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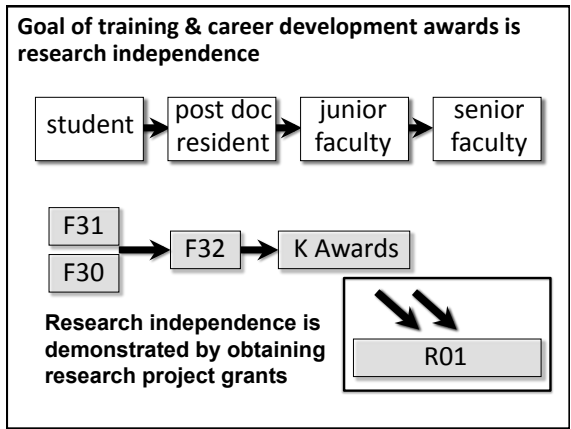
K99/R00: Pathway to Independence Award

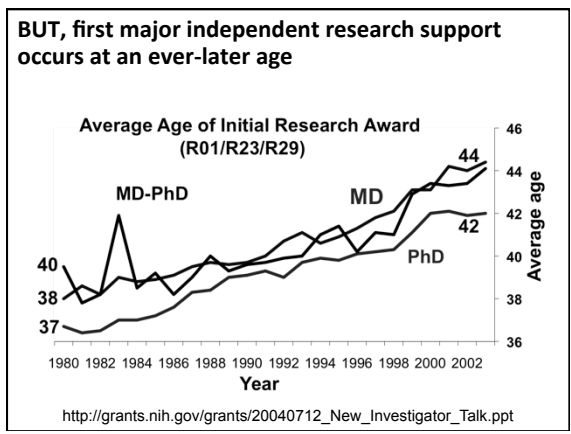
— to facilitate independent funding earlier in an investigator's career



For highly promising postdoctoral scientists
Established in response to increasing age of first independent support
Non-citizens are eligible

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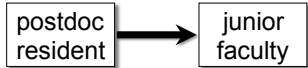
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The K99/R00 Award was established to facilitate the transition to independence

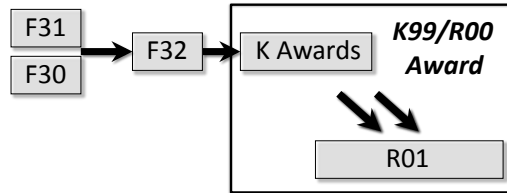
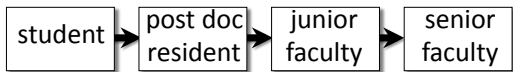
Overall Goal of Award:

- to assist new investigators in transitioning to stable independent research positions at an earlier age and with an enhanced probability of success in obtaining independent NIH or other independent research support.*



* K99/R00 Program Announcement (PA-11-197)
<http://grants1.nih.gov/grants/guide/pa-files/PA-11-197.html>

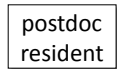
K99/R00 Awards combine elements of K and R (research) awards



K99/R00 Awards provide up to five years of support in two phases

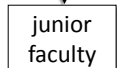
K99 Phase:

1-2 years of mentored support for highly promising postdoctoral research scientists



R00 Phase:

Up to 3 years of support contingent on securing an independent research position



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Eligibility for K99/R00 Awards

Doctoral degree (PhD or MD), with no more than **4 years*** postdoctoral research training

Postdocs in mentored positions who do not have the ability to be independent researchers, i.e.,

- individuals who have not held an independent research position
- or been PI on NIH research (R01, R03, R21) or career development (K) awards

Commitment of 75% effort

U.S. citizens and non-U.S. citizens are eligible

***new criteria effective February, 2014**

Mentored (K99) Phase provides 1–2 years of mentored support

For highly promising postdoctoral research scientists who have clinical or research doctorates

Training may be at NIH or extramural institutions but not at foreign institutions

Total cost per year up to \$90,000 (level of support varies by I/C*) includes salary & research support

*see K99/R00 Table of Institute and Center Contacts http://grants.nih.gov/grants/guide/contacts/parent_K99_R00.html

Independent Investigator (R00) Phase provides up to 3 years of support

To conduct research as an independent scientist

Contingent on acceptance of a tenure-track, full time assistant professor position (or equivalent)

- Federal or foreign institutions not eligible
- transition is subject to administrative review of progress and evaluation of research plan
- institution must demonstrate commitment to candidate (minimum 75% effort, space)

Funding up to \$249,000 total costs per year, including salary, research support, indirect costs

