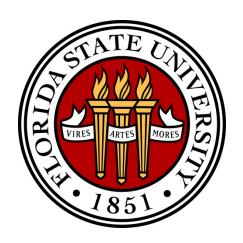
# The R03 and K99 Grant Mechanisms

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

(Funding Opportunity Announcement (FOA): PA-20-188)

Purpose: Transition from mentored postdoctoral research to

independent research as a tenure-track faculty member.

K99: 1-2 years. Provides mentored postdoctoral research training

toward a specific project designed to lead to independence for

the candidate. Salary support = \$75,000 (+fringe). Research

support = \$25,000. NOTE: These numbers vary slightly

depending on institute.

R00: 3 years. Provides research and salary support up to \$249,000.

# REQUIREMENTS

- No more than 4 years postdoc experience at time of submission (or resubmission).
- Need to have rationale for requiring 1-2 years additional postdoctoral training.
- Need to be in a mentored postdoctoral position.
- Must not be in independent research position when the award is made.
- Must have a tenure-track faculty position by the end of the 2-year K99 phase for the R00 award to be made.
- Must devote at least 75% effort to career development and research during K99 phase and at least 75% effort to research during R00 phase.

Section of Application	Page Limits * (if different from FOA, FOA supersedes)
Project Summary/Abstract	30 lines of text
Project Narrative	Three senetneces
Introduction to Resubmission or Revision Application (when applicable)	1
First three items of Candidate Information (Candidate's Background, Career Goals and Objectives, and Candidate's Plan for Career Development/Training Activities During Award Period and Research Strategy	12 (for all sections combined)
Specific Aims	1
Training in the Responsible Conduct of Research	1
Candidate's Plan to Provide Mentoring (Include only when required by the specific FOA, e.g., K24 and K05)	6
Plans and Statements of Mentor and Co-mentor(s)	6
Letters of Support from Collaborators, Contributors, and Consultants	6
Description of Institutional Environment	1
Institutional Commitment to Candidate's Research Career Development	1
Biographical Sketch	5

#### READ THE INSTRUCTIONS CAREFULLY AND FOLLOW THEM CLOSELY!

#### **CANDIDATE**

## Candidate Background

- Commitment to biomedical research
- Potential for independence

## **Career Goals and Objectives**

- Short and long term research/career goals
- Research training history
- Plans to separate from mentor

# Candidate's Plan for Career Development/Training Activities During Award Period

- Describe plan and activities to promote research and career development
- Describe how the research and training proposed will lead to a new avenue of research that is independent of the mentor.
- Describe plan for evaluation of progress including milestones.
- Describe transition plan.

#### MENTOR, CO-MENTOR, CONSULTANT, COLLABORATORS SECTION

# Plans and Statements of Mentor and Co-mentor(s)

- Prior research and mentoring experience
- Supervision plan
- Description of training elements of research
- Plans to facilitate transition to independence

#### **Letters of Support**

Collaborators, Contributors and Consultants

#### ENVIRONMENTAL AND INSTITUTIONAL COMMITMENT TO THE CANDIDATE

# <u>Description of Institutional Environment</u>

- Facilities and resources available for the candidate
- Intellectual environment

#### <u>Institutional Commitment to the Candidate's Research Career Development</u>

- Commitment of resources
- Assurance of minimum effort (≥ 75% effort)

#### **RESEARCH PLAN**

# Research Strategy

- Divide into sections: Significance, Innovation, and Approach
- Need to cover all the aspects of a good research strategy including, but not limited to
  - Significance of proposed work (why is it important?)
  - Preliminary Data (something worth following up and/or feasibility)
  - Rigor of experimental design
  - > Justification of parametric choices (sample size, drug dose, etc.)
  - Discussion of sex as a biological factor
  - Feasibility
  - Potential Outcomes and their meaning
  - > Potential complications and contingencies for dealing with them.
- Include discussion of training/independence transition elements
- Describe how the research proposed will lead to a new avenue of research that is independent of the mentor.

# <u>Training in The Responsible Conduct of Research</u>

#### **SPECIFIC AIMS**

 This focuses on the research proposed, but work in some training/independencetransition text too.

#### **LETTERS OF REFERENCE**

#### **OTHER SECTIONS**

- Project Summary/Abstract
- Project Narartive
- References Cited
- Biosketches
- Current and Pending Support
- Facilities and Resources
- Equipment
- Vertebrate Animals
- Human Subjects
- Select Agent Research
- Authentication of Key Biological and/or Chemical Resources
- Consortium/Contractual
- Resource Sharing Plan

#### **SCORED REVIEW CRITERIA**

- Candidate
- Career Development Plan/Career Goals and Objectives
- Research Plan
- Mentor(s), Co-Mentor(s), Consultant(s), Collaborator(s)
- Environment & Institutional Commitment to the Candidate

## **Additional Review Criteria and Considerations**

- Human subjects protection and inclusions
- Vertebrate animals
- Biohazards
- Resubmissions
- Training in responsible conduct in research
- Select agent research
- Resource sharing plan
- Budget and period of support

# NIH Small Research Grant Program (Parent R03) (Funding Opportunity Number (FOA): PA-16-162)

Purpose:

The NIH R03 funding opportunity announcement (FOA) supports discrete, well-defined projects that realistically can be completed in two years and that require limited levels of funding, such as:

- Pilot or feasibility studies
- Secondary analysis of existing data
- Small, self-contained research projects
- Development of research methodology
- Development of new research technology

The combined budget for direct costs for the two year project period may not exceed \$100,000. No more than \$50,000 in direct costs may be requested in any single year.

Tend to be institute specific in terms of targeted areas. Not all institutes have general R03 mechanisms.

#### **RESEARCH PLAN**

Specific Aims (1 pg)

Research Strategy (6 pg)

- Significance (1.5 2 pg)
- Innovation (0.5 pg)
- Approach (3.5 4 pg)

#### **OTHER SECTIONS**

- Project Description (abstract)
- Project Narrative (2-3 sentence description for public and Congress)
- Facilities and Resources
- Equipment
- Biosketches
- Vertebrate Animals
- Human Subjects
- Resource Sharing
- Letters of Support

# **SCORED REVIEW CRITERIA**

- Significance
- Investigator
- Innovation
- Approach
- Environment

## **KISS OF DEATH**

- Poor writing
- Mediocre idea
- Lack of feasibility
- Poor research design
- Flawed or missing interpretation of potential outcomes
- Poor funding for mentor (K99)
- Lack of institutional commitment
- Poor or modest productivity
- Insufficient rationale for need for training (K99)
- Concern about independence from mentor (K99)

#### **TIPS**

- Start writing at least 2 MONTHS before deadline
- FOLLOW INSTRUCTIONS.
- If you are struggling to write research strategy, it probably means that you do not have a well developed idea.
- Work closely with your mentor.
- Talk to your program officer (get on their radar screen).
- BE PRODUCTIVE.
- Write grant proposal using the style of the magazine *Scientific American*.
- Graphs and tables are excellent.
- Have others with experience read your grant. However, give them a finished draft and do so with ample time to modify your grant to address their criticisms.

# **BE RELENTLESS**