

Department of Health and Human Services

Part 1. Overview Information

Participating Organization(s)
National Institutes of Health ([NIH \(http://www.nih.gov\)](http://www.nih.gov))

Components of Participating Organizations
NATIONAL EYE INSTITUTE ([NEL \(\\${{issuingComponent.orgLink}}\)](#))

Funding Opportunity Title
NEI Translational Research Program for Therapeutics (R61/R33 Clinical Trial Not Allowed)

Activity Code
[R61 \(http://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r61&Search.x=0&Search.y=0&Search_Type=Activity\)](http://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r61&Search.x=0&Search.y=0&Search_Type=Activity)/[R33 \(http://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r33&Search.x=0&Search.y=0&Search_Type=Activity\)](http://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r33&Search.x=0&Search.y=0&Search_Type=Activity) Exploratory/Developmental Phased Award

Announcement Type
Reissue of PAR-23-200

Related Notices

- Check for any recent [Notices of NIH Policy Changes \(https://grants.nih.gov/grants/guide/url_redirect.php?id=11163\)](https://grants.nih.gov/grants/guide/url_redirect.php?id=11163) that may impact application requirements.

Funding Opportunity Number (FON)
PAR-28-072

Companion Funding Opportunity
None

Number of Applications
See Part 2, Section III. 3. Additional Information on Eligibility.

Assistance Listing Number(s)
93.867

Funding Opportunity Purpose
The purpose of NEI's Translational Research program (TRP) is the rapid and efficient translation of innovative laboratory research findings into therapeutics for use by clinicians to treat visual system diseases or disorders. The TRP will support the product development of biological, pharmaceutical, medical device, and/or combination therapies for any disease or disorder of the visual system.

The TRP will utilize a bi-phasic, milestone-driven mechanism of award. The R61 phase can be up to two years and will support research that has demonstrated significant preliminary data but has not advanced to the level of clinical translation. The R33 phase can be up to four years and will support research that is in the final states of preclinical development with potential for near-term clinical development. The total duration of both R61 and R33 cannot exceed five years. The R33 is to focus on advancing a single therapeutic candidate through Investigational New Drug or Investigational Device Exemption (IND/IDE) enabling studies, filing an IND/IDE package with the FDA, and designing future clinical trials. R33 recipients must submit or obtain an IND/IDE application to FDA, or must transition the product to clinical practice, within the period of performance. The specific activities appropriate for the R33 phase will depend on the product under study and available preliminary data on the product.

Delineation of milestones by the applicant for the R61 and R33 phases is a key characteristic of this program. A milestone is defined as a scheduled event in the project timeline that signifies the completion of a major project stage or activity. This program will support applications that propose a series of milestones including manufacturing and product development goals. Applications that address contingency plans to proactively confront potential delays in meeting the milestones are strongly encouraged. Milestones are required for both phases. Milestones must be specific, measurable, achievable, relevant, and time-bound (SMART). All projects will begin with a R61 phase regardless of therapeutic starting point.

Funding Opportunity Goal(s)
The mission of the National Eye Institute is to eliminate vision loss and improve quality of life through vision research. The goal is to drive innovative research to understand the eye and visual system, prevent and treat vision diseases, and expand opportunities for people who are blind or require vision rehabilitation. Research grants and cooperative agreements 1) Support eye and vision research projects that address the leading causes of blindness and impaired vision in the U.S. These include, but are not limited to, retinal diseases; corneal diseases; cataract; glaucoma and optic neuropathies; strabismus; amblyopia; and low vision and blindness rehabilitation. 2) To increase understanding of the normal development and function of the visual system in order to better prevent, diagnose, and treat sight-threatening conditions; and, to enhance the rehabilitation, training, and quality of life of individuals who are partially-sighted or blind. 3) To encourage high quality clinical research, including clinical trials, other epidemiological studies, and health services research.

Key Dates

Posted Date

September 25, 2026

Open Date (Earliest Submission Date)

January 16, 2027

Application Due Dates			Review and Award Cycles		
New	Renewal / Resubmission / Revision (as allowed)	AIDS - New/Renewal/Resubmission/Revision, as allowed	Scientific Merit Review	Advisory Council Review	Earliest Start Date
February 16, 2027	March 16, 2027	Not Applicable	July 2027	October 2027	December 2027
June 16, 2027	July 16, 2027	Not Applicable	November 2027	January 2028	April 2028
October 16, 2027	November 16, 2027	Not Applicable	March 2028	May 2028	July 2028
February 16, 2028	March 16, 2028	Not Applicable	July 2028	October 2028	December 2028
June 16, 2028	July 16, 2028	Not Applicable	November 2028	January 2029	April 2029
October 16, 2028	November 16, 2028	Not Applicable	March 2029	May 2029	July 2029
February 16, 2029	March 16, 2029	Not Applicable	July 2029	October 2029	December 2029
June 16, 2029	July 16, 2029	Not Applicable	November 2029	January 2030	April 2030
October 16, 2029	November 16, 2029	Not Applicable	March 2030	May 2030	July 2030

All applications are due by 5:00 PM local time of applicant organization.

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.

No late applications will be accepted for this Notice of Funding Opportunity (NOFO).

Due Dates for E.O. 12372

Not Applicable

Expiration Date

November 17, 2029

Required Application Instructions

It is critical that applicants follow the instructions in the Research (R) Instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400), except where instructed to do otherwise (in this NOFO or in a Notice from [NIH Guide for Grants and Contracts \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11164\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11164)).

