

RESUBMISSIONS AND RENEWALS

- **NIH and Grants.gov seem to use different terminology for application types. How do I know which term is correct for my situation?**

Grants.gov has introduced new terminology for the Type of Application field of the SF424 (R&R) Cover Component (box #8). NIH is changing all of its materials to correctly reflect the new terminology, but it may take some time to fully implement the changeover. For example, a “resubmission” now refers to an application previously reviewed (formerly called revised or amended), whereas a “revision” now refers to a request for a supplement to an existing grant (previously called a [competing](#) or [administrative](#) supplement).

See [Frequently Asked Questions: Resubmission, Revision, Renewal](#) on [OER's Electronic Submission of Grant Applications](#) Web site or [NCI Grants Process Book](#).

- **How many times may an application be resubmitted? Is there a time limit for resubmissions?**

An application may be revised once for a total of 2 application opportunities. For applications submitted on January 25, 2009 and beyond, NIH will not consider a second resubmission (A2) or higher to any application for extramural support. However, there is no time limit for the submission of the first resubmission (A1). See [NOT-09-003](#) for more information.

Original new and [competing](#) renewal applications that were submitted prior to January 25, 2009 will be permitted two amendments (A1 and A2). For these “grandfathered” applications, NIH expects that any A2 will be submitted no later than January 7, 2011, and NIH will not accept A2 applications after that date.

- **What is the success rate for resubmitted applications versus original applications?**

The success rates for resubmitted (previously known as amended) applications is two to three times higher than that for original applications. Success rates for all NIH [competing](#) research project grants by amendment status can be found at:
http://report.nih.gov/award/success/Success_By_Amendment_123_1997-2007.xls

- **If the PI has exhausted the number of resubmission opportunities, can he/she resubmit the project as a new application if there are new specific aims?**

Applications received by the NIH are screened multiple times and checked to determine if the application is a new application, not simply another version of a project that has already received three reviews. A new application should include substantial changes in all sections of the Research Plan, particularly in the Specific Aims and the Research Design and Methods sections. There should be fundamental changes in the questions being asked and/or the outcomes examined. Changes to the Research Plan should produce a significant change in direction and approach for the research project.

Go to “Questions and Answers on Resubmissions of NIH Research Grant Applications” (http://grants.nih.gov/grants/policy/resubmission_q&a.htm) and discuss with the [program director](#) of your previous grant submission.

- **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. The [NCI Fact Book](#) provides information on historical funding and success rates.

- **What are renewals and where can I find basic information about them?**

Grant renewals are awards that extend grants whose [project periods](#) are over. To continue research on the same topic after your grant ends, you must again re-compete for NIH support and the application must undergo peer review. This application is referred to as a competitive renewal. For information on completing an electronic R01 renewal application, see [Frequently Asked Questions: Resubmission, Revision, Renewal](#) on [OER's Electronic Submission of Grant Applications](#) Web site.

- **Do appointed members of chartered NIH study sections have different receipt dates for their applications?**

NIH recently implemented a policy that gives appointed members of chartered NIH study sections flexibility in submitting their own grant applications. For appointed regular (not temporary or ad hoc) members, R01, R21, and R34 applications reviewed in CSR will be accepted on a continuous basis and reviewed within 120 days of receipt. Continuous submission is **NOT** available for other types of applications or applications submitted for special receipt dates and initiatives (RFAs, some PARs). See [NOT-OD-08-026](#) for more information.

- **How should I time the preparation of my competitive renewal application?**

Success for a competitive renewal depends heavily on the progress made during the initial funding period as well as the significance and approach of the work proposed in the renewal. If the previous aims have been completed and there is strong data to support the new research plan, submitting the renewal application earlier than needed to maintain continuity of funding gives you time to revise and resubmit if you do not get a fundable score the first time.

Note: Your competitive renewal cannot begin before the end date of your previous award no matter when you submit your application. If your application would normally be considered for funding in the Fiscal Year prior to your current grant end date, funding will not be considered until the next Fiscal Year and will be subject to the new Fiscal Year paylines. See NIH's [Review and Award Cycles](#) table, part of [Standard Due Dates for Competing Applications](#), for receipt and funding dates.

