



**LIBR**

Laureate Institute for Brain Research



THE UNIVERSITY *of*  
**TULSA**

# K Club, Week 7

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# Today's Topics



- ▶ Budget + Budget Justification
- ▶ Plans and Statements of Mentor and Co-Mentors
- ▶ Mentor and Co-Mentor Biosketches
- ▶ Action Items

# K Application Sections

## Research

- **Specific Aims** (1 page)
- **Research Strategy** (6 pages: **Significance, Innovation, Approach**)
- **Training in Responsible Conduct of Research** (1 page)
- **Project Summary / Abstract** (30 lines of text)
- **Project Narrative** (3 sentences)
- **Protection of Human Subjects from Research Risk**
- **Inclusion of Women and Minorities**
- **Inclusion of Individuals Across the Lifespan**
- **Inclusion Enrollment Report**
- **Budget + Budget Justification**
- **Bibliography + References Cited**

## Career

- **Candidate Information and Goals for Career Development** (6 pages: **Candidate Background, Career Goals/Objectives, Career Development/Training Plan**)
- **Plans and Statements of Mentor and Co-Mentors** (6 pages)
- **NIH Biosketches** for you, Mentor, Co-Mentors (max 5 pages each)
- **Three Letters of Reference**
- **Letters of Support from Collaborators, Contributors and Consultants** (6 pages max)
- **Cover Letter**

## Setting

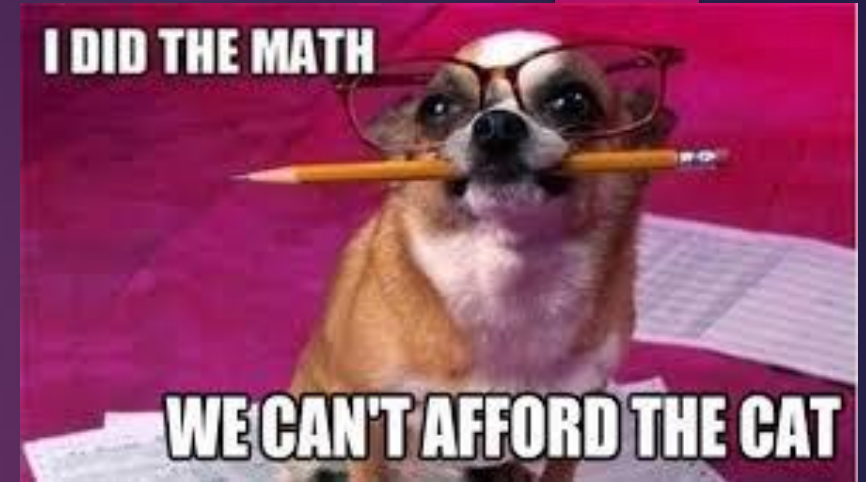
- **Facilities and Other Resources**
- **Equipment**
- **Environment and Institutional Commitment to Candidate**
- **Resource Sharing Plan**





# Making your Budget

- ▶ Make sure you know based on your FOA (funding announcement) how much you have to spend for each year of your grant
- ▶ Talk to your University's Grants Office or Grants Person and see if they have a budget template for you to use



	Activity Code	Minimum Effort	Salary Cap	Research Costs Cap	Maximum Award	Typical Duration
Mentored Career Development Awards	<b>K01</b>	75%	\$90,000	\$50,000	Calculated	4 years
	<b>K08, K23 (non-neurosurgeons)</b>	75%	\$100,000	\$50,000	Calculated	4 years
	<b>K08, K23 (neurosurgeons)</b>	50%	\$100,000	\$50,000	Calculated	4 years
Pathway to Independence	<b>K99</b>	75%	\$75,000 (PhD) or \$100,000 (practicing physician-scientist)	\$20,000	Calculated	2 years
	<b>R00</b>	75%	Legislative Cap	Contingent	\$249,000 Total Costs	3 years
NIMH Intramural Post-Doc	<b>K22</b>	75%	\$90,000 (PhD) or \$100,000 (MD)	\$50,000	Calculated	5 years
NIMH Intramural Faculty	<b>K22</b>	50%	Legislative Cap	Contingent	\$300,000 Direct Costs	3 years
Mid-Career Award	<b>K24</b>	25%-50%	Legislative Cap	\$50,000	Calculated	5 years