Conformance to all requirements (both in the Application Guide and the NOFO) 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 \(https://public.era.nih.gov/assist/landing_era?tabId=0819b5fc-46b7-4f02-b6b7-127e5a4e19fa\)](https://public.era.nih.gov/assist/landing_era?tabId=0819b5fc-46b7-4f02-b6b7-127e5a4e19fa) to prepare, submit and track your application online.
2. Use an institutional system-to-system (S2S) solution to prepare and submit your application to Grants.gov and [eRA Commons \(https://public.era.nih.gov/commons/\)](https://public.era.nih.gov/commons/) to track your application. Check with your institutional officials regarding availability.
3. Use [Grants.gov \(https://grants.gov/search-grants?oppStatuses=closed|archived|posted|forecasted&fon=PA-25-301\)](https://grants.gov/search-grants?oppStatuses=closed|archived|posted|forecasted&fon=PA-25-301) Workspace to prepare and submit your application and [eRA Commons \(http://public.era.nih.gov/commons/\)](http://public.era.nih.gov/commons/) to track your application.

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Part 2. Full Text of Announcement

Section I. Notice of Funding Opportunity Description

Research Objectives

The mission of the National Eye Institute (NEI) is to eliminate vision loss and improve quality of life through vision research. The NEI invites applications for research that aligns with our [strategic plan \(https://www.nei.nih.gov/about/strategic-planning\)](https://www.nei.nih.gov/about/strategic-planning). The purpose of this program is to accelerate the development of biological, pharmacological, medical device, and/or combination product interventions for clinicians to use in the treatment of visual system diseases and disorders. In the context of this program, the PD/PI assembles a multi-disciplinary research team that employs an integrative approach to the rapid and efficient translation of laboratory research findings into IND or IDE applications to the FDA for testing new therapeutic approaches. The collaborative teams must include as appropriate, non-clinical and clinical scientists, disease experts, regulatory experts, bioethics specialists, experts in manufacturing under Quality Systems and Design Controls, and other relevant academic, clinical, and/or industry experts.

This program is not intended to support solely basic science, platform technologies or isolated technology development. The goal is to produce preclinical data that will support an IND or IDE application to the FDA. Each project must have a well-defined end point, of developing a new device or treatment for a specific ocular disease that is achievable within a five-year time frame. The steps towards this goal should be clearly delineated in a series of milestones that support the development of a therapeutic or device that can be tested in a clinical trial.

Structure

This NOFO will utilize a bi-phasic, milestone-driven R61/R33 mechanism consisting of an Exploratory phase (R61) and a Developmental phase (R33). Applicants must address objectives for both a R61 and a R33 phase and are strongly encouraged to use project management principles as appropriate.

Phases of Award

Applicants are strongly encouraged to consult with relevant agency staff prior to developing and submitting an application (see Agency Contacts, Section VII). Early contact with NEI Staff (at least 12 weeks prior to submission) is encouraged. This period of time provides an opportunity for NEI staff to discuss the scope and goals, and to provide information and guidance to the applicants.

The R61 Phase:

The R61 phase can be up to two years and will support research that has demonstrated significant preliminary data but has not advanced to the level of clinical translation.

Examples of activities that can be supported during the Exploratory (R61) stage include, but are not limited to:

- Refine device design as necessary for subsequent GLP testing or additional clinical studies for regulatory approval
- Bench-top and animal testing to demonstrate compliance with FDA Recognized Standards
- Optimize a promising lead agent
- Optimization and/or qualification of appropriate assays for pharmacokinetic, target engagement markers, biodistribution, or other assays to monitor safety available to be used in the R33 phase
- Determination of optimal route of administration
- Lead optimization to improve effectiveness, diminish toxicity, and increase absorption (e.g., absorption, distribution, metabolism, and excretion (ADME))
- Demonstration of adequate/stage-appropriate preliminary safety, such as safety pharmacology and/or dose-range finding toxicology
- Regulatory activities, including pre-submission meetings with FDA

An administrative review of the extent to which peer-reviewed milestones are met in the R61 phase will determine whether the R33 phase award will be issued, subject to NEI funding availability.

The R33 Phase:

The R33 phase can be up to four years and will support research that is in the final states of preclinical development with potential for near-term clinical development. The R33 is to focus on advancing a single therapeutic candidate through IND/IDE -enabling studies, filing an IND/IDE package with the FDA, and designing future clinical trials. R33 recipients must submit or obtain an Investigational New Drug/Investigational Device Exemption (IND/IDE) application to FDA, or must transition the product to clinical practice, within the period of performance. The specific activities appropriate for the R33 phase will depend on the product under study and available preliminary data on the product.

Examples of activities that can be supported during the Developmental (R33) stage include, but are not limited to:

- cGMP manufacturing of material for IND-enabling and/or Phase I clinical testing
- IND/IDE-enabling safety pharmacology and toxicology studies to determine a basis for clinical dose extrapolation using a relevant animal model
- IND/IDE document preparation and filing with the FDA

Milestones

Delineation of milestones by the applicant for the R61 and R33 phases is a key characteristic of this NOFO. A milestone is defined as a scheduled event in the project timeline that signifies the completion of a major project stage or activity. This NOFO will support applications that propose a series of milestones including manufacturing and product development goals. *Applications that address contingency plans to proactively confront potential delays in meeting the milestones are strongly encouraged.* Proposed projects must include both an R61 phase with milestone-driven developmental activities, and an R33 phase with milestone-driven expanded activities that will build on the initial R61 exploratory phase to achieve the aims of the entire award. Milestones are required for both phases. Milestones must be specific, measurable, achievable, relevant, and time-bound (SMART).

Prior to funding an application, program staff will contact the applicant to discuss the proposed milestones. The Program Director and the applicant will negotiate and agree on a final set of milestones. These will be incorporated into the terms and conditions of the award and will be the basis for judging the success of the R61 work.

