



# Human Subject Research

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# “Clinical” Grant Mechanisms

- R03
  - Pilot Data/Feasibility
  - Single (usually) Center Clinical Trials
  - Planning for Multi-center Trials
  - Usually 2 years
  - SMALL CLINICAL GRANTS IN DIGESTIVE DISEASES, NUTRITION AND OBESITY  
<http://grants.nih.gov/grants/guide/pa-files/PAR-04-082.html>
  - Differs by institute, division

# “Clinical” Grant Mechanisms

- R01
  - Multi-Center Clinical Trials
    - » 3 or more clinical sites
  - Unsolicited
  - “Unstudied area”
  - Requires NIH “permission” if over \$500,000

# “Clinical” Grant Mechanisms

- U01 Cooperative Agreements
  - In response to an RFA
  - Large R01 can be converted
  - Major NIH programmatic input
- N01 Contracts
  - In response to an RFP
  - NIH directive, “purchaser”

# First Steps

- ***Know what is out there!***
  - NIH Guide to Grants and Contract
  - <http://grants1.nih.gov/Grants/OER.htm>
  - Subscribe to the Listserv
  - Eligibility Requirements

# Make sure your “idea” is novel

- Literature searches
- CRISP database (<https://www-commons.cit.nih.gov/crisp/>)
- Scientific meetings
- Mentors/colleagues
- NIH staff

# Eligibility requirements

- Check carefully for eligibility requirements for any type of application.
  - General
  - Specific, related to program announcement or RFA
  - IND requirements
  - HIPAA

# Office of Extramural Research

<http://grants.nih.gov/grants/oer.htm>



NATIONAL INSTITUTES OF HEALTH

Office of Extramural Research



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Tech Only

## Grants - OER Home Page

### Welcome

- [Introduction to Extramural Research from Dr. Baldwin](#)
- [NIH Outreach Activities](#)
- [General Information and Tools](#)
- [OER Staff and NIH Staff Directories](#)
- [OER Offices and Organizational Charts](#)

### NIH Guide for Grants and Contracts

- [Description of the NIH Guide](#)
- [LISTSERV for the NIH Guide](#)
- [Comprehensive Archives](#)
- [Notices, Policy Updates & RFPA](#)
- [PIAs, Program Announcements](#)
- [RFAs, Requests for Applications](#)
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### Research Training

- [News](#)
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- [Intramural Research and Training Opportunities](#)
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- [Career Resources](#)
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- [Training OEA and F.A.G.](#)

### Grant Topics

- [Funding Opportunities](#)
- [Grants Policy and Guidance](#)
- [Grants Compliance and Oversight](#)
- [Award Data](#)
- [CRISP Database](#)
- [Intellectual Property Policy](#)
- [Citizen, Invention Reporting](#)
- [ERA, Electronic Research Admin.](#)
- [Forms and Applications](#)
- [Human Subjects](#)
- [Lab Animal Welfare \(OLAW\)](#)
- [Peer Review](#)
- [SOLICIT FOR Small Businesses](#)

### Related Topics

- [Bioinformatics](#)
- [Biomedical Engineering](#)
- [Biotechnology](#)
- [Bioethics](#)
- [Scales of Interest](#)

### News

- [Current News Flashes](#)
- [News Archives \(2002, 2001, 2000, 1999, 1998 and 1997\)](#)
- [Search News Archives](#)
- [The OER Connection](#)

### Grants News Flashes

Updated PHS 2590 and PHS 398 Instructions

- [Site Map](#)
- [Document Index](#)
- [Forms and Applications](#)
- [Receipt Dates](#)
- [Study Section Information](#)
- [OER Connection](#)

### Most Requested

- [NIH Data Sharing Information](#)
- [Center for Communications Programs](#)
- [PIHSP Application IS](#)
- [PIHSPSP Application IS](#)
- [PIHSPSP PHS 2590 PHS](#)
- [How to Research Grants](#)
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Grants & Training Sites



# http://www.hhs.gov/ocr/hipaa/


HHS - Office for Civil Rights - HIPAA - Microsoft Internet Explorer

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## Answers to your Frequently Asked Questions

### What's New in Privacy

- [New FAQ on State Public Records Laws](#) - 8/24/04
- [New Consumer Fact Sheets:](#)
  - [Privacy and Your Health Information](#) - 8/17/04
  - [Your Health Information Privacy Rights](#) - 8/17/04
- [New FAQ on Disclosing PHI to Law Enforcement](#) - 7/26/04
- [The Privacy Rule and Alcohol/Substance Abuse Programs](#)