# Budget

- ▶ For the R00 phase, the total cost allowed is \$249,000/year across Centers
- ▶ This includes:
  - ▶ Salary
  - ▶ Fringe benefits = cost of health insurance, vacation/sick days, pension, etc.
  - ▶ Research costs
  - ▶ Travel costs
  - ▶ Indirect costs = Your University's facilities and administrative costs, reimbursed at 8% of your total direct costs



# Budget: Base Salary

- ▶ Talk with your **Primary Mentor** and your Grants Office/Person about how to estimate your base salary
- ▶ Your base salary will be multiplied by your University's fringe rate (e.g., 25%) to get the total fringe rate per year





# How Much of my Time or “Effort” do I need to put in my Budget?

- ▶ K99: Minimum of 9 months (75% full time professional effort) specifically devoted to \*THIS\* project
- ▶ R00: Minimum of 9 months (75% full time professional effort) but this time does NOT all have to be specifically devoted to this project





# Other Allowed Budget Items for K99/R00

- ▶ Tuition and fees related to career development
  - ▶ Make sure any classes, workshops, etc. listed in your **Training Plan** are budgeted in here!
- ▶ Research-related expenses, such as supplies, equipment and technical personnel (research assistants)
  - ▶ Participant payment costs: \*\*make sure that the # subjects matches the # listed in your **Approach** and your **Planned Enrollment Table**\*\*
- ▶ Travel to research meetings or training
  - ▶ Make sure all travel listed in your **Training Plan** is covered here!
- ▶ Statistical services including personnel and computer time
- ▶ Consultants (unless they already work at your University)
- ▶ [Salary for Mentors, secretarial and administrative assistants, etc. is not allowed!]

# For K99/R00

- ▶ You create a **Budget** for each year of the 5 year grant
- ▶ Luckily for you, you only have to provide a justification of your budget for the K99 phase (Years 1 and 2)
- ▶ Let's look at an example K99 Year 1 budget I made up
- ▶ Then we can create a document to justify the budget



	Base Salary	Calendar Months	Requested Salary	Fringe Benefits (25% * Requested Salary)	Total Requested
Senior/Key Personnel	\$80,000	9	\$60,000	\$15,000	\$75,000

**Example K99 budget for Years 1 and 2**

Max NIMH salary = \$75,000

Max research = \$20,000 per year

So that means Direct Costs cannot be > than \$95,000

You have to justify each expense in a separate document

	Base Salary	Calendar Months	Requested Salary	Fringe Benefits (25% * Requested Salary)	Total Requested
Senior/Key Personnel	\$80,000	9	\$60,000	\$15,000	\$75,000
Other Personnel (Post-Docs, Grad Students, Undergrads, Secretarial)					\$0
Equipment					\$0

### Example K99 budget for Years 1 and 2

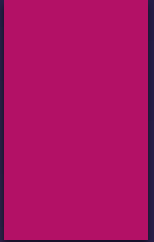
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Equipment					\$0
Travel, Domestic	\$5,000				\$5,000
Travel, Foreign					\$0

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Travel, Foreign					\$0
Participant/Trainee Support Costs (including Tuition)					\$0

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Participant/Trainee Support Costs (including Tuition)					\$0
Other Direct Costs:					
Materials and Supplies	\$1,000				\$1,000
Publication Costs	\$2,000				\$2,000

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Publication Costs	\$2,000				\$2,000
Consultant Services	\$2,000				\$2,000
Research Assistant	\$10,000				\$10,000
Other Project Costs					\$0

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Other Direct Costs:					
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				<b>Total Direct Costs</b>	<b>\$95,000</b>

