

Memorandum

To: University Research Community

From: Robert M. Gutierrez, Director of Pre-Award
Division of Research

Subj.: NIH Policy on Post-Submission Application Materials

Date: February 17, 2011

The Division of Research would like to remind the University Research Community that the National Institutes of Health revised the policy regarding post-submission application materials to those resulting from unforeseen administrative issues (with exceptions specified for institutional training mechanisms and certain RFAs). Normally, corrections of oversights/errors discovered after submission of an application will not be allowed by the NIH.

The revised policy only allows grant application materials to be accepted after submission of the application but before the initial peer review if they result from unforeseen administrative issues.

The deadline for receipt of post-submission materials is one month (30 calendar days) prior to the peer review meeting for the application. Post-submission materials will not be accepted if fewer than thirty calendar days remain before the peer review meeting. Acceptable post-submission materials under the new policy include:

- Revised budget page(s) (e.g., change in budget request due to new funding or institutional acquisition)
- Biographical sketches (e.g., change in senior/key personnel due to the loss of an investigator)
- Letters of support or collaboration resulting from a change in senior/key personnel due to the loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution (e.g., PI moved to another university)
- News of an article accepted for publication

Unacceptable post-submission materials [for all applications excluding those under the exceptions listed below] include:

- Updated Specific Aims or Research Strategy pages
- Late-breaking research findings
- Supplemental pages - information not contained in the existing application
- New letters of support or collaboration that do not result from a change in senior/key personnel due to the loss of an investigator

Exceptions to the revised policy include:

- Applications submitted in response to Requests for Applications (RFAs) that have only one due date. Post-submission materials for these applications will be accepted as outlined under the former policy (NIH NOT-OD-10-070).

DIVISION OF RESEARCH
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Certain NIH Funding Opportunity Announcements (FOAs) may allow certain other types of post-submission materials to facilitate the goals of the program. Such stipulations must be explained in the FOA in the NIH Guide for Grants and Contracts.

Page limits for post-submission materials under the revised policy:

- All post-submission materials must conform to NIH policy on font size, margins, and paper size as referenced in Part I.2.6 of the applicable application instructions.
- NIH additional form pages such as budget, biographical sketches, and other required forms must follow NIH standards for required NIH form pages.
- If post-submission material is not required on a form page, each explanation or letter is limited to one page (see Acceptable Late Materials above).
- If the application has subprojects or cores, each subproject or core is allowed explanations or letters (see Acceptable Late Materials above), but each explanation or letter is limited to one page.

Authorized Organizational Representative (AOR) concurrence:

The requirement for concurrence from the Authorized Organizational Representative (AOR) of the applicant organization will continue under the revised policy. Any submission of materials under the revised policy must be coordinated through your Pre-Award Representative in the Division of Research who will ensure its submission by the institutional AOR directly to the Scientific Review Officer (SRO). A communication from the PD/PI only or with a “cc” to the AOR will not be accepted by the NIH.

If you have any questions about this revised policy from the NIH please feel free to contact your Pre-Award Representative in the Division of Research at 305-348-2494.