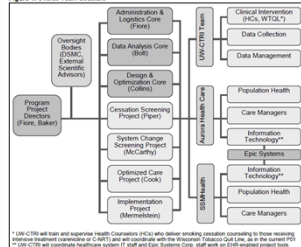


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Section 3.5: Overall structure of the Study Team

- The "Overall Structure of the Study Team" pdf attachment is required if you answered "Yes" to all the questions in the "Clinical Trial Questionnaire."
 - This question is optional for all other human subjects research.
- Provide a brief overview of the organizational structure of the study team, particularly the administrative sites, data coordinating sites, enrollment/participating sites, and any separate laboratory or testing centers.
 - Note: Do not include study team members' individual professional experiences (i.e., biosketch information).

Figure 5. Overall Team Structure



* UMC-CTRI will train and supervise health Care Workers (HCWs) who deliver smoking cessation counseling to those meeting criteria for support services at UMC-CTRI and coordinate with the Wisconsin Tobacco Quit Line. Do not include this. * UMC-CTRI will coordinate healthcare system IT staff and Epic Systems Corp. staff work on UMC-CTRI project team.



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Section 4: For Clinical Trials only

Section 4 - Protocol Synopsis
This are not allowed to complete fields in Section 4 if a self-study system entry if FDA does not allow clinical trials and/or you answered No to one of the Clinical Trial Questionnaire questions in Section 1.

4.1. Brief Summary
Up to 5000 characters. Required and system enforced for CT studies unless otherwise noted in opportunity.

4.2. Study Design
All Study Design Fields (4.2.1 thru 4.2.3) are required and system enforced for CT studies unless otherwise noted in opportunity.

4.2.1. Narrative Study Description
Up to 10,000 characters.

4.2.2. Primary Purpose
Dropdown list: Treatment, Prevention, Diagnostic, Supportive Care, Screening, Health Services Research, Basic Science, Device Feasibility, and Other.

4.2.3. Interventions
Up to 20 Interventions allowed.
Intervention Type: Dropdown list: Drug (including placebo), Device (including Implant, Biologics/Vaccine, Procedure/Surgery, Radiation, Behavioral (e.g., Psychotherapy, Lifestyle Counseling), Genetic (including gene transfer, stem cell and recombinant DNA), and Device Supplement (e.g., vitamins, minerals).
Name: Up to 250 characters.
Description: Up to 1,000 characters.

4.2.4. Study Phase
Dropdown list: Early Phase 1 (or Phase 0), Phase 1, Phase 2, Phase 3, Phase 4, and Other.
Is this an NIH-defined Phase 0 clinical trial? Yes No

4.2.5. Intervention Model
Dropdown list: Single Group, Parallel, Cross-Over, Partial, Sequential, and Other.
If Missing is Yes, you must select at least 1 of the Participant/Case, Provider/Investigator, Customer/Assessor, or Other roles.

4.3.1. Meeting
Yes No
Participant Case Provider Investigator Customer/Assessor Other Roles

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Section 4: For Clinical Trials only

4.2.g. Allocation
Dropdown list: N/A, Randomized, and Non-randomized.

4.3. Outcome Measures
At least one Outcome Measure required and system enforced for CT studies unless otherwise noted in opportunity. Up to 80 Outcome Measures allowed.
Name: Up to 250 characters.
Type: Dropdown list: Primary, Secondary, and Other.
Time Frame: Up to 250 characters.
Brief Description: Up to 990 characters.

4.4. Statistical Design and Power
Required and system enforced for CT study unless otherwise noted in opportunity. ☐ No measurement ☐ Cross Measurement ☐ Other Measurement

4.5. Subject Participation Duration
Up to 250 characters. Required and system enforced for CT studies unless otherwise noted in opportunity.