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Publication Costs	\$2,000				\$2,000
Consultant Services	\$2,000				\$2,000
Research Assistant	\$10,000				\$10,000
Other Project Costs					\$0
				<b>Total Direct Costs</b>	<b>\$95,000</b>
				Indirect Costs (Rate of 8% * Total Direct Costs)	+ \$7,600
				<b>Total Direct and Indirect Costs</b>	<b>\$102,600</b>

## Example K99 budget for Years 1 and 2

Max NIMH salary = \$75,000

Max research = \$20,000 per year

So that means Direct Costs cannot be > than \$95,000

You have to justify each expense in a separate document

# What do you need to include in the **Budget Justification** for this example?

## ▶ **Personnel**

- ▶ The calculation of your salary
- ▶ Mention that your Primary Mentor and Co-Mentors are unsalaried and what their roles in the project are (briefly)

## ▶ **Materials and Supplies**

- ▶ Laptop, who is to use it, and what is it for, \$1000 per year

## ▶ **Publication Costs**

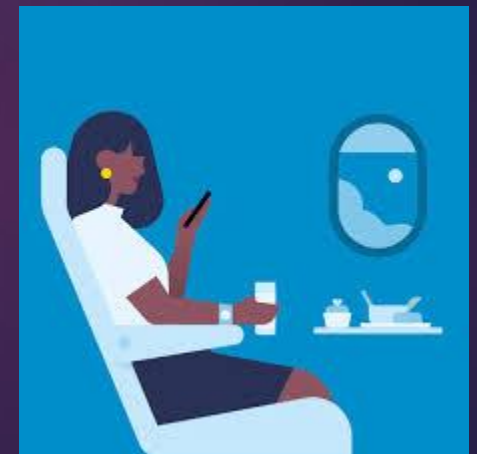
- ▶ What are these costs for from the journal and how many papers can you cover with these costs each year for \$2000

## ▶ **Domestic Travel**

- ▶ Give details related to cost of each trip and where the trip is, is it related to didactics travel or conference travel, etc., \$5000 per year

## ▶ **Consultation Fees**

- ▶ Explain calculation of these fees based on cost of the consultant per hour and how often you will meet with the consultant



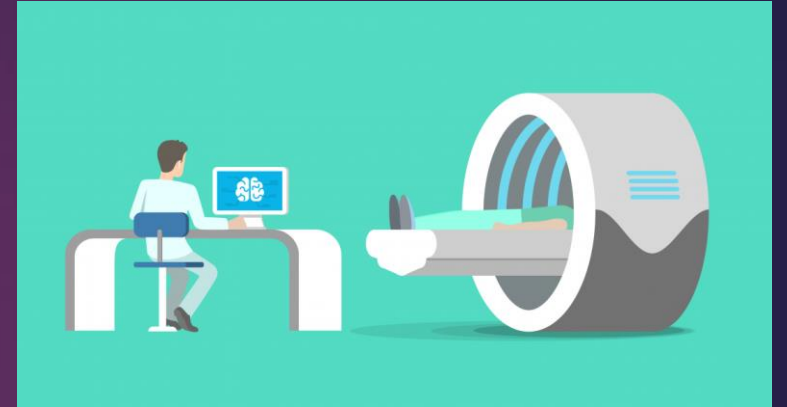
# Last two things to include in **Budget Justification**:

## ▶ **Facilities**

- ▶ In line with NIH K guidelines, the budget requests *indirect costs are funded at 8%* for the grant proposal.

## ▶ **Institutional Support**

- ▶ Full salary support for the investigator and any additional assessment staff for the project will be provided by your University.
- ▶ Your University will also provide you with the necessary space and physical resources to complete the proposed research project.





