FY 2014 President's Budget: $31.3 billion

Research Project Grants: 53.0%

Research Training: 2.5%

Intramural Research: 10.0%

R&D Contracts: 11.0%

Research Centers: 10.0%

Other Research: 3.5%

Career Dev. 2.1%

Research Mgmt & Support: 5.0%

All Other: 2.0%

~$783 M Training
~$657 M Career
~$1.44 billion

Research Training and Career Development

**Research Awards**

- Pre-Bac Institutional Training Grant (T34)
- Predoctoral Institutional Training Grant (T32)
- Predoctoral Individual NRSA (F31)
- Predoctoral Individual MD/PhD NRSA (F30)
- Postdoctoral Institutional Training (T32)
- Postdoctoral Individual NRSA (F32)
- NIH Pathway to Independence (Pl) Award (K99/R00)
- Mentored Research Scientist Development Award (K01)
- Mentored Clinical Scientist Development Award (K08)
- Mentored Patient-Oriented RCDA (K23)
- Mentored Quantitative RCDA (K25)
- Independent Scientist Award (K02)
- Midcareer Investigator Award in Patient-Oriented Research (K24)
- Senior Scientist Award (K05)

**Career Stage**

- Pre-Bac
- Graduate/Medical Student
- Post Doctoral
- Early Career
- Middle Career
- Senior Career

**‘Informal’ Training and Career Development on RPGs and Supplements**

- Small Grant (R03)
- Research Project Grant (R01)
- Exploratory/Development Grant (R21)
# Approximate Numbers of Individuals in Research Training Supported with NIH Funds (FY 2011)

<table>
<thead>
<tr>
<th>Career Stage of Students, Trainees, Fellows, or Scholars</th>
<th>NIH Formal Training, Fellowship or Career Programs</th>
<th>Research Project Grants</th>
<th>NIH's Own Laboratories</th>
</tr>
</thead>
<tbody>
<tr>
<td>High School Students</td>
<td>500+</td>
<td>450+</td>
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<tr>
<td>K-12, Community College, and College Science Teachers</td>
<td>400+</td>
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<tr>
<td>College Students and Post-Baccalaureate Students</td>
<td>3,000+</td>
<td>5,000+</td>
<td>700+</td>
</tr>
<tr>
<td>Pre-Doctoral Students</td>
<td>10,000+</td>
<td>28,000+</td>
<td>500+</td>
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<tr>
<td>Post-Doctoral Fellows</td>
<td>6,800+</td>
<td>28,000+</td>
<td>3,800+</td>
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<tr>
<td>Early Career Investigators</td>
<td>5,000+</td>
<td></td>
<td>50+</td>
</tr>
<tr>
<td>Mid-Career and Senior Faculty</td>
<td>50+</td>
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</tbody>
</table>
To provide protected time for individuals to further develop their research expertise.
‘Career’ Awards = ‘K’ Awards

- **Individual Awards:**
  - Mentored
  - Independent
  - Depending on the award, for early, mid-, or senior career levels
  - Depending on the award, all doctorates or restricted to clinical doctorates

- **Institutional Awards (Mentored):**
  - Institution, not the individual, applies for the award
  - Curriculum/Program Development
Also consider……

- VA CDA awards
- AHA and ACS career development awards
- Other professional organizations
- Oregon Scientist Development Award from the MRF
Mentored K Awards

- K01: Mentored Research Scientist Development Award
- K07: Cancer Prevention, Control, Behavioral Sciences, and Population Sciences Career Development Award
- K08: Mentored Clinical Scientist Development Award for Laboratory Research
- K22: Research Career Award for Transition to Independence
- K23: Mentored Patient-Oriented Research Development Award
- K25: Mentored Quantitative Research Development Award
- K99/R00: NIH Pathway to Independence Award
- K12: *Institutional* Mentored Research Scientist Development Program (Clinical)
K01- Mentored Research Scientist Development Award

• Support for intensive, supervised career development in biomedical, behavioral, or clinical sciences leading to research independence.
• 5 year, 75% FT effort, can be up to salary cap
• Define the need for 3-5 years of additional supervised research, can be in new area for applicant or one that substantially adds to research capability of applicant
• Ideal candidate varies by institute
• Career hiatus, under-represented in research, disabled, disadvantaged background, interruption of research career
• Awarded thru Fogarty International Center
• Must work with low to middle income countries, as defined by World Bank
• Goal is to provide training in health issues of developing countries, build collaboration
• $75K to PI, $20K for travel, research; 3-5yr
• Must have US and LMIC mentors
• Must spend at least 50% time abroad
Eligibility:
- Intramural or extramural postdocs with 1-4 years of experience
- US Citizens and non-US Citizens
- Cannot have held a faculty position
- No more than 4 years of postdoc research training when submitted
- Cannot have been PI on R01, P01, etc (except R03, R21)

Mentored Phase (K99): 2 yrs or less
- Costs: Salary $50,000 + Fringe + $20,000 Research Expenses
- Total Costs < $90,000 /yr
- 0.75 FTE, Time to complete research, publish results

Independent Investigator Phase (R00): 3 yrs or less
- Costs: Salary + Fringe + $50,000 Research Expenses
- Total Costs < $249,000 /yr
• Phase 1, 1-2 years of mentored support

• Phase 2, 3 years of independent support

• Phase 2 contingent on securing independent research position, evaluation of research plan, positive career development