Satisfactory completion of R61 milestones will be assessed administratively by NEI to determine eligibility to transition to the R33 phase. As determined by NEI, R33 projects that must be substantially modified because of FDA pre-IND/IDE guidance will be required to submit a new competing R33. *Pre-Submission feedback from the FDA is a required R61 milestone.*

Non-Responsiveness Criteria

The following types of applications will be considered non-responsive and will be withdrawn prior to review:

- Applications that propose development of research infrastructure

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

Section II. Award Information

Funding Instrument

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

Application Types Allowed

New
Resubmission

The [OER Glossary \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11116\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11116) and the How to Apply Application Guide provide details on these application types. Only those application types listed here are allowed for this NOFO.

Clinical Trial?

Not Allowed: This NOFO only accepts applications that do not propose clinical trials. Note: Applications may propose activities involving human subjects that are not deemed clinical trials.

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

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.

Award Budget

Application budgets in the R61 phase should rarely exceed \$500,000 in direct costs per year. Application budgets in the R33 phase should not exceed \$1,000,000 in direct costs per year.

Award Project Period

The scope of the proposed project should determine the requested project award period.

The maximum period of the combined R61 and R33 phases is 5 years, with up to 2 years for the R61 phase and up to 4 years for the R33 phase.

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

Section III. Eligibility Information

1. Eligible Applicants

Eligible Organizations

Higher Education Institutions - Includes all types

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

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

Foreign Organizations/International Collaborations

Non-domestic (non-U.S.) Entities (Foreign Organizations) **are not** eligible to apply.

Non-domestic (non-U.S.) components of U.S. Organizations **are not** eligible to apply.

Foreign components, as [defined in the NIH Grants Policy Statement \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11118\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11118), **are** allowed.

NIH will no longer issue awards (i.e., new, renewal, or non-competing continuation) to domestic or foreign entities that involve foreign subawards/subcontracts. All NIH-funded research involving foreign subawards/subcontracts must be submitted in response to a NOFO that is specifically designated for funded international collaborations. See [NIH Grants Policy Statement 16.8 Collaborative International Research Awards \(https://grants.nih.gov/grants/policy/nihgps/HTML5/section_16/16.8_collab_int_res_awards.htm\)](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_16/16.8_collab_int_res_awards.htm).

Applications involving foreign subawards/subcontracts submitted in response to this NOFO will be deemed noncompliant and will not be considered for funding. This policy applies to all monetary international collaborations resulting in foreign subawards/subcontracts, however, it does not preclude unfunded international collaborations or [foreign components \(https://grants.nih.gov/grants/policy/nihgps/HTML5/section_1/1.2_definition_of_terms.htm\)](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_1/1.2_definition_of_terms.htm), funding for foreign consultants, or procurement of unique equipment or supplies from foreign vendors.

Required Registrations

Applicant Organizations

Applicant organizations must complete and maintain the following registrations as described in the How to Apply- 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. Failure to complete registrations in advance of a due date is not a valid reason for a late submission, please reference the [NIH Grants Policy Statement Section 2.3.9.2 Electronically Submitted Applications \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82423\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82423) for additional information.

- **System for Award Management (SAM)** (https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82390) – 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. Foreign organizations must obtain a [NATO Commercial and Government Entity \(NCAGE\) Code \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11176\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11176) (in lieu of a CAGE code) in order to register in SAM.
 - Unique Entity Identifier (UEI)- A UEI is issued as part of the SAM.gov registration process. The same UEI must be used for all registrations, as well as on the grant application.
- **eRA Commons** (https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11123) - Once the unique organization identifier is established, organizations can register with eRA Commons in tandem with completing their Grants.gov registrations; 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** (http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82300) – Applicants must have an active 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.

All PD(s)/PI(s) must be registered with [ORCID \(https://orcid.org/\)](https://orcid.org/). The personal profile associated with the PD(s)/PI(s) eRA Commons account must be linked to a valid ORCID ID. For more information on linking an ORCID ID to an eRA Commons personal profile see the [ORCID topic in our eRA Commons online help \(https://era.nih.gov/erahelp/Commons/default.htm#orcid/url%3FTocPath%3D____29\)](https://era.nih.gov/erahelp/Commons/default.htm#orcid/url%3FTocPath%3D____29).

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 their organization to develop an application for 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 How to Apply-Application Guide.

2. Cost Sharing

This NOFO does not require cost sharing as defined in the [NIH Grants Policy Statement Section 1.2 Definition of Terms \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11126\)](http://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, per [NIH Grants Policy Statement Section 2.3.7.4 Submission of Resubmission Application \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82415\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82415). 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 [NIH Grants Policy Statement 2.3.9.4 Similar, Essentially Identical, or Identical Applications \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82423\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82423)).

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 NOFO. 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 [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=82400) except where instructed in this notice of funding opportunity to do otherwise (in this NOFO, in a [policy notice \(https://grants.nih.gov/grants/guide/uri_redirect.php?id=11163\)](https://grants.nih.gov/grants/guide/uri_redirect.php?id=11163), or other notice from [NIH Guide for Grants and Contracts \(https://grants.nih.gov/grants/guide/uri_redirect.php?id=11164\)](https://grants.nih.gov/grants/guide/uri_redirect.php?id=11164)). 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 [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) and the [Table of Page Limits \(https://grants.nih.gov/grants/guide/uri_redirect.htm?id=61134\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=61134) must be followed.

Instructions for Application Submission

The following section supplements the instructions found in the [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) and should be used for preparing an application to this NOFO.