## Plans and Statements of Mentor and Co-Mentors (6 pages max)

### ▶ Primary Mentor Statement:

- ▶ Information on their research qualifications and previous experience as a research supervisor
- ▶ Plan describing the nature of the supervision and mentoring that will occur during the proposed K99 award period, including how your scientific and professional independence will be promoted
- ▶ Description of the elements of the planned research training and career development, including any formal coursework
- ▶ Plan for transitioning you from the mentored phase to the independent phase of the award and a description of how the mentor will help you achieve scientific independence
- ▶ Statement identifying components of the proposed research that you, the K99 applicant, can take when you transition to research independence and that can be part of your independent (R00) phase award
- ▶ A statement affirming any resources and reagents that can be taken by you to the independent phase of the award

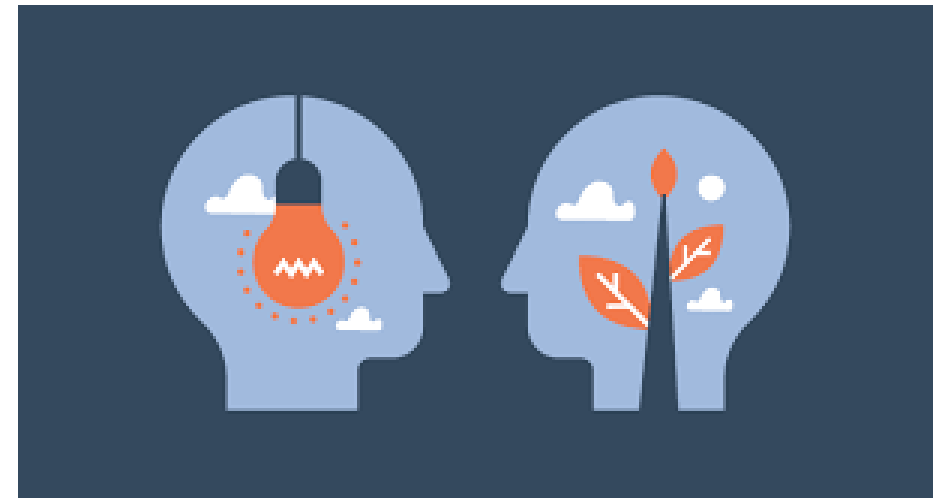


# Plans and Statements of Mentor and Co-Mentors

(6 pages max)

▶ **Primary Mentor Statement (CONTINUED):**

- ▶ The mentor should have sufficient independent research support to cover the costs of the proposed K99 research project in excess of the allowable costs of this award, and should state that needed costs will be covered
- ▶ If funds are needed beyond what will be provided by the mentor, the source of additional funds should be identified and documented in a letter signed by the responsible individual
- ▶ The mentor must state that they will write and provide annual evaluations of your progress for the initial mentored phase as required in the annual progress report
- ▶ The mentor must agree to assist you in transitioning to an independent research position by guiding you during the job search and negotiation process and by commenting on the R00 phase application
- ▶ The mentor must provide evidence of expertise, experience, and ability to guide you in the organization, management and implementation of the proposed clinical trial, ancillary or feasibility study and help you to meet timelines



# Plans and Statements of Mentor and Co-Mentors

(6 pages max)

## ▶ **Co-Mentor Statement:**

- ▶ Information on their research qualifications and previous experience as a research supervisor
- ▶ Plan describing the nature of the supervision and mentoring that will occur during the proposed K99 award period, including how your scientific and professional independence will be promoted
- ▶ Description of their role in the didactics, coursework, and mentoring
- ▶ Plan for transitioning you from the mentored phase to the independent phase of the award and a description of how the mentor will help you achieve scientific independence
- ▶ Provide evidence of expertise, experience, and ability to guide you in the organization, management and implementation of the proposed clinical trial, ancillary or feasibility study and help you to meet timelines