4.6. Will the study use an FDA-regulated intervention? Yes No
Answer required and system enforced for CT study unless otherwise noted in opportunity.
4.6.a. If yes, describe the availability of Investigational Product (IP) and Investigational New Drug (IND)/Investigational Device Exemption (IDE) status.
Required and system enforced if Yes. ☐ Investigational ☐ Cross Measurement ☐ Other Measurement

4.7. Dissemination Plan
Required and system enforced for CT study. Generally one Dissemination Plan per application is sufficient. Can attach same plan (unique filenames) in multiple studies. ☐ No Dissemination ☐ Cross Measurement ☐ Other Measurement

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Section 4: Protocol Synopsis

Section 4.1: Brief Summary-

- The NIH instructs to enter here a brief description of the **objectives** of the protocol, including the primary and secondary endpoints.
- Limited to 5,000 characters

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Section 4.2: Study Design

Section 4.2.a: Narrative Study Design

Enter a narrative description of the protocol.

- Studies differ considerably in the methods used to assign participants and deliver interventions. Describe your plans for assignment of participants and delivery of interventions.
- You will also need to show that your methods for sample size and data analysis are appropriate given those plans.
- For trials that randomize groups or deliver interventions to groups, special methods are required; additional information is available at the Research Methods Resources webpage <https://researchmethodsresources.nih.gov/>

The narrative description is limited to 32,000 characters.



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Section 4.2: Study Design

Section 4.2.b: Primary Purpose

Enter or select from the dropdown menu a single "Primary Purpose" that best describes the clinical trial. Choose from the following options:

- Treatment
- Prevention
- Diagnostics
- Supportive Care
- Screening
- Health Services Research
- Basic Science
- Device Feasibility
- Other (If you select "Other," provide a description in the space provided. Your response is limited to 255 characters.)



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Section 4.2: Study Design

Section 4.2.c: Interventions

Complete the "Interventions" fields for each intervention to be used in your proposed protocol. You can add up to 20 interventions.

Intervention Type: Enter or select from the dropdown menu the intervention type the clinical trial will administer during the proposed award. Choose from the following options:

- Drug (including placebo)
- Device (including sham)
- Biological/Vaccine
- Procedure/Surgery
- Radiation
- Behavioral (e.g., Psychotherapy, Lifestyle Counseling)
- Genetic (including gene transfer, stem cell, and recombinant DNA)
- Dietary Supplement (e.g., vitamins, minerals)
- [Combination Product](#)
- Diagnostic Test

Name: Enter the name of the intervention. The name must be unique within each study record. The name is limited to 200 characters.

Description: Enter a description of the intervention. The description is limited to 1,000 characters.



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Section 4.2: Study Design

Section 4.2.d: Study Phase

Enter or select from the dropdown menu a "Study Phase" that best describes the clinical trial. If your study involves a device, choose "Other."

Choose from the following options:

- Early Phase 1 (or Phase 0)
- Phase 1
- Phase 1/2
- Phase 2
- Phase 2/3
- Phase 3
- Phase 4
- Other (If you select "Other," provide a description in the space provided. Your response is limited to 255 characters.)

Is this an NIH-defined Phase III clinical trial? Yes/No

Select "Yes" or "No" to indicate whether the study includes an NIH-defined Phase III clinical trial.



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Section 4.2: Study Design

Section 4.2.e: Intervention Model

Enter or select from the dropdown menu a single "Intervention Model" that best describes the clinical trial. If you select "Other," provide a description in the space provided. Choose from the following options:

- Single Group
- Parallel
- Cross-Over
- Factorial
- Sequential
- Other (If you select "Other," provide a description in the space provided. Your response is limited to 255 characters.)



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Section 4.2: Study Design

Section 4.2.f: Masking (Blinding)

Select "Yes" or "No" to indicate whether the protocol uses masking.

If you answered "Yes" to the "Masking" question, select one or more types of masking that best describes the protocol. Choose from the following options:

- Participant
- Care Provider
- Investigator
- Outcomes Assessor



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Section 4.2: Study Design

Section 4.2.g: Allocation

Enter or select from the dropdown menu a single "Allocation" that best describes how subjects will be assigned in your protocol.

Choose from the following options:

- Randomized
- Non-randomized
- N/A- select if allocation is not applicable to your clinical trial (e.g., for a single-arm trial).

Section 4.3: Outcome Measures

Complete the "Outcome Measures" fields for each primary, secondary, and other important measures to be collected during your proposed clinical trial.

You may have more than one primary outcome measure, and you can add up to 50 outcome measures. TIP: For each secondary and other outcome measure you list, you will have to report out in Clinical Trials.gov when you do reporting.