## Office for Civil Rights - HIPAA

### Medical Privacy - National Standards to Protect the Privacy of Personal Health Information

Please note that documents in PDF format require [Adobe's Acrobat Reader](#)

#### For Consumers

- [Fact Sheet: Privacy and Your Health Information](#)
- [Fact Sheet: Your Health Information Privacy Rights](#)
- [Fact Sheet: Protecting the Privacy of Patients' Health Information](#)
- [How to File a Health Information Privacy Complaint](#) | [En Español]

#### General Background Information

- What is the Privacy Rule and why has HHS issued regulations? [PDF - 45KB]

#### Educational Materials

- [Sign up for new OCR Privacy Listserv](#)
- [Summary of HIPAA Privacy Rule](#) [PDF - 372KB] [RTF - 738KB]
- [Fact sheets and Guidance on Specific Aspects of the Privacy Rule](#)
- [Am I a Covered Entity?](#)
- [Your Frequently Asked Questions on Privacy](#)
- [Sample Business Associate contract](#)
- [The Privacy Rule and Public Health](#)
- [The Privacy Rule and Research](#)
- [The Privacy Rule and Alcohol/Substance Abuse Programs](#)

Internet

# Know the NIH “Rules” regarding Clinical Research

- Definition of Clinical Research
- Informed Consent
- NIH Specific Rules

# NIH Definition of Clinical Research

## (1) Patient-oriented research.

Research conducted with human subjects (or on material of human origin such as tissues, specimens and cognitive phenomena) for which an investigator (or colleague) directly interacts with human subjects. Excluded from this definition are in vitro studies that utilize human tissues that cannot be linked to a living individual.

# NIH Definition of Clinical Research (*Con't*)

Patient-oriented research includes:

- a) mechanisms of human disease,
- b) therapeutic interventions,
- c) clinical trials, and
- d) development of new technologies

# NIH Definition of Clinical Research (*Con't*)

- (2) Epidemiologic and behavioral studies;
- (3) Outcomes research and health services research.

**Bottom Line:** It is clinical research if:

- ❖ **Direct Interaction with living individuals**
- or
- ❖ **Access to Readily Identifiable Data (name, address birthdate, SSN, unique code, etc)**

# Informed Consent

## Federal Policy for the Protection of Human Subjects (45 CFR 46)

<http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm>

- Applies to all research involving human subjects unless granted an exemption
- Office of Human Research Protection Decision Tree

Microsoft Internet Explorer window showing the URL: <http://ohrp.osophs.dhhs.gov/humansubjects/guidance/decisioncharts.htm>

### Human Subject Regulations Decision Charts

The Office for Protection from Research Risks (OPRR) provides the following graphic aids to clarify portions of the Department of Health and Human Services (DHHS) human subject regulations at Title 45 Code of Federal Regulations Part 46 (45 CFR 46). These portions of the regulations are the subjects of frequent inquiries to OPRR.