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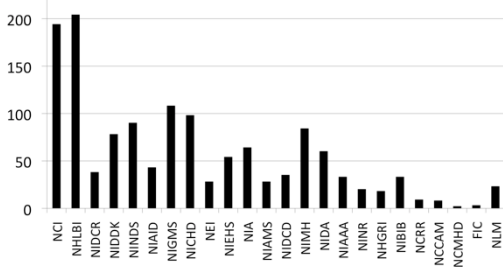
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Current Status of NIH Pathway to Independence Awards

	Proposals Submitted	Grants Awarded	Success Rate
2007	893	183	20.5%
2008	795	180	22.6%
2009	703	204	29.0%
2010	778	194	24.9%
2011	832	180	21.6%
2012	911	212	23.3%
2013	926	203	21.9%
Total	5,838	1,356	23.2%

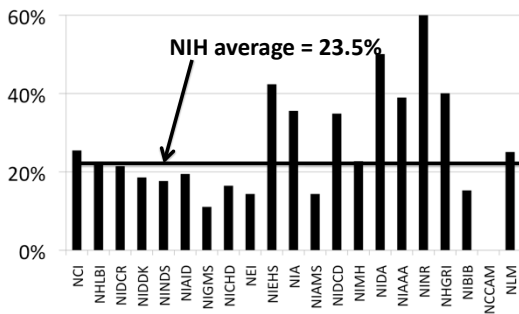
Program continuing after initial five year "experiment"

**Numbers of K99/R00 awards vary by NIH institute:
— total awards 2007–2013**



Data from: <http://report.nih.gov/FileLink.aspx?rid=551>

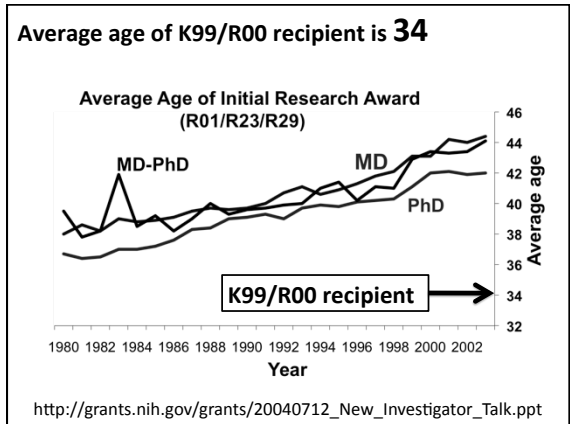
**Success rates vary by NIH Institute:
— success rates 2013**



Data from: <http://report.nih.gov/FileLink.aspx?rid=551>

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K99/R00 Contacts at NIH

NIH Pathway to Independence Award (Parent K99/R00) (PA-11-197)
 Table of IC-Specific Information, Requirements and Staff Contacts
 Release Date: April 6, 2011
 Expiration Date: September 8, 2014

Contact your Program Officer!!

K99/R00 Table of Institute and Center Contacts
 http://grants1.nih.gov/grants/guide/contacts/parent_K99_R00.html

For Questions & Answers about K99/R00 Awards

New Investigators Program
 Pathway to Independence Award (PA-09-036)
 Questions and Answers (Applicants are encouraged to contact relevant NIH Program staff)
 Posted: May 26, 2009

On This Page: General Issues, Eligibility Issues: Individual, Eligibility Issues: Institutional, Career/ISSUES, Small Business (SBR)/STTR, Contract Opportunities, NIH-Wide Initiatives, Stem Cell Information

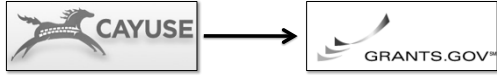
Review Issues, Transition to the Independent Phase Issues, Evaluation, Transition Details, NIH Pathway to Independence (PI) Award (K99/R00), Career Issues

http://grants.nih.gov/grants/new_investigators/QsandAs.htm

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Your institution may use a software system to interface with Grants.gov



The interface may be more user-friendly but the components you need to write are the same

— contact your Grants Office for more details

K99/R00 awards are reviewed by the 5 criteria used for all mentored K awards



1. Candidate



2. Career Development Plan/Career Goals & Objectives/Plan to Provide Mentoring



3. Research Strategy



4. Mentor(s), Consultant(s), Collaborator(s)



5. Environment and Institutional Commitment to the Candidate

These criteria are applied uniquely for the K99/R00 award



The Candidate must demonstrate the potential for independent research

Key review questions:

What is the record of research productivity?

What is the quality of the candidate's pre- & postdoctoral research training experience?

Will the candidate be able to achieve an independent, tenure-track position within the time period requested for the K99 phase?