• Initial application must have proposal for research project as independent investigator in Phase 2
Goal is to support development of outstanding clinician research scientist
This is the equivalent of K23; go for K23 if patient-oriented
Limited to clinicians (MD/DO, clinical PhD, others with terminal doctorate)
75% FT, $25K for research
Prospective candidate should propose study, research training for all years consonant with previous training and needs
• Clinical degree or equivalent.
• Must have completed clinical training, including specialty/subspecialty training, prior to receipt
• Must be willing to spend minimum of 75% FT professional effort on research career development and clinical research.
• Must be citizen, noncitizen national, or permanent resident (no temp or student visas)
• No prior R01, R29, SBIR, P01 or P50 subproject, K08 or equivalent. R03 or R21 OK.
The Independent Career Development Award
Research Career Development Awards Number of entry-level awards
Success Rate of K01 Awards

- Reviewed
- Awarded
- Success Rate

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Reviewed</th>
<th>Awarded</th>
<th>Success Rate</th>
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<tbody>
<tr>
<td>2000</td>
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<tr>
<td>2013</td>
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</tbody>
</table>
Success Rate of K08 Awards

- Reviewed
- Awarded
- Success Rate

Applications and Awards

Fiscal Year

Success Rate

-20%
0%
20%
40%
60%
80%
100%

Success Rate of K23 Awards

Fiscal Year

Reviewed
Awarded
Success Rate
Success Rate of K99 Awards

Fiscal Year

Applications and Awards

Success Rate

Reviewed
Awarded
Success Rate
Administration Issues:

K Awards
• Most demand 75% FT commitment x 3-5 yrs
• Buys protected time, formal research training and mentored research experience
• Pay $75K, $90K, or 75% of true salary up to cap
• Usually $25K for research support but up to $50K
• For most, prior R03, R21 OK; others are not OK
• Cannot pay the other 25% from federal money
• MOST IMPORTANTLY, each institute may apply each PA differently
• Deadlines in Feb, June, Oct
Common Features: Eligibility

• Eligibility—Who can Apply?

  o Doctoral Degree (generally)
    • Some (K08, K23, K24) require clinical degree
  o US Citizen, Non-Citizen National, Permanent Resident (except K99/R00); Citizenship requirement met at time of award, not application
  o Previous NIH PD/PI may be Ineligible
    • Usually PD/PI on R03 or R21 is OK (except K99/R00)
    • PD/PI on R01 or subproject PD/PI on a P01 is NOT OK
  o For K99/R00:
    • Eligibility changed to target investigators who have no more than 4 years of postdoctoral research experience (previously 5 years)
    • If applicant achieves independence prior to initiating the K99, neither K99 or R00 phases will be awarded

Read the Eligibility Section of the Funding Opportunity Announcements (FOAs) carefully!
Common Features: Duration

• Duration: three, four, or five years
  ○ Extensions in time – award terms remain in effect; e.g. minimum effort requirement must be maintained during the extension period
• Entry level awards require a mentor, multiple mentors are OK
• Mentored Ks encouraged to apply for independent support during K
• K99 phase of the K99/R00 minimum 12 months; generally no more than 2 years
Common Features: Appointment & Effort

• **Appointment:**
  - For K eligibility purposes, individual must have a full-time appointment at applicant organization (*organization defines “full-time”*)

• **Level of Effort:**
  - Mentored awards require full-time effort (defined as at least 9 person months (i.e.75%) on research and the rest on other career development related activities)

• **At the time of application and initial award, all candidates must meet the full-time appointment requirement as well as the minimum 75% effort requirement.**

• **Note, some K programs permit 50% effort for clinical specialties**
Policy on Permanently Reducing Effort/Concurrent Support

• Reducing effort to 50% in final 2 years & replacing with effort on any peer-reviewed research grant or subproject

• The K award must be active when competing research grant application is submitted & must be in its final two years before the reduction in effort to 6 person-months (50% full-time effort) is permitted.

• Individual must:
  o Remain in a mentored situation
  o Be a PI on a competing NIH research grant application (R01, R03, R15, R21, R34, or equivalent from another Federal agency); or a sub-project director on a competing multi-component research, center grant, or cooperative agreement application (P01, P50, U01, etc. or equivalent application from another Federal agency).

• See section 12.3.6.2 of the NIH GPS:
Some costs vary widely across NIH ICs. Review specific Program Announcements carefully.

- **Salary/fringe benefits:**
  - Salaries capped between $75K and legislatively mandated cap (currently $183K)
  - Fringe benefits are over & above any salary cap
  - Salary supplementation OK, but must be with non-Federal funds and not require extra duties that would interfere with K activities

- **Research/development costs:**
  - Generally $25,000 to $50,000
  - Commonly used for: supplies, equipment, technical personnel, travel to research meetings or training, tuition/fees, computational services
Ancillary Personnel Support:
Generally not allowed--salary for administrative/secretarial support, support for mentors

F&A Costs: 8% Rate,
Base = Modified Total Direct Costs
• **Other income:**
  
  o Royalties and fees may be retained from activities such as scholarly writing, service on advisory groups, honoraria from other institutions for lectures or seminars, fees resulting from clinical, professional consulting, or other comparable activities.
  
  o Must not be required by research & training activities of the K award, and consistent with grantee institution’s policies.
  
  o No other income or fees may be retained

• **Change of Institution or Mentor:**
  
  ▪ Requires prior approval in writing of the NIH awarding component; contact NIH staff ASAP!
Application Procedures

• “K” applications electronically submitted using application package found with Funding Opportunity Announcement (FOA)
• See special instructions (Part I.7) in Application Guide
• Submission Dates:
  o February 12, June 12, October 12 (new)
  o March 12, July 12, November 12 (renewal, resubmission, revision)
• IC use of Career Awards is variable
• FOAs include a link to IC-specific information (salary support, research support costs, IC focus areas)
Read the FOA carefully; call the NIH awarding component with any questions