SF424(R&R) Cover

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

SF424(R&R) Project/Performance Site Locations

All instructions in the [How to Apply- Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

SF424(R&R) Other Project Information

All instructions in the [How to Apply- Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

Other Attachments:

Target Product Profile (Required - 1 page max): In a table based on an FDA template that summarizes the minimal/ideal profile of the final marketed product and shows the ultimate goals of the proposed drug development effort, such as disease indication, patient population, delivery mode, treatment duration, treatment regimen, and standards for clinical efficacy.

The filename "TargetProductProfile.pdf" should be used and will be reflected in the final image bookmarking for easy access to reviewers.

"Gantt Chart (Required – 1-page max): Applicants must include a project timeline in the form of a Gantt chart that includes all major milestones to be accomplished during the R61 and R33 project periods. The chart should also include estimated start and completion dates for those milestones.

The filename " Gantt.pdf " should be used and will be reflected in the final image bookmarking for easy access to reviewers."

Intellectual Property (IP) Strategy (Required - 3 pages max): Applicants should describe the IP landscape surrounding their therapeutic. This should include any known constraints that could impede the development of their therapeutic (e.g., certain restrictions under transfer or sharing agreements, applicants' previous or present IP filings and publications, similar technologies that are under patent and/or on the market, etc.) and how these issues could be addressed as appropriate and consistent with achieving the goals of the program. If patents pertinent to the therapeutic being developed under this application have been filed, the applicants should indicate the details of filing dates, what types of patents are filed, application status, and associated United States Patent Office (USPTO) links, if applicable. Applicants should also discuss future IP filing plans.

The filename "IntellectualPropertyStrategyI.pdf" should be used and will be reflected in the final image bookmarking for easy access to reviewers.

SF424(R&R) Senior/Key Person Profile

All instructions in the [How to Apply- Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

R&R Budget

All instructions in the [How to Apply- Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

R&R Subaward Budget

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

PHS 398 Cover Page Supplement

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

PHS 398 Research Plan

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed, with the following additional instructions:

Research Strategy: Describe how the project may lead to the development of new therapies, devices, or other resources for the treatment of ocular disease(s). Applicants must provide an overview of the proposed research, including milestones, feasibility, and timelines for completion of both phases. In preparing the R61/R33 application, investigators must consider that the application will be assigned a single overall impact score. Thus, clarity and completeness of the application regarding specific goals and the feasibility of each phase and the Transition Milestones are critical. As this is an R61/R33 mechanism, both phases must be requested and planned (the two phases should not overlap in time). Applications proposing only one phase to this NOFO will be administratively withdrawn without review.

Innovation/Impact

Describe the short-term impact: Detail the anticipated outcome/product that will be directly attributed to the results of the proposed research. Describe the long-term impact: Explain the anticipated long-term gains from this research. Compare to the products currently available, if applicable. Explain the long-range vision for how the research will impact the field of study and/or patient care.

Significance

Explain what promising, well-founded discovery is being translated and why it is ready for translation. Explain how the project will help transform a promising discovery into new drugs, devices, or biologics that are ready for definitive testing in clinical trials.

Approach

Milestones: List the major tasks of the entire project with quantitative milestones and metrics for assessing achievement. The clarity and completeness of the R61/R33 application with regard to specific goals and feasibility milestones are critical. Milestones should provide clear indicators of a project's continued success or emergent difficulties and will be used to evaluate the application as part of the consideration of the awarded project for further funding of non-competing award years by the Program Director(s)/Principal Investigator(s), and Program Official(s). Milestones should support the development of a therapeutic, device, or other resource that can be tested in a clinical trial. Satisfactory completion of R61 milestones will be assessed administratively by NEI to determine eligibility to transition to the R33 phase. Pre-Submission feedback from the FDA is a required R61 milestone. This subsection should also clearly show that the project is achievable in the proposed project period. This section must include:

- Discussion of suitability of the proposed milestones to assess success in the R61 phase.
- Discussion of the implications of successful completion of these milestones for the proposed R33 phase.
- Milestones that are specific, quantifiable and scientifically justified; they must not be a simple restatement of the R61 phase specific aims.
- Go/no-go criteria integrated into the milestone criteria.
- Sufficiently scientifically rigorous milestones to assess progress in the R61 phase.

Regulatory Strategy: Describe the FDA regulatory strategy for the product. The strategy should include: the number and types of studies proposed to reach approval, licensure, or clearance, the planned indication for the product label, the types of FDA meetings to be held, previous feedback from FDA meetings (required for R33 submission), the submission filing strategy, and considerations for compliance with Good Manufacturing Practices, Good Laboratory Practice, and Good Clinical Practice guidelines, if appropriate.

Timeline: Provide a timeline with specific milestones for progression from the R61 phase to the R33 phase. The timeline, specific goals and feasibility milestones should be clear and complete. Indicate when it is anticipated that essential components of the project will be completed. The proposed timeline with specific milestones should be clearly delineated and should appear as the last element of the Research Strategy section.

Letters of Support: Applicants should include letters of support from consultants, contractors, and collaborators.

Investigators

State the qualifications of the PI and key personnel. Clearly demonstrate that the investigating team has sufficient expertise that is appropriate for the research idea and the proposed phase/type of study. Explain how the investigative team will include expertise in the FDA regulatory approval process.

NEI strongly encourages applicants to form multidisciplinary teams that consist of academic/industry experts relevant to the research plan (i.e., biostatisticians, clinicians, drug development experts, technical experts). This multidisciplinary team should be able to define the goals of the research, outline specific gaps that need to be addressed during this funding period, outline detailed plans and experiments, and execute the research strategy.

Clearly define the relationships among the various teams by providing a detailed organizational structure. The roles and administrative, technical, and scientific responsibilities for the project should be delineated for all members of the team. This plan can reference but must not duplicate information submitted on the Multiple PD/PI plan, if applicable, or the PHS Human Subjects–Clinical Trial Information form, Overall Structure of the Study Team.