How do the letters of reference evaluate the candidate?

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The Candidate must demonstrate the potential for independent research

Answer these questions with:

- A detailed and complete biosketch
- A strong statement of commitment to a career in biomedical research (*Candidate Background*)
- A detailed description of career goals & how these goals relate to prior training & experience (*Career Goals & Objectives*)
- Outstanding letters of reference from at least 3 well-established scientists



Career Development Plan must be appropriate for the candidate

Key review questions:

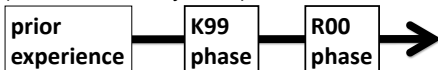
- Is the plan likely to contribute substantially to the development of the candidate including his/her successful transition to independence?
- Is the plan appropriate for the candidate's current stage & future research career goals?
- Are the plans for evaluating progress during the K99 phase adequate for guiding the candidate towards successful transition to independence?
- Is the timeline appropriate for for the transition to the independent phase of the award?



Career Development Plan must be appropriate for the candidate

Answer these questions with:

A systematic plan that shows a logical progression from prior research and training to the training and research proposed for the K99 phase and subsequently to the R00 phase.
(*Career Goals & Objectives*)



A training plan that fits the past experience & future needs of the candidate.
(*Career Development & Training Activities*)

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Career Development Plan must be appropriate for the candidate

You should also:

Justify the need for the award, both K99 & R00 phases and make a convincing case that the proposed support will enhance your career &/or allow the pursuit of a novel or promising approach to a particular research problem.

Describe how the plan will promote your scientific independence, by including grant-writing, communication and laboratory management skills and knowledge.

(Career Development & Training Activities)



Include a Timeline for your Career Goals & Objectives

Indicate how the two phases relate

List specific objectives for each year

Describe plans for subsequent grant support

Year 1	K99 Phase
Year 2	
<i>transition</i>	
Year 3	R00 Phase
Year 4	
Year 5	



The Research Plan must be divided into distinct but connected K99 and R00 phases

Key review questions:

Is the K99 phase research an appropriate vehicle for developing research skills & a highly successful R00 research program?

Is the R00 phase research scientifically sound and a logical extension of the K99 research?

Is the R00 research significant, innovative & creative? Does it have long-term viability?

Is the R00 research likely to foster the career of the candidate as an independent investigator?

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The Research Plan must be divided into distinct but connected K99 and R00 phases

Answer these questions with:

- A description of how prior research, the K99 research, and the R00 research intersect:
i.e., what you still need to accomplish during the K99 phase in order to compete successfully.
- A detailed description of the R00 phase research, including the novelty, significance, creativity, and approach.
- A description of how your research plan relates to your mentor's research and how you will achieve research independence your mentor.



The Mentor must have a strong record of research and mentoring

Key review questions:

- What is the mentor's record of training?
- Are the mentors research qualifications, stature, and mentoring record appropriate?
- What is the nature & extent of supervision during the K99 phase?
- Is there an appropriate plan for evaluation of progress (K99 phase) and the transition to independence?
- Are any collaborators & consultants qualified?



The Mentor must have a strong record of research and mentoring

Answer these questions with:

- A mentor that meets these qualifications (& has documented them adequately!)
- If not, provide a plan to correct any deficiencies:
 - co-mentor(s)
 - mentoring advisory team
- Detailed plans during the K99 phase for
 - supervision by the mentor(s)
 - evaluation of progress & transition
(Statements by Mentor)

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Statements by Mentor must also explain how award will develop candidate's career

Should include:

- plans for candidate's career development
- source(s) of support for research project
- supervision & mentoring of candidate
- candidate's teaching load (if any)
- plan for transition of candidate to an independent investigator



A strong statement of Institutional Commitment is essential

Key review questions:

Does the institution provide a high quality environment for the candidate's development?

Are the research facilities and educational opportunities adequate and appropriate for the candidate's research and career development goals during the K99 phase of the award?

Is the K99 sponsoring institution strongly committed to fostering the candidate's development and transition to the independent (R00) phase?



A strong statement of Institutional Commitment is essential

Answer these questions with:

Description of how the institutional environment & facilities are appropriate & available for the research & career development of the candidate.

A strong institutional statement of commitment to the candidate during the K99 phase & support for transition to independence.

(This commitment should not be dependent on receipt of the award.)

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A strong statement of Institutional Commitment is essential (item 9)

- on institutional letterhead
- commitment to candidate independent of award
- agreement to provide protected time for candidate's research & career development
- equipment, lab space, office, facilities, resources



Letter limited to 1 page!
