

# **NIH Pathway to Independence Award (K99/R00)**

# Workshop Overview

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- Level of Effort
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- Faculty sharing experience as recipients and reviewers



# K99/R00: purpose and duration

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**Purpose:** to facilitate the transition of postdoctoral researchers from mentored postdoctoral research positions to independent, tenure-track or equivalent faculty positions.

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**Duration:** The K99/R00 award will provide up to 5 years of support in two phases. The initial (K99) phase will provide support for up to 2 years of mentored postdoctoral research training and career development. The second (R00) phase will provide up to 3 years of independent research support, which is contingent on satisfactory progress during the K99 phase and an approved, independent, tenure-track (or equivalent) faculty position.

# K99 Eligibility

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K99/R00 applicants must have no more than 4 years of postdoctoral research experience as of the relevant application due date regardless of whether it is a new or resubmission application. **Individuals must be in mentored, postdoctoral training positions** to be eligible to apply to the K99/R00 program.

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There is no citizenship requirement for K99 candidates.

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Candidates are encouraged to consult specific NIH institute or center if their application is appropriate for the requirement of participating institute: [NIH Institutes and Centers](#)

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Alternative career development awards: [K Kiosk](#)

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# K99/R00: Budget

- **K99 phase:** salary and fringe and other program related expenses. Different NIH institutes have specific funding limits: typically, institutional salary structure and fringe/or up to \$100,000 in salary and fringe per year + \$25,000-\$30,000 in research support per year. IDC at 8%.
- **R00 phase:** \$249,000 per year total costs. The budget includes salary, fringe, research costs, IDC at institutional rate.



# K99/R00: Level of Effort

**K99 phase:** Candidates are required to commit a minimum of 75% of full-time professional effort to their program of career development.



**R00 phase:** Although candidates are required to devote no less than 75% of their full-time professional effort to research (i.e., full-time for 9 person-months), the required 9 person-months of research effort need not be devoted exclusively to the R00-supported research.

# Mentors and Institutional Environment



- Before submitting the application, the candidate must identify a mentor who will supervise the proposed career development and research experience. **The mentor should be an active investigator in the area of the proposed research and be committed both to the career development of the candidate and to the direct supervision of the candidate's research.** The mentor must document the availability of sufficient research support and facilities. The mentor(s) or mentoring team must demonstrate appropriate expertise, experience, and ability to guide the candidate.
- The applicant **institution must have a strong, well-established record of research and career development activities** and faculty qualified to serve as mentors in biomedical, behavioral, or clinical research.

# K99 Application and Submission Information

- NIH deadlines for new K99/R00: **February 12, June 12, October 12.**
- Deadline to Harvard Office of Sponsored Programs (5 business days before the sponsor deadline, 5-Day Exception request process if deadline cannot be met).
- SF424 Application Guide – Career (K) Development Instructions for NIH and Other PHS Agencies (Forms Version H Series; latest release: August 5th, 2023)  
<https://grants.nih.gov/grants/how-to-apply-application-guide.html>





# K99 Application Checklist

- Project Summary (30 lines)
- Project Narrative (2-3 sentences)
- Bibliography and References Cited
- Facilities and Resources
- Equipment
- Budget and Budget Justification
- References Letters (more details on the next slide)
- PHS398 Career Development Award Supplemental Form (the core of the application, details on separate slides)
- PHS Assignment Request Form



# K99 Application Checklist: Reference Letters

At least three, but no more than five

From individuals not directly involved in application

- Familiar with the fellow/candidate's qualifications, training, and interests
- Sponsor/co-sponsor(s) cannot be counted toward the three required references
- Make sure to include list of referees in the cover letter of the application