## Plans and Statements of Mentor and Co-Mentors (6 pages max)

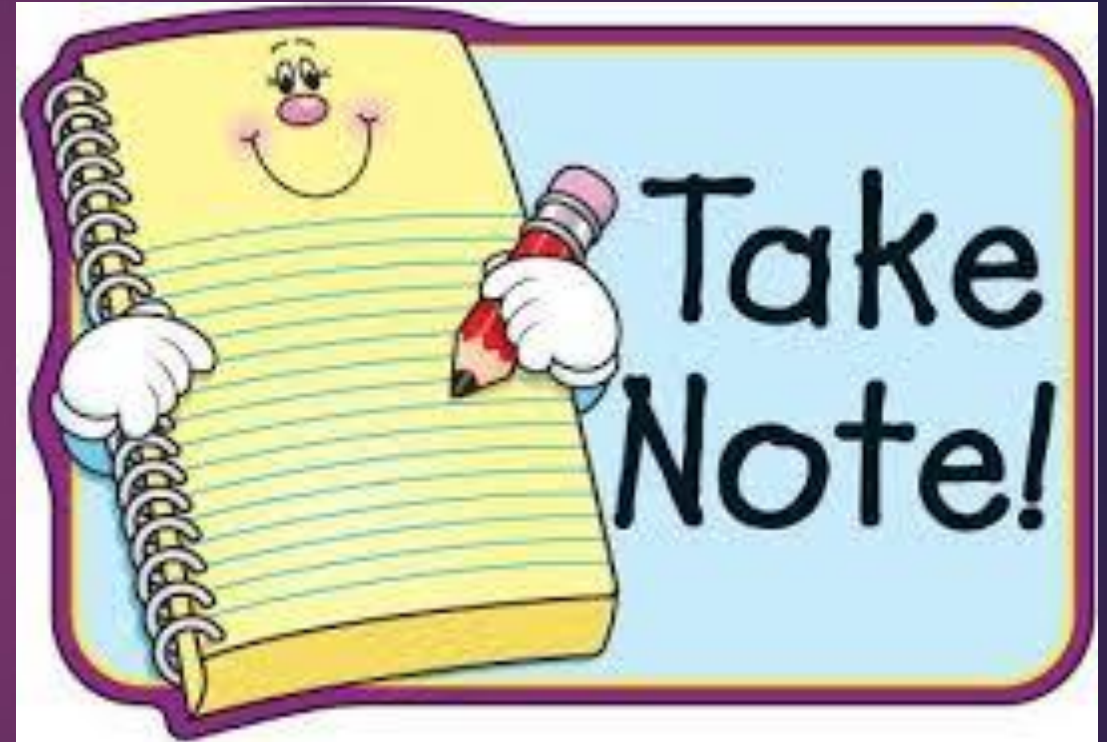
- ▶ The K99/R00 goals and the activities mentioned in your **Candidate Plan for Career Development/Training Activities** section need to be covered in this section
- ▶ How will your mentorship team help you achieve these goals and promote these activities?
- ▶ You will likely be writing the first draft of these sections for your Primary Mentor and Co-Mentors
- ▶ That's not such a bad thing, so that you can make sure that these Mentor statements match up with other parts of the grant you have already written!





# Primary Mentor and Co-Mentor NIH Biosketches

- ▶ I recommend asking these people whether you they want you to edit their Section A of their Biosketches to reflect their roles in your K application, or they will do it
- ▶ **Make sure that the following topics are covered in their Biosketch Section A:**
  - ▶ Maintaining a record of, and training in rigorous and unbiased experimental design, methodology, analysis, interpretation and reporting of results
  - ▶ Efforts taken to enhance diversity in the biomedical research workforce, and to ensure the research environment is inclusive, safe, and supportive for trainees from all backgrounds
  - ▶ Commitment to fulfilling the need of the trainees to complete their training in a timely fashion with the skills, credentials and experiences to transition into independent careers in the biomedical research workforce





# Action Items

- ▶ Revise your **Career Development/Training Plan** section based on **Primary Mentor** feedback
- ▶ Write a draft of your **Budget + Budget Justification** and **Plans and Statements** from **Mentor and Co-Mentors** and get feedback from your **Primary Mentor and Co-Mentors**
- ▶ Ask **Primary Mentor and Co-Mentors** about edits to their **NIH Biosketches**