Resource Sharing Plan: Individuals are required to comply with the instructions for the Resource Sharing Plans as provided in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400).

Other Plan(s):

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed, with the following additional instructions:

- A Data Management and Sharing Plan (DMS Plan) is required for any NIH-funded or conducted research that will generate scientific data. Applicants must submit the DMS Plan at the time of application using the [NIH DMS Plan Format Page \(https://grants.nih.gov/grants-process/write-application/forms-directory/data-management-and-sharing-plan-format-page\)](https://grants.nih.gov/grants-process/write-application/forms-directory/data-management-and-sharing-plan-format-page). The DMS Plan must address the elements in the structured format. Where the DMS Plan Format Page requires a "Yes or No" response, no additional narrative is allowed.

Appendix: Only limited Appendix materials are allowed. Follow all instructions for the Appendix as described in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400).

- No publications or other material, with the exception of blank questionnaires or blank surveys, may be included in the Appendix.

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 [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400), 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 [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

Delayed Onset Study

Note: [Delayed onset \(https://grants.nih.gov/grants/glossary.htm#DelayedOnsetStudy\)](https://grants.nih.gov/grants/glossary.htm#DelayedOnsetStudy) does NOT apply to a study that can be described but will not start immediately (i.e., delayed start).

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

PHS Assignment Request Form

All instructions in the [How to Apply - Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400) must be followed.

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

See Part 2. 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. 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 \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82380\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82380), the application deadline is automatically extended to the next business day.

Organizations must submit applications to [Grants.gov \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11128\)](http://grants.nih.gov/grants/guide/url_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 \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11123\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11123), 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 Grants Policy Statement Section 2.3.9.2 Electronically Submitted Applications \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=82423\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=82423).

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 [How to Apply - Application Guide \(https://grants.nih.gov/grants-process/write-application/how-to-apply-application-guide\)](https://grants.nih.gov/grants-process/write-application/how-to-apply-application-guide).

5. Intergovernmental Review (E.O. 12372)

This initiative is not subject to [intergovernmental review. \(https://grants.nih.gov/grants/policy/nihgps/html5/section_10/10.10.1_executive_orders.htm\)](https://grants.nih.gov/grants/policy/nihgps/html5/section_10/10.10.1_executive_orders.htm)

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 \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11120\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11120).

Pre-award costs are allowable only as described in the [NIH Grants Policy Statement Section 7.9.1 Selected Items of Cost. \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11143\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11143)

7. Other Submission Requirements and Information

Applications must be submitted electronically following the instructions described in the [How to Apply – Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400). 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 \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400). 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 \(https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/dealing-with-system-issues.htm\)](https://grants.nih.gov/grants/how-to-apply-application-guide/due-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 form. 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 NOFO for information on registration requirements.

The applicant organization must ensure that the unique entity identifier provided on the application is the same identifier used in the organization's profile in the eRA Commons and for the System for Award Management. Additional information may be found in the [How to Apply – Application Guide \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82400).

See [more tips \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11146\)](http://grants.nih.gov/grants/guide/url_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 and responsiveness by components of participating organizations, NIH. Applications that are incomplete, non-compliant and/or nonresponsive will not be reviewed.

Mandatory Disclosure

Recipients or subrecipients must submit any information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. See Mandatory Disclosures, [2 CFR 200.113 \(https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-B/section-200.113\)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-B/section-200.113) and [NIH Grants Policy Statement Section 4.1.35 \(https://grants.nih.gov/grants/policy/nihgps/html5/section_4/4.1.35_mandatory_disclosures.htm\)](https://grants.nih.gov/grants/policy/nihgps/html5/section_4/4.1.35_mandatory_disclosures.htm).

Send written disclosures to the NIH Chief Grants Management Officer listed on the Notice of Award for the IC that funded the award and to the [HHS Office of Inspector Grant Self Disclosure Program \(https://oig.hhs.gov/compliance/self-disclosure-info/hhs-oig-grant-self-disclosure-program/\)](https://oig.hhs.gov/compliance/self-disclosure-info/hhs-oig-grant-self-disclosure-program/) at grantedisclosures@oig.hhs.gov (<mailto:grantedisclosures@oig.hhs.gov>).

Post Submission Materials

Applicants are required to follow the instructions for post-submission materials, as described in [the policy \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=82299\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=82299).

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 \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11149\)](http://grants.nih.gov/grants/guide/url_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 scored review criteria and additional review criteria (as applicable for the project proposed). An application does not need to be strong in all categories to be judged likely to have a major scientific impact.

Scored Review Criteria

Reviewers will consider Factors 1, 2 and 3 in the determination of scientific merit, and in providing an overall impact score. In addition, Factors 1 and 2 will each receive a separate factor score.

Factor 1. Importance of the Research (Significance and Innovation)

Significance

- Evaluate the importance of the proposed research in the context of current scientific challenges and opportunities, either for advancing knowledge within the field, or more broadly. Assess whether the application addresses an important gap in knowledge in the field, would solve a critical problem, or create a valuable conceptual or technical advance.
- Evaluate the rationale for undertaking the study, the rigor of the scientific background for the work (e.g., prior literature and/or preliminary data) and whether the scientific background justifies the proposed study.

Innovation

- Evaluate the extent to which innovation influences the importance of undertaking the proposed research. Note that while technical or conceptual innovation can influence the importance of the proposed research, a project that is not applying novel concepts or approaches may be of critical importance for the field.
- Evaluate whether the proposed work applies novel concepts, methods or technologies or uses existing concepts, methods, technologies in novel ways, to enhance the overall impact of the project.