# K99 Application Checklist: PHS398 Career Development Award Supplemental Form

## PHS 398 Career Development Award Supplemental Form

OMB Number: 0925-0001  
Expiration Date: 01/31/2026

Introduction	
1. Introduction to Application (for Resubmission and Revision applications)	
Candidate Section	
2. Candidate Information and Goals for Career Development	CAREER_DEVELOPMENT_TRAINING_PLAN_AS.pdf
Research Plan Section	
3. Specific Aims	SPECIFIC_AIMS_SUMMARY.pdf
4. Research Strategy*	RESEARCH_STRATEGY.pdf
5. Progress Report Publication List (for Renewal applications)	
6. Training in the Responsible Conduct of Research	TRAINING_RCR.pdf
Other Candidate Information Section	
7. Candidate's Plan to Provide Mentoring	
Mentor, Co-Mentor, Consultant, Collaborators Section	
8. Plans and Statements of Mentor and Co-Mentor(s)	MENTOR_STATEMENT_JW.pdf
9. Letters of Support from Collaborators, Contributors, and Consultants	Other_Support_AS.pdf
Environment and Institutional Commitment to Candidate Section	
10. Description of Institutional Environment	INSITUTIONAL_ENVIRONMENT.pdf
11. Institutional Commitment to Candidate's Research Career Development	Instit_Commit_to_Cand_Res_Career_Dev_AS.pdf
12. Description of Candidate's Contribution to Program Goals	
Other Research Plan Section	
13. Vertebrate Animals	VERTEBRATE_ANIMALS_AS2.pdf
14. Select Agent Research	
15. Consortium/Contractual Arrangements	
16. Resource Sharing	RESOUCE_SHARING_AS.pdf
17. Other Plan(s)	Data_management_and_sharing_plan_v2.pdf
18. Authentication of Key Biological and/or Chemical Resources	KEY_BIOLOGICAL_RESOURCES.pdf
Appendix	
19. Appendix	

# K99 Application Checklist: PHS398 Career Development Award Supplemental Form

- **Candidate Section**  
Candidate Information and Goals for Career Development
  - Candidate Background
  - Career Goals and Objectives
  - Candidate's Plan for Career Development/Training Activities During Award Period
- **Research Plan Section**
  - Specific Aims (1 page)
  - Research Strategy (12 pages, including Candidate Info/Goals for Career Development)
  - Training in the Responsible Conduct of Research (1 page)
- **Mentor, Co-Mentor, Consultant, Collaborators Section**
  - Plans and Statements of Mentor (6 pages)
  - Letters of Support from Collaborators, Contributors and Consultants (6 pages)



# K99 Application Checklist: PHS398 Career Development Award Supplemental Form - continued



- **Environment and Institutional Commitment to Candidate Section**
  - Description of Institutional Environment (1 page)
  - Institutional Commitment to Candidate's Research Career Development (1 page – letter from the Chair – one month lead time).
- **Other Research Plan Section**
  - Vertebrate Animals
  - Select Agent Research
  - Resource Sharing
  - Data Management and Sharing Plan
  - Authentication of Key Biological and Chemical Resources
  - If yes to human subjects, then complete Study Record

# K99 Review Criteria



- Candidate
- Career Development Plan/Career Goals and Objectives
- Research Plan
- Mentors
- Environment and Institutional Commitment to the Candidate
- Additional review criteria that can be considered but not scored: human subjects, vertebrate animals, biohazards, resource sharing plans, select agent research, authentication of key biological resources, budget and period of support
- **As part of the review process, all applicants will receive a written critique**



# Transition to Independence Phase K99 R00

The independent phase institution will submit an application on behalf of the candidate for the R00 award using the [PHS 398 Application](#). The R00 application must include:

- A new face page signed by the R00 phase institutional representative;
- A new project description page (the project summary or abstract should be updated to reflect current plans for the R00 phase);
- Detailed budget pages for a non-modular budget;
- Biographical sketches for the PD/PI and any other Key Personnel;
- A new Resources page;
- A brief description of progress made during the K99 phase that will serve as the Final Progress Report for the K99 phase;
- An updated research plan (the specific aims should be updated to reflect current plans for the R00 phase and the updated research plan should be briefly described in less than 5 pages);
- Updated Protections for Human Subjects and Inclusion of Women, Minorities and Individuals across the Lifespan (as appropriate);
- Authentication of Key Biological and/or Chemical Resources (as appropriate);
- Updated Vertebrate Animals (as appropriate);
- Updated Biohazards (as appropriate); and
- A new checklist.
- A letter from the R00 Department or Division Chairman must be submitted that describes the R00 institution's commitment to the candidate and plans for their career development.

# Thank you

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