GENERAL APPLICATION AND SUBMISSION

- **Where can I find general information on the NIH grants process?**

  Everything You Wanted to Know About the NCI describes how a grant is awarded and administered.

  NIH Office of Extramural Research provides information on Grant Application Basics and the Grants Process Overview.

  NCI Extramural Funding Opportunities provides links to funding initiatives, applications, grant policies, and research resources.

- **Which form do I use to apply for an NIH research grant?**

  Depending on whether the grant type you are applying for has made the transition to electronic submission, you will use either the PHS 398 or PHS 416-1 paper application or the SF424 Research and Related (R&R) Grant Application Package in a Funding Opportunity Announcement (FOA).

  For dates in NIH's electronic transition plan, go to the Electronic Submission page.

- **Where do I find information on the electronic grant application process?**

  Go to the NIH Office of Extramural Research web page on the Electronic Application Process for information on how find a Funding Opportunity Announcement (FOA) and download an application. Information is also provided on the preparation and submission of electronic applications.

- **Where do I send my paper application?**

  For investigator-initiated applications, including those submitted in response to some program announcements (read the *NIH Guide* notice for specifics), send the original plus five copies in one package to:

  Center for Scientific Review
  National Institutes of Health
  6701 Rockledge Drive, Room 1040 - MSC 7710
  Bethesda, MD 20892-7710 (Use this ZIP code for the U.S. Postal Service, including express mail.)
  Bethesda, MD 20817 (Use this ZIP code for commercial carriers such as FedEx and UPS.)

  For program announcements with NCI review and RFAs, the original and three copies are mailed to the CSR address above. Two additional copies and appendix materials are sent to :

  Referral Officer
  Division of Extramural Activities
  National Cancer Institute
  6116 Executive Boulevard, Room 8041, MSC 8329

Bethesda, MD 20892-8329 (for U.S. Postal Service Express or regular mail)
Rockville, MD 20852 (for non-USPS delivery)

You cannot hand deliver your application; you must send it by mail or commercial courier.

- **How do I send my electronic application?**

  Grants.gov must successfully receive applications by 5:00 p.m. of the applicant institution's local time on the submission/receipt due date. Follow these steps:

  o Only your business official for Grants.gov -- called an authorized organizational representative/signing official (AOR/SO) -- can submit the application.
  o Your AOR/SO logs in to Grants.gov, then clicks "Submit" in your application package. Corrected applications follow the same process.
  o The AOR/SO should print a copy of the confirmation screen as a record.

  See Electronic Submission page for more information.

- **When is my application due?**

  NIH receives R01 and most other investigator-initiated applications three times a year. See Standard Submission/Receipt Due Dates for deadlines. Request for Applications (RFA) and some Program Announcements (PA) have special receipt dates that are provided in the specific Funding Opportunity Announcement (FOA).

  See NIH's Standard Submission/Receipt Due Dates for Competing Applications for deadlines for small business awards, fellowships, and other types of applications. If a deadline occurs on a weekend or Federal holiday, it moves to the next business day. NOT-OD-08-026 provides information on submission dates for appointed members of chartered NIH study sections.

  Grants.gov must successfully receive applications by 5:00 p.m. of the applicant institution's local time on the due date.

- **When do I need preapproval from NCI to submit a new or renewal application?**

  As stated in NOT-OD-02-004, applicants must seek agreement to accept assignment from Institute/Center staff at least 6 weeks prior to the anticipated submission of any application requesting $500,000 or more in direct costs for any year. This policy does not apply to specific initiatives, such as PARs or RFAs that allow budgets in excess of $500,000 for any year.

  In addition, applicants for conference grants (R13) must seek agreement from the Institute/Center R13 contact at least 6 weeks prior to the receipt date.

- **Should I include a cover letter with my application?**

  Yes, Applicants are encouraged to include a cover letter with the application. The cover letter is only for internal use and will not be shared with peer reviewers. The letter should contain any of the following information that applies to the application:

  1. Application title.
  2. Funding Opportunity (PA or RFA) title of the NIH initiative.

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3. Request of an assignment (referral) to a particular Institute/Center or Scientific Review Group (SRG).