- **How can I submit a competitive renewal application early if I do not have enough data?**

Send in your application one or more review cycles early only if you have enough data to show progress in the research, including publications. If you do not have enough data, don't resubmit until you do. It is better to come in a round late with a successful application, than to waste a submission on an application that has obvious deficiencies. The early approach does not apply to short awards or work progressing slowly. No matter when your application arrives, reviewers expect to see data indicating progress.

- **What is the funding cap for competitive renewal applications?**

As part of its financial management plan, NCI limits the budget increases that investigators can request in their competitive renewal applications for R01, U01, and P01 grants. In May 2008, this

cap was set at 10 percent more than the direct costs of the last year of the preceding award (see [Guide Notice](#)).

Additional budget reductions may be required based on the financial management plan for a specific year. See [NCI Funding Policy](#) for more information.

- **How does NCI calculate the 10 percent budget cap?**

For nonmodular awards, NCI considers the direct costs of the expiring [non-competing](#) award minus facilities and administrative costs for all subawards. Increase that amount by 10 percent and include facilities and administrative costs for subawards. You may apply the permissible NIH inflationary adjustment (currently 3%) to each of the years after the first year.

Awardees operating within a [modular](#) budget format may round up their request to the next higher module in the first competing year after increasing by 10 percent, with no subsequent future year increases. See [Guide Notice](#) for more information.

- **The budget for my first R01 was low; how much can I request for my new budget?**

Investigators submitting their first renewal are also limited to a 10% increase over the previous year's budget. Please discuss with your [program director](#) whether an exemption to this policy can be considered.

However, if your research has evolved in scope, you may want to apply with a new grant. In that case, change the title and abstract to include your new [specific aims](#), so the focus of the application reflects the new scale of your research. See [NOT-OD-07-015](#) for clarification of what constitutes a new application and discuss with the [program director](#) of your R01 award.

- **If I ask for the cap amount for my first year, can I make a bigger request for subsequent years?**

No. All budgets are based on the first year budget. [Modular](#) grants get the same number of modules each year. Nonmodular grants may get a small percentage increase for inflation or a decrease, depending on NCI's financial management plan for that year.

- **Must I keep the title of the grant unchanged when applying for a renewal?**

No. While it is often best to keep the same title, use a different title if it's a better fit. If you do, check the box indicating that your application is a competitive renewal on the checklist (the last page) of the grant application, and enter your grant number. That way, NIH will know that the title is new, but the application is a competitive renewal.

- **What format should I use for the Research Plan section of an R01 renewal?**

A Research Plan follows the same format and page limits for a renewal application as a new application, but there are a few differences.

Instead of preliminary studies, you'll include a Progress Report. You should also add a Progress Report Publication List and, if you're conducting human subjects research, an [Inclusion Enrollment Report](#).

Check the [Grant Application Guide](#) of the [R01 Funding Opportunity Announcement](#) for further details.

- **If my grant will be ending and I want to renew it, do I have to apply as a renewal, or can I apply as a new grant application?**

The science should drive your decision.

Apply as a renewal if you are continuing along the same research path. Applying as a renewal gives you some advantage because you are continuing an existing research project and your progress report provides support for your specific aims. In addition, you may qualify for interim support through the NIH Director's [Bridge Awards](#) or exception funding if your application is beyond but close to the payline.

Apply as a new application if you want to significantly change or expand the scope of your research. A new application reflects a clear change in direction and approach for your research. Be sure to use a new title.

See [NOT-OD-09-003](#) for clarification of what constitutes a new application and discuss with the [program director](#) of your previous R01 award. For NIH success rates for new and [competing](#) continuation applications, go to: <http://report.nih.gov/award/success.cfm>.

- **Is there a window of time that a PI can submit an application as a renewal?**

There is no time limit for a renewal application, but peer reviewers will probably be concerned by major gaps between projects.

If a significant amount of time has elapsed, indicate what you have done in the interim. Highlight any preliminary data you may have obtained and show that your planned research is current with the latest science.

- **When does NCI require pre-approval to submit a renewal application?**

As stated in [NOT-OD-02-004](#), applicants must seek agreement to accept assignment from NIH 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 (i.e., obtain clearance) for application submission from the [Institute/Center R13 contact](#) at least 6 weeks prior to the receipt date.

- **If I change some of the collaborating projects in my P01, is my submission considered to be a renewal or a new grant application?**

Normally, at least 50% of the collaborating projects should be new projects with a change in research direction to be considered a new application. Applicants are encouraged to contact their [program director](#) to discuss the changes and the impact these changes will have on the program.