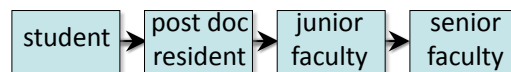


Know Your Kangaroo

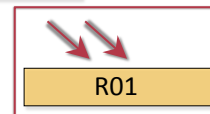
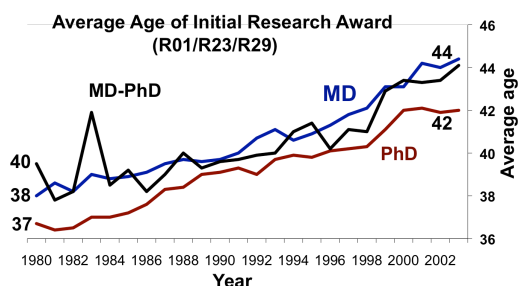
Joan M. Lakoski, PhD • Robert J. Milner, PhD

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

Goal of training & career development awards is research independence

Research independence is demonstrated by obtaining research project grants

**BUT, first major independent research support occurs at an ever-later age**

http://grants.nih.gov/grants/20040712_New_Investigator_Talk.ppt

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

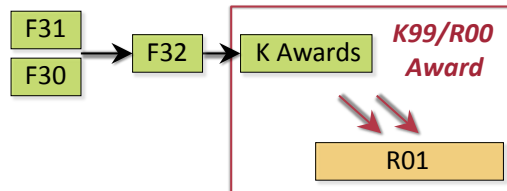
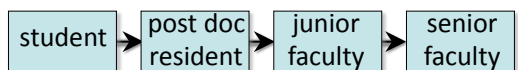
to help outstanding postdoctoral researchers complete needed, mentored training and transition in a timely manner to independent, tenure-track or equivalent faculty positions

to foster the development of a creative, independent research program that will be competitive for subsequent independent funding



*K99/R00 Program Announcement (PA-18-398)

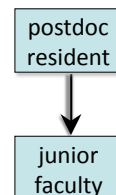
<https://grants.nih.gov/grants/guide/pa-files/PA-18-398.html>

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



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 equally eligible

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 support varies by I/C*

- up to \$100,000 salary
- up to \$50,000 research support

* see K99/R00 Table of Institute and Center Contacts
<https://grants.nih.gov/grants/guide/contacts/parent-K99-CT-not-allowed.html> OR
<https://grants.nih.gov/grants/guide/contacts/parent-K99-CT-required.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)

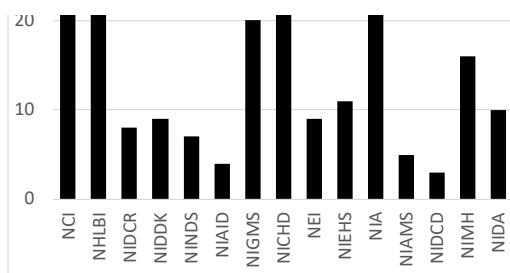
- Federal or foreign institutions not eligible
- transition is subject to administrative review of progress and evaluation of research plan
- institution must demonstrate commitment to candidate (minimum 75% effort, space)

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

Success Rates for NIH K99/R00 Awards

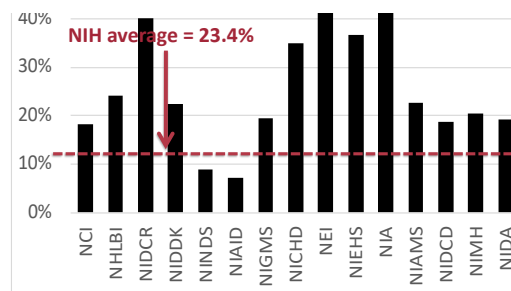
	Proposals Submitted	Grants Awarded	Success Rate
2009	703	204	29.0%
2010	778	194	24.9%
2011	832	180	21.6%
2012	911	212	23.3%
2013	926	203	21.9%
2014	1,118	247	22.1%
2015	932	208	22.3%
2016	1,004	231	23.0%
2017	1,005	235	23.4%
Total	9,897	2,277	23.0%

Numbers of K99/R00 awards vary by NIH institute: — 2017 awards



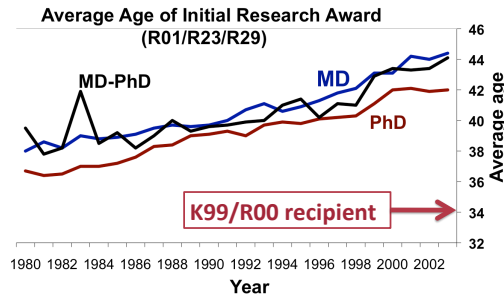
<https://report.nih.gov/DisplayRePORT.aspx?rid=601>

K99 success rates vary across NIH Institutes



<https://report.nih.gov/DisplayRePORT.aspx?rid=601>

Average age of K99/R00 recipient is 34



http://grants.nih.gov/grants/20040712_New_Investigator_Talk.ppt

K99/R00 Contacts at NIH

See K99/R00 Table of Institute and Center Contacts
<https://grants.nih.gov/grants/guide/contacts/parent-K99-CT-not-allowed.html> OR
<https://grants.nih.gov/grants/guide/contacts/parent-K99-CT-required.html>

For Questions & Answers about K99/R00 Awards

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

K22: Career Transition Award

— support for postdoctoral fellows
in transition to faculty positions



- for candidates with potential for productive independent research
- differences among Institutes: may involve training in intramural NIH programs

Application for a K99/R00 Award follows the same process as other K Awards

- similar application package: SF424 (R&R) with Career Development Supplement
- same deadlines: Feb 12, June 12, Oct 12
- same general review criteria

BUT, K99/R00 applications must emphasize the unique features of this award:

- division into 2 distinct but connected phases
- goal of preparation for independent research

Read the Program Announcement (PA) — link to application package & download

PA-18-398: Independent Clinical Trial Not Allowed

PA-18-397: Clinical Trial Required

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 candidate's potential to become a highly successful independent investigator?

What is the record of research productivity?

What is the quality of the candidate's pre- and 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?



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 appropriate for the candidate's current stage & future research career goals?

Does the plan augment the candidate's training?

Is the plan likely to contribute substantially to the development of the candidate including his/her successful transition to independence?

Are the plans for evaluating progress during the K99 phase adequate?

Is the timeline appropriate 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*)



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	
Year 3	<i>transition</i>
Year 4	R00 Phase
Year 5	



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

Key review questions:

- Is the proposed K99 research significant and sound?
- Is the K99 research appropriate for developing research skills & a 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?



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)*



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.

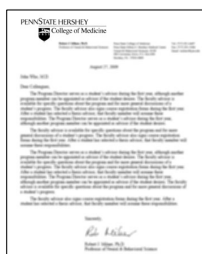
A strong institutional statement of commitment to the candidate during the K99 phase & support for transition to independence.

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



**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!