4. List of individuals (e.g., competitors) who should not review your application and why.

5. Disciplines involved, if multidisciplinary.

6. For late applications, a cover letter is required explaining the reason for the delay (see next question).

7. When submitting a Changed/Corrected Application after the submission date, a cover letter is required explaining the reason for the Changed/Corrected Application. If you already submitted a cover letter with a previous submission and are now submitting a Changed/Corrected Application, you must include all previous cover letter text in the revised cover letter attachment.

For electronic applications, attach file under the PHS 398 Cover Letter.

- **May I submit my application late?**

Typically, NIH allows late submission of applications for circumstances out of your control -- including natural disasters or personal tragedies -- as well as service as a regular appointed member of an NIH chartered study section (CSR reviewed R01 and R21 only) very close to the application receipt date. NOT-OD-08-026 and NOT-OD-08-027 provide information on submission/receipt dates for appointed members of chartered CSR study sections as well as information on late submission for other reasons.

May I send supplementary or missing materials after a receipt date?

For electronic applications, the PI and AOR/SO have two full weekdays (Monday - Friday, excluding Federal holidays) to view the application after which the submission process is complete.

For electronic and paper applications, you may be able to update your application if you made an error in assembling it, (e.g., missing biosketch, IRB approval, publication, etc.) or if you have new data relevant to your research proposal. Once you receive notice of assignment in your eRA Commons account, you should contact the assigned Scientific Review Officer to determine if and how you may update your application. For submissions to RFAs, only corrections of errors are usually accepted.

See NIH Policy on Submission of Additional Grant Materials for more information.

- **When will I receive word on my application?**

Notification that CSR has assigned your application to a scientific review group and Institute should appear in your eRA Commons account within 3 weeks of the submission deadline. If this notification does not appear in this timeframe, please contact the CSR Division of Receipt and Referral at 301 435-0715.

Your priority score should be available in your Commons account within 3 business days after the peer review meeting, and your summary statement should be available within 30 days. New investigators who submitted R01 applications should be able to access their summary statements within 10 days after the review meeting.

- **Is my application confidential?**

Most grant and contract materials are confidential, including grant applications, progress reports, contract proposals, and proceedings of review meetings. Two exceptions are the grant application's title and abstract, which NIH makes public.

Reviewers may not take materials from peer review and use them without attribution.

- **For small grants (R03) and exploratory/developmental grants (R21), should I apply under the Parent Announcement or an Institute-specific one?**

  NCI does not participate in the Parent Announcement or broad NIH PA and only accepts small grants (R03) and exploratory/developmental grants (R21) in response to specific initiatives or Funding Opportunity Announcements that include NCI on the list of institute sponsors. The NCI Small Grant (R03) and Exploratory/Developmental (R21) web sites list all active NCI and Trans-NIH announcements.

- **Do I need to be a citizen to apply for a grant?**

  You do not need to be a citizen to apply for a research project grant, e.g., an R01, small grant (R03), or exploratory/developmental grant (R21).

  If you are a non-citizen working at a U.S. institution receiving an award, you must remain there long enough to finish your project. If you do not have a permanent visa, state in your application that your visa will allow you to remain in the U.S. long enough for you to be productive on the project. Your institution is responsible for ensuring that you have an appropriate visa.

  Some grant types have a citizenship requirement, including small business and training and career development grants.

- **Will NCI accept applications with multiple PIs?**

  NIH is allowing multiple PIs for most electronic applications, including R01s. As other grant types switch to electronic applications, you will be able to have multiple PIs for those as well.

  Some RFAs that still use paper application will also permit more than one PI, so check each Funding Opportunity Announcement carefully. For more information, go to NIH's Multiple Principal Investigators Web site.

- **How should an application be identified as a "Genome Wide Association Study" (GWAS) application?**

  A cover letter indicating the presence of a GWAS component should accompany all such applications. Staff in the CSR Division of Receipt and Referral will confirm the identification and enter "GW" as a dual assignment whenever appropriate. Program staff in NIH ICs may also recommend that a "GW" dual designation be added or removed. For more information, go to NIH's Genome-Wide Association Studies Web site.

