NIH K Award Proposals in a Nutshell
Types of K Awards

• K Awards are also known as Career Development Awards (CDA)
• There are currently 14 different types of K Awards
  • K01 Mentored Research Scientist Development Award
  • K02 Independent Scientist Award
  • K05 Senior Scientist Research and Mentorship Award
  • K07 Academic Career Award
  • K08 Mentored Clinical Scientist Research Career Development Award
  • K12 Mentored Clinical Scientist Development Program Awards
  • K18 Short Term Career Development Award in the Environmental Health Sciences for Established Investigators
• K22 Career Transition Awards
• K23 Mentored Patient-Oriented Research Career Development Award
• K24 Midcareer Investigator Award in Patient-Oriented Research
• K25 Mentored Quantitative Research Development Award
• K26 Midcareer Investigator Award in Mouse Pathobiology Research
• K30 Clinical Research Curriculum Development
• K99/R00 NIH Pathway to Independence Award

– This list is subject to change. Check the K-Kiosk to verify that a specific K-Award Program still exists:

http://grants.nih.gov/training/careerdevelopmentawards.htm
The K Award Proposal

In preparation for creating the proposal in the PennERA Proposal Development system you should:

• Verify that the Principal Investigator is registered in the NIH Commons and has an active Commons ID with an affiliation with the University of Pennsylvania
  – Contact your ORS or ORSS staff member for help with this

• Read the Program Announcement for the specific K Award being applied for
  – This will provide you with important proposal related information including the Funding Opportunity Number, the purpose of the specific K Award, submission deadline dates, and other specific requirements for the proposal
• Read the SF424 supplemental instructions specific to K awards (Part I Section 7) of the document located at: http://grants1.nih.gov/grants/forms.htm

• Examples of exceptions from the standard SF424 instructions specifically applicable to K proposals:
  – The type of application, which is generally New since most K awards are not Renewable nor can they be Supplemented
  – If the PD/PI is not currently located at Penn you need to make sure that they have a Commons ID that is affiliated with Penn
  – Other documents and their page limits that must be included as part of the application unique or specific to K proposal
– Usually only the PD/PI is listed as Senior/Key personnel. Mentors/Co-Mentors should be assigned the Project Role of “Other Professional” and then manually enter “Mentor” or “Co-Mentor” in the description field.

– K award proposals are not modular; therefore as you are answering the set-up questions in PennERA Proposal Development make sure you check No to the Modular Budget question.

– A cover letter is required for mentored K proposals and strongly recommended for independent K proposals.
— Budget should include only the PD/PI base salary and person months with the requested salary and EBs; most K programs contain a minimum effort requirement of 75% or nine academic person months.

• Sections B-E of the budget are usually left blank.
• Section F, Other Direct Costs: in the material and supplies field (F.1) enter the total research and development support being requested for the initial year.
• F&A costs should be calculated at the allowed 8% of MTDC.
• We emphasize again that reading thoroughly the specific program announcement and the SF424 instructions are very important to creating a proposal that will successfully pass through the various levels of review at Penn as well as the systemic validations at both Grants.gov and the NIH Commons, saving us all time and effort in re-working and resubmitting proposals.
K Proposals and PennERA PD

- Create a new system to system (S2S) proposal.
- Proposal Creation steps
  - Choose “Select from Grants.Gov Opportunities”.
  - Enter the specific K proposal funding opportunity announcement (FOA) number in the search field.

<table>
<thead>
<tr>
<th>Opportunity Number</th>
<th>CFDA Number</th>
<th>Competition ID</th>
<th>$2S</th>
<th>Open Date</th>
<th>Agency</th>
<th>Title</th>
<th>Spin View</th>
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</thead>
<tbody>
<tr>
<td>PA-11-194</td>
<td>ADOBE-FORMS-B1</td>
<td>✓</td>
<td>12-May-2011</td>
<td>Department of Health and Human Services</td>
<td>Mentored Patient-Oriented Research Career Development Award (Parent K23)</td>
<td>SPIN</td>
<td></td>
</tr>
</tbody>
</table>
• Setup Questions tab
  – Screen template should default to “424 R&R NIH Dynamic (electronic submission)” – DON’T CHANGE!
  – Verify that the correct opportunity has been chosen.
• Be sure to check Close Date!!!
• Setup Questions tab (continued)
  – Answer remaining questions making special note of the following:
    • Verify auto-populated Deadline Date.
      DON’T FORGET ABOUT WEEKENDS AND HOLIDAYS!
    • Make sure “yes” is checked for Cover Letter if a requirement from the FOA or the SF424 instructions.
    • Answer “No” to the multiple PI question: Multiple PIs are not allowed on K awards.
    • Answer “No” to the modular budget question and use “Budget by Total Project “ as the budgeting model.
    • Select “Upenn – Research” as the Program Type.
Completing the PD Proposal Record

• Keep the FOA and specific SF424 instructions handy and refer to them as you complete the balance of the proposal.

• K Award Documents tab
  – Upload documents into their proper location as required in the FOA and SF424 instructions.
  – Pay close attention to specific page limitations and the usual margin, font type, and size requirements.
  – There is no draft/final option. Notify PennAORs@lists.upenn.edu when record is final and ready for review and submission.
• Other Attachments tab
  – Some FOAs require a list of referees upload to this tab in addition to listing in the cover letter.

• Cover Letter tab
  – Answer “yes” to cover letter question on Setup Questions tab!
  – Required for mentored K proposals; must include list of referees.
  – Recommended for all non-mentored K proposals.

• Budget tab
  – NIH recognizes that some S2S software may need more detail than required by NIH; proposals will not fail NIH validations if correctly prepared.
• **Budget Items tab**
  
  – All personnel are added on the Budget Items tab.
  
  – Check SF424 instructions and the specific FOA for information regarding required effort and salary limits for the candidate (PD/PI), Role titles, Biosketches and Current and Pending Support for the candidate, Mentor, and any Co-Mentors.
  
  – For Research and Development costs, enter one expense line, using a description of “Research Development Costs” and a budget category of “Supplies”.

• F&A tab
  – For all but K99/R00 proposals
    • Change Sponsor Calculation Method to “Auto (predefined bases/rates)”.  
    • Allow the screen to refresh and enter 8.000 in the box and select the Save icon.
• F&A tab (continued)
  – K99/R00’s use the 8% F&A rate in Year 1-2 only and thereafter use the Penn’s research F&A rate (currently 60% or MTDC).
  • Choose a Sponsor Calculation Method of “Manual Calculation (lump sum by period)”.  
  • Manually enter the correct values for Years 1 and 2.  
  • Years 3-5 will already have the correct values.
Need more PennERA help?

• Check PennERA website for the Career Development Award Proposal (K-Mechanisms) Guide.
  http://www.upenn.edu/researchservices/PennERA.html

• Contact the PennERA Help Desk if you have technical problems or can’t figure out how to do something in PD that’s required by the sponsor.
  PennERAhelp@lists.upenn.edu
In conclusion...

• Do a final review of the proposal in preparation for routing and approval.
• Remember to notify ORS pre-award when the proposal record is final.
• Please do not hesitate to contact ORS at any time with questions or concerns as you progress with your proposal.

PennAORs@lists.upenn.edu