- Chart 1: Definition of Human Subject at Section 46.102(f)**

**Is the definition of "human subject" at Section 46.102(f) met in this research activity?**

```
graph TD; Q1["Is there an intervention or an interaction with a living person that would not be occurring or would be occurring in some other fashion, but for this research?"] -- Yes --> A1["Yes"]; Q1 -- No --> Q2["Will identifiable private data/information be obtained for this research in a form associable1 with the individual?"]; style A1 fill:#fff,stroke:#333; style Q2 fill:#fff,stroke:#333;
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Please monitor What's New page for OHRP changes.

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# NIH Policies Regarding Studies Involving Human Participants

Required Education in the Protection of Human Research Participants

<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-01-061.html>

Inclusion of Children

<http://grants1.nih.gov/grants/guide/notice-files/not98-024.html>

Inclusion of Women and Minorities

[http://grants.nih.gov/grants/funding/women\\_min/guidelines\\_amended\\_102001.htm](http://grants.nih.gov/grants/funding/women_min/guidelines_amended_102001.htm)

Data and Safety Monitoring Plans

<http://grants1.nih.gov/grants/guide/notice-files/not98-084.html>

<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-00-038.html>



# Inclusion of Children

- Defined as individual under 21 years
- Rationale for selecting or excluding specific age range of children
- Must include expertise of investigators in dealing with children in the age range
- Check state law regarding age of consent (or assent)

# NIH Policy on Inclusion of Women & Minorities in Clinical Research

- Why does NIH have this policy?
  - Mandated by Congress, 1993 PL 103-43
  - Ethical principal of justice and importance of balancing research burdens and benefits

# Public Law PL 103-43

- Women and Minorities must be included in all clinical research studies
- Women and Minorities must be included in Phase III clinical trials in numbers adequate for valid analysis
- Cost is NOT allowed as an acceptable reason for exclusion
- NIH to support outreach efforts to recruit and retain women, minorities, and their subpopulations in clinical studies

# Data and Safety Monitoring of Clinical Studies

- Should be commensurate with the risk
- Establishes the overall framework for data and safety monitoring
- Description of entity responsible for monitoring (who, how, what, by whom)
- Adverse event reporting to IRB, NIH, FDA, Office of Biotechnology Activities
- Multicenter clinical trials need a DSMB



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## Policies on Conducting Clinical Trials with Human Participants

NIH requires that all clinical trials be conducted in such a way as to ensure the safety of all participants and the validity and integrity of the resultant data. Please see the [NIH Policy for Data and Safety Monitoring](#) (June 10, 1998), [Further Guidance on a Data and Safety Monitoring for Phase I and Phase II Trials](#) (June 5, 2000) and the [NIDDK Data and Safety Monitoring Guidelines for Clinical Trials](#) Information regarding Department of Health and Human Services policies on research using human subjects can be found on the home page of the [Office for Human Research Protections](#) (formerly OPRR). The Office of [Extramural Research Grants Home Page](#) contains links to the most up to date information on NIH research grants.

Several recent policies should also be consulted, including

- [Required Education in the Protection of Human Research Participants](#), September 5, 2001
- [Revised Policy for IRB Review of Human Subjects Protocols in Grant Applications](#) (May 1, 2000), and
- [NIH Policy on Reporting Race and Ethnicity Data: Subjects in Clinical Research](#), August 8, 2001
- [Inclusion of Women and Minorities As Participants In Research Involving Human Subjects - Policy Implementation Page](#)

# When do you need an Investigational New Drug Applications (IND)

- What is an IND ?
- Purpose of an IND
- Who needs an IND ?
- What are the IND exemptions ?
- Where do I get more information?

# **What is an IND?**

- **NOT an application for Marketing Approval**
- **Request for exemption from federal statute that prohibits an unapproved drug from being shipped in interstate commerce.**

# Purpose of an IND?

- **Provide data showing that it is reasonable to begin tests of a new drug in humans.**
  - based on preclinical data
- **Allow for shipment of drug across state lines**



# Who needs and IND ?

- Clinical study of an unapproved product
- Clinical study –
  - investigational use of approved product  
(experiment administering drug to human)
  - clinical trial
  - UNLESS receive an Exemption

# What are the IND exemptions ?

**Must meet all of the following:**

- Not intended to support a change in indication
- No increase in risk (route of administration, dose, subject population)
- Not intended to support changes in advertising

# What are the IND exemptions ?

*(con't)*

- In compliance with IRB and Informed Consent
- In compliance with requirements re: promotion and sale of drugs (21 CFR 312.7)
- Not seeking exception from informed consent requirements for emergency research

Investigational New Drug Application (IND) Process - Microsoft Internet Explorer

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Address [http://www.fda.gov/cder/regulatory/applications/ind\\_page\\_1.htm](http://www.fda.gov/cder/regulatory/applications/ind_page_1.htm) Go Links

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**APPLICATION PROCESS:**  
[Investigational Drugs](#) [New Drugs](#) [Generic Drugs](#)

## Investigational New Drug (IND) Application Process

- [Introduction](#)
- [Guidance Documents for INDs](#)
- [Information for Clinical Investigators](#)
  - [Institutional Review Boards and Protection of Human Subjects in Clinical Trials](#)
  - [Federal Regulations for Clinical Investigators](#)
- [Laws, Regulations, Policies and Procedures](#)
  - [Code of Federal Regulations](#)
  - [MaPPs](#)
- [IND Forms and Instructions \(FDA 1571 and FDA 1572\)](#)
- [Emergency Use of an Investigational Drug or Biologic](#)
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[http://www.fda.gov/cder/regulatory/applications/ind\\_page\\_1.htm](http://www.fda.gov/cder/regulatory/applications/ind_page_1.htm)

# Next to last Slide !!!

- If you don't apply – you won't get funded
- Most important information is on the last slide

# LAST SLIDE !!!!!

- **Call** or **e-mail** before you start preparing application
  - AND while writing it
  - AND after you submit

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