Factor 2. Rigor and Feasibility (Approach)

Approach

- Evaluate the scientific quality of the proposed work. Evaluate the likelihood that compelling, reproducible findings will result (rigor) and assess whether the proposed studies can be done well and within the timeframes proposed (feasibility).

Rigor:

- Evaluate the potential to produce unbiased, reproducible, robust data.
- Evaluate the rigor of experimental design and whether appropriate controls are in place.
- Evaluate whether the sample size is sufficient and well-justified.
- Assess the quality of the plans for analysis, interpretation, and reporting of results.
- Evaluate whether the investigators presented adequate plans to address relevant biological variables, such as sex or age, in the design, analysis, and reporting.
- For applications involving human subjects or vertebrate animals, also evaluate:
 - the rigor of the intervention or study manipulation (if applicable to the study design).

- whether outcome variables are justified.
- whether the results will be generalizable or, in the case of a rare disease/special group, relevant to the particular subgroup.
- whether the study population appropriately models the target population.
- For applications involving human subjects, including clinical trials, assess the adequacy of inclusion plans as appropriate for the scientific goals of the research. Considerations of appropriateness may include disease/condition/behavior incidence, prevalence, or population burden, population representation, and/or current state of the science.

Feasibility:

- Evaluate whether the proposed approach is sound and achievable, including plans to address problems or new challenges that emerge in the work. For proposed studies in which feasibility may be less certain, evaluate whether the uncertainty is balanced by the potential for major advances.
- For applications involving human subjects, including clinical trials, evaluate the adequacy and feasibility of the plan to recruit and retain a study population that appropriately models the target population. Additionally, evaluate the likelihood of successfully achieving the proposed enrollment based on age, race, ethnicity, and sex.
- For clinical trial applications, evaluate whether the study timeline and milestones are feasible.

Factor 3. Expertise and Resources (Investigator(s) and Environment)**Investigator(s)**

Evaluate whether the investigator(s) have demonstrated background, training, and expertise, as appropriate for their career stage, to conduct the proposed work. For Multiple Principal Investigator (MPI) applications, assess the quality of the leadership plan to facilitate coordination and collaboration.

Environment

Evaluate whether the institutional resources are appropriate to ensure the successful execution of the proposed work.

Additional Review Criteria

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

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, 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, 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 \(https://grants.nih.gov/grants/guide/url_redirect.htm?id=11175\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11175).

This NOFO only accepts applications that do not propose clinical trials. Note: Applications may propose activities involving human subjects that are not deemed clinical trials.

Vertebrate Animals

When the proposed research includes Vertebrate Animals, evaluate the involvement of live vertebrate animals 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. For additional information on review of the Vertebrate Animals section, please refer to the [Worksheet for Review of the Vertebrate Animals Section \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11150\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11150).

Biohazards

When the proposed research includes Biohazards, evaluate whether specific materials or procedures that will be used are significantly hazardous to research personnel and/or the environment, and whether adequate protection is proposed.

Resubmissions

As applicable, evaluate the full application as now presented.

Renewals

As applicable, evaluate the progress made in the last funding period.

Revisions

As applicable, evaluate the appropriateness of the proposed expansion of the scope of the project.

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.

Authentication of Key Biological and/or Chemical Resources

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

Budget and Period of Support

Evaluate 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), convened by CSR, in accordance with [NIH peer review policies and practices \(https://grants.nih.gov/policy-and-compliance/policy-topics/peer-review/\)](https://grants.nih.gov/policy-and-compliance/policy-topics/peer-review/), using the stated review 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.

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 Section 2.5.1. Just-in-Time Procedures \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82418\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82418). This request is not a Notice of Award nor should it be construed to be an indicator of possible funding.

Prior to making an award, NIH reviews an applicant's federal award history in SAM.gov to ensure sound business practices. An applicant can review and comment on any information in the Responsibility/Qualification records available in SAM.gov. NIH will consider any comments by the applicant in the Responsibility/Qualification records in SAM.gov to ascertain the applicant's integrity, business ethics, and performance record of managing Federal awards per 2 CFR Part 200.206 "Federal awarding agency review of risk posed by applicants." This provision will apply to all NIH grants and cooperative agreements except fellowships.

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 \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11123\)](http://grants.nih.gov/grants/guide/uri_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 Section 2.4.4 Disposition of Applications \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82416\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=82416).

Section VI. Award Administration Information

1. Award Notices

A Notice of Award (NoA) is the official authorizing document notifying the applicant that an award has been made and that funds may be requested from the designated HHS payment system or office. The NoA is signed by the Grants Management Officer and emailed to the recipient's business official.

In accepting the award, the recipient agrees that any activities under the award are subject to all provisions currently in effect or implemented during the period of the award, other Department regulations and policies in effect at the time of the award, and applicable statutory provisions.

Recipients must comply with any funding restrictions described in [Section IV.6. Funding Restrictions](#). Any pre-award costs incurred before receipt of the NoA are at the applicant's own risk. For more information on the Notice of Award, please refer to the [NIH Grants Policy Statement Section 5. The Notice of Award \(https://grants.nih.gov/grants/policy/nihgps/HTML5/section_5/5_the_notice_of_award.htm\)](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_5/5_the_notice_of_award.htm) and NIH Grants & Funding website, see [Award Process. \(https://grants.nih.gov/grants/pre-award-process.htm#award\)](https://grants.nih.gov/grants/pre-award-process.htm#award)

Institutional Review Board or Independent Ethics Committee Approval: Recipient 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 recipient must provide NIH copies of documents related to all major changes in the status of ongoing protocols.