For each outcome measure, you will need to list:

Name: Enter the name of the individual outcome measure. The outcome measure must be unique within each study record.

Type: Enter or select from the dropdown menu the type of the outcome measure. Choose from the following options:

- **Primary** - select this option for the outcome measures specified in your protocol that are of greatest importance to your study
- **Secondary** - select this option for outcome measures specified in your protocol that are of lesser importance to your study than your primary outcomes
- **Other** - select this option for additional key outcome measures used to evaluate the intervention.

Time Frame: Indicate when a measure will be collected for analysis (e.g., baseline, post-treatment).

Brief Description: Describe the metric used to characterize the outcome measure if the metric is not already included in the outcome measure name. Your description is limited to 999 characters.

Section 4.4: Statistical Design and Power

Content:

Specify the number of subjects you expect to enroll, the expected effect size, the power, and the statistical methods you will use with respect to each outcome measure you listed in 4.3 Outcome Measures.

You will need to show that your methods for sample size and data analysis are appropriate given your plans for assignment of participants and delivery of interventions. For trials that randomize groups or deliver interventions to groups, special methods are required; additional information is available at the Research Methods Resources webpage <https://researchmethodsresources.nih.gov/>.



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Section 4.5: Subject Participation Duration

- Enter the time (e.g., in months) it will take for each individual participant to complete all study visits.

e.g. 24 months

- If the participation duration is unknown or not applicable, write "unknown" or "not applicable."
- The subject participation duration is a text field limited to 255 characters.



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Section 4.6: Will the study use an FDA-regulated intervention?

Select "Yes" or "No" to indicate whether the study will use an FDA-regulated intervention (see the definition of "FDA Regulated Intervention")

- If yes, describe the availability of study agents and support for the acquisition and administration of the study agent(s).
- Indicate the IND/IDE status of the study agent, if applicable, and whether the investigators have had any interactions with the FDA.
- If the study agent currently has an IND/IDE number, provide that information.
- Note: The awarding component may request consultation with the FDA and the IND/IDE sponsor about the proposed clinical trial after peer review and prior to award.



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Section 4.7: Dissemination Plan

- Explain briefly your plan for the dissemination of NIH-funded clinical trial information and address how the expectations of the policy will be met. The plan must contain sufficient information to assure the following:
 - The applicant will ensure that clinical trial(s) under the award are registered and results information is submitted to ClinicalTrials.gov as outlined in the policy and according to the specific timelines stated in the policy;
 - Informed consent documents for the clinical trial(s) will include a specific statement relating to posting of clinical trial information at ClinicalTrials.gov; and
 - The recipient institution has an internal policy in place to ensure that clinical trials registration and results reporting occur in compliance with policy requirements.

Study Record: PHS Human Subjects and Clinical Trials Information: 1

4.3. Outcome Measures

<input checked="" type="checkbox"/>	Name	C. difficile acquisition
	Type	Primary
	Time Frame	24 months
	Brief Description	C. difficile acquisition (specific Aim 1) as determined by perirectal swab and defined as: patient who has an initial culture (perirectal swab) upon unit admission that is negative for C. difficile while C. difficile infection, mortality, length of stay, MDROs
<input checked="" type="checkbox"/>	Name	C. difficile infection, mortality, length of stay, MDROs
	Type	Secondary
	Time Frame	24 months
	Brief Description	The secondary outcomes include 1) C. difficile infection (CDI) (specific Aim 1) defined as patient who was CDI-free at admission with presence of + CDI clinical symptoms and positive laboratory results at discharge from
	Add New Outcome	

4.4. Statistical Design and Power [statistical analysis plan details.pdf](#) [no src]

4.5. Subject Participation Duration 24 months

4.6. Will the study use an FDA-regulated intervention? ☐ Yes ☒ No

4.6.a. If yes, describe the availability of Investigational Product (IP) and Investigational New Drug (IND)/Investigational Device Exemption (IDE) status [\(no pdf\)](#) [no src]

4.7. Dissemination Plan [Dissemination Plan details.pdf](#) [no src]

Handout provided:

- Outline to all grant components
- Outline to new Human Subjects section