- **What does CSR do with my application?**

  CSR makes two assignments for your application for two purposes:

  1. **Initial peer review**. CSR assigns your application to either one of its initial review groups or to an institute for review. (For more information, see **Peer Review** section.)

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2. **Administration.** CSR also forwards a copy to the institute that will manage your application and your grant, if it's funded.

See CSR's The Peer Review Process and CSR Study Section Roster Index for more details on review assignment.

- **Where do I find information about funded NIH grants?**

  Go to the NIH Research Portfolio Online Reporting Tool (REPORT) for summary reports and access to NIH's CRISP database to find funded grants with abstracts. NCI also maintains a searchable NCI Funded Research Portfolio Database for NCI grants.

- **Where can I find information on paylines and funding policies for NCI?**

  Information on the current payline for R01 applications and funding policies for competing and non-competing applications is available on the NCI Funding Policy web page.

- **Where do I find information about NIH success rates?**

  To find success rate information, go to NIH Success Rates. The NCI Fact Book contains information on how the budget was allocated for a given fiscal year.

- **Where do I find high-priority funding areas?**

  Find all NCI initiatives or Funding Opportunity Announcements on the NCI Funding Announcements List.

  NIH publishes most initiatives-- Requests for Applications (RFA) and Program Announcements (PA)-- in the *NIH Guide*. For grant types that have transitioned to electronic applications, go to Grants.gov for the Funding Opportunity Announcement package.

  Requests For Proposals (RFPs) for NCI's contract initiatives are published in FedBizOpps, and most do not appear in the *NIH Guide*.

- **How does NCI ensure that the highest priorities are funded?**

  NCI pays most grants according to merit (i.e,, based on the percentile ranking and/or priority score, depending on the type of grant) as assessed by peer review. However, for high-priority areas, NCI funds some applications outside the payline through exception funding.

- **Do I apply for a research supplement the same way as a grant?**

  It depends upon the type of research supplement. A **competing supplemental application** (now known as a "**revision**" application) may be submitted to request support for a significant expansion of the scope of a project or a research protocol. The submission process is similar to the original grant application process; see SF424 or PHS398 instructions for more information.

  An **administrative supplement** provides additional funding to meet increased costs that are within the scope of your approved application, but that were unforeseen when the new or competing renewal application was submitted. If you are contemplating supplemental funding, you must consult in advance with your designated Program Director. To be considered for an administrative supplement, you must submit a written request describing the need for additional

funding and the categorical costs. The request must be cosigned by your Authorized
Organizational Representative (AOR)(i.e., institutional business official or signing official [SO]) and
submitted directly to the NCI (not to CSR as described above for new applications).

NIH offers administrative supplements to support work by individuals from underrepresented
minority groups, disadvantaged backgrounds, or with disabilities on ongoing research projects.
For more information, see Research Supplements to Promote Diversity in Health Care Research.
NIH also offers Administrative Supplements to Promote Reentry into Biomedical and Behavioral
Research Careers. NCI may also publish announcements for administrative supplements in
specific research areas such as Activities to Promote Research Collaborations.

Applications for revisions or administrative supplements are **not appropriate** when the sole
purpose is to restore awards to the full level recommended by the Scientific Review Group if they
were administratively reduced by the funding agency. A revision application **should not be
submitted** until after the original application has been awarded and **may not extend beyond the
term of the current award period.**

- **What is the NIH Roadmap? How are these initiatives being coordinated and reviewed?**

  The Roadmap is an NIH funding initiative that addresses major opportunities and gaps in
  biomedical research that no single institute could tackle alone. All ICs participate in it. See the
  Roadmap web site for information on current initiatives.

  The NIH Office of Portfolio Analysis and Strategic Initiatives (OPASI) is responsible for managing
  the process by which trans-NIH initiatives are prioritized for consideration and evaluation by both
  outside advisors and NIH leadership. See the Planning and Selection Process for more
  information on how Roadmap and other trans-NIH initiatives are prioritized and coordinated.