2. Administrative and National Policy Requirements

The following Federal wide and HHS-specific policy requirements apply to awards funded through NIH:

- The rules listed at [2 CFR Part 200 \(https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200\)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200), Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- All NIH grant and cooperative agreement awards include the [NIH Grants Policy Statement \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) as part of the terms and conditions in the Notice of Award (NoA). The NoA includes the requirements of this NOFO. For these terms of award, see the [NIH Grants Policy Statement Part II: Terms and Conditions of NIH Grant Awards, Subpart A: General \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11120) and [Part II: Terms and Conditions of NIH Grant Awards, Subpart B: Terms and Conditions for Specific Types of Grants, Recipients, and Activities \(http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11159\)](http://grants.nih.gov/grants/guide/uri_redirect.htm?id=11159).

All federal statutes and regulations relevant to federal financial assistance, including those highlighted in [NIH Grants Policy Statement Section 4 Public Policy Requirements, Objectives and Other Appropriation Mandates. \(https://grants.nih.gov/grants/policy/nihgps/HTML5/section_4/4_public_policy_requirements_objectives_and_other_appropriation_mandates.htm\)](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_4/4_public_policy_requirements_objectives_and_other_appropriation_mandates.htm)

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Applicants and recipients are strongly encouraged to refer to the [NIH Director's Statement of Priorities \(https://www.nih.gov/about-nih/nih-director/statements/advancing-nih-mission-through-unified-strategy\)](https://www.nih.gov/about-nih/nih-director/statements/advancing-nih-mission-through-unified-strategy), entitled "Advancing NIH's Mission Through a Unified Strategy."

Recipients are responsible for ensuring that their activities comply with all applicable federal regulations. Pursuant to 2 CFR 200.340, by accepting an NIH award, the recipient agrees that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the Terms and Conditions of the award, and may also otherwise be terminated, to the extent authorized by law, if the agency determines that the award no longer effectuates the program goals or agency priorities, in line with 2 CFR 200.340(a)(4).

Pursuant to the Cybersecurity Act of 2015, Div. N, § 405, Pub. Law 114-113, 6 USC § 1533(d), the HHS Secretary has established a common set of voluntary, consensus-based, and industry-led guidelines, best practices, methodologies, procedures, and processes.

Successful recipients under this NOFO agree that:

When recipients, subrecipients, or third-party entities have:

- ongoing and consistent access to HHS owned or operated information or operational technology systems; and
- receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award.

Cybersecurity plans and procedures **must** at minimum include the following:

- Develop cybersecurity plans and procedures, modeled after the [NIST Cybersecurity framework \(https://www.nist.gov/cyberframework\)](https://www.nist.gov/cyberframework), to protect HHS systems and data:
 - **Identify:**
 - Develop an inventory of all assets and accounts with access to HHS owned and operated information or operational technology systems or which obtain PII or PHI for the purposes of the award.
 - **Protect:**
 - Limit access to HHS owned and operated systems to only those in need of access to complete reward activities.
 - Require all staff to complete annual cybersecurity and privacy awareness training. Visit [405\(d\): Knowledge on Demand \(hhs.gov\) \(https://405d.hhs.gov/kod/five-threats\)](https://405d.hhs.gov/kod/five-threats) to obtain free trainings, if needed.
 - Enable multifactor authentication for all employees, subrecipients, and third-party entities to access HHS owned and operated information or operational technology systems.
 - Regularly backup sensitive data and test backups.
 - **Detect:**
 - Install anti-virus or anti-malware software on all devices, servers, and accounts used to connect to HHS owned and operated systems.
 - **Respond:**
 - Develop an incident response plan. See [Incident-Response-Plan-Basics_508c.pdf \(cisa.gov\) \(https://www.cisa.gov/sites/default/files/publications/Incident-Response-Plan-Basics_508c.pdf\)](https://www.cisa.gov/sites/default/files/publications/Incident-Response-Plan-Basics_508c.pdf) to learn about developing incident response plans.
 - Have cybersecurity incident reporting procedures that ensure the relevant HHS awarding agencies are notified of a cybersecurity incident within 48 hours of discovery. A cybersecurity incident is defined as an unplanned interruption to a technology service or reduction in the quality of a technology service, or an occurrence that actually or potentially jeopardizes the confidentiality, integrity, or availability of an information system or the information the system processes, stores, or transmits.
 - **Recover:**
 - Investigate incidents and plug any security gaps identified.

All activities proposed in your application and budget narrative must align with applicable law, including but not limited to statutes, executive orders, federal regulations and applicable judicial holdings. Accordingly, discretionary awards shall not be used to fund, promote, encourage, subsidize, or facilitate; racial preferences or other forms of racial discrimination by the recipient, including activities where race or intentional proxies for race will be used as a selection criterion for employment or program participation; denial by the recipient of the sex binary in humans, or the belief that sex is a chosen or mutable characteristic; illegal immigration; or any other initiatives that compromise public safety. If an application does not align, the application will not receive funding to the extent permitted by law and applicable court orders.

For applications involving substance abuse, the application must not support harm reduction. Please see [Updated Funding Guidance for Recipients on Supplies and Services \(https://www.samhsa.gov/sites/default/files/dear-colleague-letter-updated-hr-funding-guidance.pdf\)](https://www.samhsa.gov/sites/default/files/dear-colleague-letter-updated-hr-funding-guidance.pdf).

