

RESUBMISSION OF UNPAID RFA APPLICATIONS AND RESUBMISSION OF APPLICATIONS WITH A CHANGED GRANT ACTIVITY MECHANISM

RELEASE DATE: January 16, 2003

NOTICE: NOT-OD-03-019

National Institutes of Health (NIH)

**BACKGROUND AND RATIONALE:** The majority of grant applications submitted to NIH each year are investigator-initiated. However, the Institutes and Centers of NIH also solicit grant applications on specific topics through the use of Requests for Applications (RFAs). With this notice the NIH is changing its practice regarding resubmissions of three categories of grant applications. Those categories include:

1. Applications that were originally submitted in response to an RFA and then resubmitted as an investigator-initiated application.
2. Applications that were originally submitted as investigator-initiated applications and subsequently resubmitted in response to an RFA.
3. Applications that were originally submitted using one grant mechanism and subsequently resubmitted using a different grant mechanism (for example, an application that was originally an R01 and then is resubmitted as an R21).

Since an RFA often has special considerations of eligibility, scientific scope, and review criteria, it is felt that most unfunded applications should be resubmitted as NEW applications. Similarly, a change of grant mechanism (from an R01 to an R21 or from an R03 to R01, for example) usually involves a change of eligibility criteria, application characteristics, dollar limits, time limits, or review criteria. This also suggests that consideration as a new application is the most appropriate course. Because the application will be new, it will be easier to conform to the new application requirements, which should advantage the applicant in the review process. Additionally, submission of a new application will allow the applicant to fully benefit from the NIH policy that allows an applicant to submit two revisions within two years (see <http://grants.nih.gov/grants/policy/amendedapps.htm>).

NEW APPLICATIONS: The new application must be submitted on the scheduled due dates for new applications (see <http://grants.nih.gov/grants/funding/submissionschedule.htm>). It must not include an Introduction describing the changes and improvements made; and the text must not be marked to indicate the changes. While the investigator may still benefit from the previous review, the application is not to not state explicitly how. The reviewers will not be provided with the previous summary statement. The investigator will be allowed to submit the new application and up to two revised versions of this application, should that be necessary.

POLICY: This general policy on application resubmission, stated below, applies to all grant mechanisms that might be solicited via an RFA and to instances where there is a change in mechanism. There may, however, be exceptions to this policy, which will be clearly identified in the original RFA or in a follow-up RFA.

1. When an application that was submitted in response to an RFA is not funded and the investigator wishes to resubmit an application on this topic as an investigator-initiated application, it is to be submitted as a NEW application, unless provisions for submission of a revised application are clearly delineated in the RFA. In addition, if a subsequent RFA specifically solicits revisions of unfunded applications from a previous RFA, the instructions in the second RFA should be followed. In all other cases, applications submitted in response to an RFA and then resubmitted as an investigator-initiated application must be submitted as a NEW application.
2. When a previously unfunded application, originally submitted as an investigator-initiated application is to be submitted in response to an RFA, it is to be prepared as a NEW application.
3. When an unfunded application that was reviewed for a particular research grant mechanism (for example, R01) is to be submitted for a different grant mechanism (for example, R03), it is to be prepared as a NEW application.

This change in policy is effective for applications submitted on or after May 10, 2003 so it includes all applications going to January 2004 councils.

For further information please contact:

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