# R00 Application Submission Instructions

**Notes:**

* Transition from the mentored phase to the independent phase is intended to be continuous in time and, except in unusual, extenuating circumstances, the awarding NIH institute or center will not extend the K99 phase beyond the 2-year limit. To activate the independent phase of the grant, individuals must have been offered and accepted a tenure-track, full-time assistant professor position (or equivalent) by the end of the K99 project period. Principal investigators (PIs) are encouraged to discuss job offers at for-profit organizations with NIH program staff well in advance of accepting such an offer.
* The application for the R00 phase of the award should be submitted no later than 2 months before the proposed activation date of the R00 award by the R00 phase recipient organization.
* Applicants are required to remain on the K99 award for at least 1 year before requesting transition to the R00 phase.

Follow the instructions below for the R00 application submission.

The recipient institution must submit the R00 application on behalf of the PI using the PHS 398 no later than 2 months from the K99 project period end date. The R00 application must include the following:

* Face page signed by the R00 phase institutional representatives.
* New project description page (Form page 2).
* Detailed budget pages (Form pages 4 and 5), non-modular budget for initial budget and entire period.
* Biographical sketches.
* New Resources page.
* Progress report covering the K99 support period.
* Updated Research Plan for the R00.
* Just-in-time information, including current Other Support, Institutional Review Board and Institutional Animal Care and Use Committee approvals.
* New Checklist.
* Data Management and Sharing Plan.
* Updated Authentication of Key Biological and/or Chemical Resources (as appropriate).
* Updated Vertebrate Animals (as appropriate).
* Updated Biohazards (as appropriate).
* The Abstract and Specific Aims should be updated and briefly described in two to three pages to reflect current plans for the R00 phase.
* A letter from the department or division chair including:
  + The candidate’s academic appointment, bearing in mind that it must be tenure-track assistant professor (or equivalent).
  + Space, facilities, resources, and other support provided to conduct the proposed research.
  + The sponsoring institution must provide protected research time (a minimum of 9 person-months/75 percent of the candidate’s full-time professional effort) at least for the duration of the R00 award. Describe distribution of applicant’s responsibilities.
  + The start-up package and other institutional support must be described in detail and must be comparable to that given to other faculty recently hired into tenure-track or equivalent faculty positions. Institutions must provide a start-up and salary package equivalent to that provided to a newly hired faculty member who does not have a grant. Specify dollar amount and conditions/restrictions to spending. Certify that the start-up package is comparable to that given to other recently hired faculty.
  + R00 funds may not be used to offset the typical start-up package or to offset the usual institutional commitment to provide salary for tenure-track (or equivalent) assistant professors who are hired without grant support. Certify in letter.
  + Confirmation that the applicant’s appointment is not contingent on the transfer of the award to the institution.
  + The institution's commitment to the candidate and plans for their career development.
  + For non-U.S. citizen/permanent residents, the applicant institution is responsible for determining and documenting in the application that the applicant investigator's visa will allow them to remain in the United States for the duration of the proposed independent research (R00) phase. Indicate status in letter.
* A final evaluation statement by the K99 phase mentor.
* Applicants are encouraged (but not required) to apply for independent positions at departments and institutions different from where they conducted their mentored research. It is important for all applicants, but especially for applicants who intend to stay at the mentored phase institution for the independent phase, to provide a plan by which they will separate from their mentor and advance to independence.
* Applicants for the R00 phase are to include a plan and timeline for submitting an independent research grant application in a research area relevant to the mission of the NIH awarding components.

The total cost amount (direct + Facilities & Administrative [F&A]) for each of the 2 years may not exceed $249,000. The current effective F&A rate should be used.

Submit the original application electronically (as a single combined document) to [aitraininghelpdesk@niaid.nih.gov](mailto:aitraininghelpdesk@niaid.nih.gov).