For applications involving funding Medication-Assisted Treatment (MAT) or medications for opioid use disorder (MOUD), this funding should be used to provide comprehensive treatment and recovery support services rather than medication-only models for opioid use disorder. Services should include medications, where clinically indicated, in conjunction with psychosocial and other treatment and recovery support services. Funding can also be used to support individualized tapering and discontinuation of medications when clinically indicated. Please see [Updated Funding Guidance for Recipients on MAT/MOUD \(https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.samhsa.gov%2Fsites%2Fdefault%2Ffiles%2Fdear-colleague-letter-mat-moud-guidance.pdf&data=05%7C02%7Cchelsey.hughes%40nih.gov%7C725bb62d21f94a2b9ff908dec0bc5a25%7C14b77578977342d58507251ca2dc2b06%7C0%7C0%7C63916011238415\)](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.samhsa.gov%2Fsites%2Fdefault%2Ffiles%2Fdear-colleague-letter-mat-moud-guidance.pdf&data=05%7C02%7Cchelsey.hughes%40nih.gov%7C725bb62d21f94a2b9ff908dec0bc5a25%7C14b77578977342d58507251ca2dc2b06%7C0%7C0%7C63916011238415)

As of October 1, 2025, HHS has adopted [2 CFR Part 200 \(https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200\)](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200), with some modifications included in 2 CFR Part 300. These regulations replace those in 45 CFR Part 75. However, for NIH, under the Consolidated Appropriations Act for FY 2026, (P.L. 119-75 (<https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.congress.gov%2Fbill%2F119th-congress%2Fhouse-bill%2F7148&data=05%7C02%7Cantoine.caltan%40nih.gov%7C68a8e1e3db804c61b38f08deb0e88127%7C14b77578977342d58507251ca2dc2b06%7C0%7C0%7C63914270982>)), the provisions relating to indirect costs in 45 CFR 75 continue to apply to NIH awards. Consistent with the statute, NIH will not apply updated thresholds outlined within 2 CFR Part 200, at this time.

In administering programs under this and all funding announcements, NIH prioritizes:

- Research involving rigorous scientific methods, including for studies related to children and adolescents, where NIH is committed to approaches that reflect the highest standards of clinical care and child safety.
- Biological and physiological integrity: Recognizing the relevance of biological sex to health outcomes, NIH encourages applicants to account for sex-based health factors in program design, data collection, and service delivery where scientifically appropriate.
- NIH will implement these priorities consistent with applicable laws, regulations, court orders, and all required administrative procedures. Applicants are encouraged to describe how their proposed programs align with these priorities in their project narratives. Funded activities must advance NIH's vision of protecting and improving the health and well-being of Americans. The particular focus is on those who are medically vulnerable, or live in areas with limited access to care. NIH's duty is to serve wisely, effectively, and with measurable results that justify every taxpayer dollar invested.

Cooperative Agreement Terms and Conditions of Award

Not Applicable

3. Data Management and Sharing

A Data Management and Sharing Plan (DMS Plan) is required for any NIH-funded or conducted research that will generate scientific data. Applicants must submit the DMS Plan at the time of application using the [NIH DMS Plan Format Page \(https://grants.nih.gov/grants-process/write-application/forms-directory/data-management-and-sharing-plan-format-page\)](https://grants.nih.gov/grants-process/write-application/forms-directory/data-management-and-sharing-plan-format-page). The DMS Plan must address the elements in the structured format. Where the DMS Plan Format Page requires a "Yes or No" response, no additional narrative is allowed.

4. Reporting

When multiple years are involved, recipients will be required to submit the [Research Performance Progress Report \(RPPR\) \(http://grants.nih.gov/grants/rppr/index.htm\)](http://grants.nih.gov/grants/rppr/index.htm) annually and financial statements as required in the [NIH Grants Policy Statement Section 8.4.1 Reporting. \(https://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.4.1_reporting.htm\)](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.4.1_reporting.htm) To learn more about post-award monitoring and reporting, see the NIH Grants & Funding website, see [Post-Award Monitoring and Reporting \(https://grants.nih.gov/grants/guide/url_redirect.php?id=82428\)](https://grants.nih.gov/grants/guide/url_redirect.php?id=82428).

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 Section 8.6 Closeout \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=82420\)](http://grants.nih.gov/grants/guide/url_redirect.htm?id=82420). NIH NOFOs outline intended research goals and objectives. Post award, NIH will review and measure performance based on the details and outcomes that are shared within the RPPR, as described at 2 CFR Part 200.301.

5. Evaluation

Not Applicable

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 \(https://www.era.nih.gov/need-help\)](https://www.era.nih.gov/need-help) - Questions regarding ASSIST, eRA Commons, application errors and warnings, documenting system problems that threaten submission by the due date, and post-submission issues.

[Grants.gov Support Center \(https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fgrants.gov%2Fsupport&data=05%7C02%7Cantoinette.caliman%40nih.gov%7Caf6dde64d644478d4e8b08dde6700581%7C14b77578977342d58507251ca2dc2b](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fgrants.gov%2Fsupport&data=05%7C02%7Cantoinette.caliman%40nih.gov%7Caf6dde64d644478d4e8b08dde6700581%7C14b77578977342d58507251ca2dc2b)

- Questions regarding Grants.gov registration and services (e.g., Workspace, subscriptions).

Scientific/Research Contact(s)

NEI Extramural Programs

[NEI_extramural@nih.gov \(mailto:NEI_extramural@nih.gov\)](mailto:NEI_extramural@nih.gov)

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)

NEI Grants Management

[NEI_extramural@nih.gov \(mailto:NEI_extramural@nih.gov\)](mailto:NEI_extramural@nih.gov)

Section VIII. Other Information

Recently issued trans-NIH [policy notices \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11163\)](http://grants.nih.gov/grants/guide/url_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 \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11164\)](http://grants.nih.gov/grants/guide/url_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 \(http://grants.nih.gov/grants/guide/url_redirect.htm?id=11120\)](http://grants.nih.gov/grants/guide/url_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 2 CFR Part 200.