K99/R00 - Awards
“Pathway to Independence”

1-2 years of Mentored Research + 3 years of Independent Research

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cevans@ucla.edu
PURPOSE:

K99 - To support the initial phase of a Career/Research Transition award program that provides 1-2 years of mentored support for highly motivated, advanced postdoctoral research scientists.

R00 - To support the second phase of a Career/Research Transition award program that provides 1 -3 years of independent research support (R00) contingent on securing an independent research position. Award recipients will be expected to compete successfully for independent R01 support from the NIH during the R00 research transition award period.

Bottom Line
2 years mentored research – move to faculty slot – 3 years R01-like funding

Guidelines
Questions and Answers
http://grants.nih.gov/grants/new_investigators/QsandAs.htm#1741
REQUIREMENTS/ELIGIBILITY:

K99 – is a rare training grant in that it will support non-US citizens but one must be in the US to conduct all phases of training grant.

- Candidate must be at the time of application submission (or resubmission) in mentored, postdoctoral training positions.
- Candidates for this award must have earned a terminal clinical or research doctorate (including Ph.D., M.D., D. O., D.C., N.D., D.D.S., D.V.M., Sc.D., D.N.S., Pharm. D., or equivalent doctoral degree, or a combined degree); and have no more than 4 years of postdoctoral research experience since completing the requirements of the doctoral degree (resubmissions must also comply with this requirement). Note: this time can be extended due pregnancy, parenting, military service and other personal issues reducing ability to work.

- If an applicant achieves independence (any faculty or non-mentored research position) before a K99 award is made, neither the K99, nor the R00 award, will be made.
- The second (R00) phase will provide up to 3 years of independent research support, which is contingent on satisfactory progress during the K99 phase and an approved, independent, tenure-track (or equivalent) faculty position. The two award phases are intended to be continuous in time. Therefore, although exceptions may be possible in limited circumstances, R00 awards will generally only be made to those K99 PDs/PIs who accept independent, tenure-track (or equivalent) faculty positions by the end of the K99 award period.

- I have heard of NIH getting sticky giving R00 awards for faculty staying in the same institution as their R00 and with questionable job titles...consider getting an independent job is now tough and job seeking needs to occur pretty soon after receiving the award....

Check with a NIH project officer.
PARTICIPATING INSTITUTES *(note underlined in italic)*:

National Cancer Institute *(NCI)*
National Eye Institute *(NEI)*
National Heart, Lung, and Blood Institute *(NHLBI)*

**National Human Genome Research Institute (NHGRI)**
National Institute on Aging *(NIA)*
National Institute on Alcohol Abuse and Alcoholism *(NIAAA)*
National Institute of Allergy and Infectious Diseases *(NIAID)*
National Institute of Arthritis and Musculoskeletal and Skin Diseases *(NIAMS)*
National Institute of Biomedical Imaging and Bioengineering *(NIBIB)*

*Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD)*
National Institute on Deafness and Other Communication Disorders *(NIDCD)*
National Institute of Dental and Craniofacial Research *(NIDCR)*
National Institute of Diabetes and Digestive and Kidney Diseases *(NIDDK)*

**National Institute on Drug Abuse (NIDA)**
National Institute of Environmental Health Sciences *(NIEHS)*
National Institute of General Medical Sciences *(NIGMS)*
National Institute of Mental Health *(NIMH)*
National Institute of Neurological Disorders and Stroke *(NINDS)*

**National Institute of Nursing Research (NINR)**
National Library of Medicine *(NLM)*
National Center for Complementary and Alternative Medicine *(NCCAM)*
National Center for Research Resources *(NCRR)* *(No Longer participating per NOT-OD-12-088)*
Office of Dietary Supplements *(ODS)*
Division of Program Coordination, Planning and Strategic Initiatives, Office of Research Infrastructure Programs *(ORIP)*

**Special Note:** Applicants are cautioned that not all NIH Institutes and Centers (ICs) participate in this program, and that consultation with relevant IC staff prior to submission of an application is strongly encouraged. The participating ICs have different emphases and program requirements for this program. Therefore, a prospective applicant is urged to consult the **Table of IC-Specific Information, Requirements and Staff Contacts** to determine whether the planned research and training falls within the mission of one of the participating NIH ICs *(CRITICAL – TALK TO PROGRAM STAFF!)*
# NIH CAREER DEVELOPMENT (K) GRANTS

## Competing Applications, Awards, Success Rates and Total Funding

by NIH Institutes/Centers and Activity Code

Made with Direct Budget Authority Funds

Fiscal Years* 2004 - 2013

**Excludes awards made with American Recovery and Reinvestment Act (ARRA) funds.**

Select AutoFilter to view totals or change display criteria.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Activity Code</th>
<th>NIH Institute / Center</th>
<th>Number of Applications Reviewed</th>
<th>Number of Applications Awarded</th>
<th>Success Rate</th>
<th>Total Funding</th>
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<tbody>
<tr>
<td>1603</td>
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<td>NCI</td>
<td>134</td>
<td>34</td>
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<td>1613</td>
<td>K99</td>
<td>NIA</td>
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<td>11</td>
<td>35.5%</td>
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<tr>
<td>1614</td>
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<tr>
<td>1622</td>
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<tr>
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<td>Activity Total</td>
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<td>203</td>
<td>21.9%</td>
<td>$21,136,192</td>
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*Fiscal Years 2004 - 2013*
UCLA NEUROSCIENCE-RELATED
NIH FUNDING: $ and Ranking
(NIH RePORTER 2012 and 2014)

Figure 1

UCLA K99 (funded/applied)
NATIONAL DATA 2012 (%)
NCI = 1 / 7 apps 25.4%
NEI = 0 / 1 app 14.3%
NHLBI = 7 / 18 apps 22.3%
NIA = 0 / 6 apps 35.5%
NIAAA = 0 / 4 apps 38.9%
NIAMS = 0 / 4 apps 14.3%
NIBIB = 0 / 1 app 15.2%
NICHD = 0 / 7 apps 16.4%
NIDA = 2 / 3 apps 50.0%
NIDCR = 2 / 7 apps 21.4%
NIDDK = 0 / 2 apps 18.5%
NIGMS = 0 / 6 apps 11.0%
NIMH = 3 / 12 apps 22.6%
NIHMD = 0 / 1 app ?
NINDS = 1 / 12 apps 17.6%
NINR = 0 / 1 app 60%
What Reviewers Will Look For?

1) Good track record – high impact publications – and publications that have primary authorship. *Explain contributions to “team science” multi-author publications (you can do this easily with the new NIH Bio format).*

2) Preliminary data – innovation and potential impact of the research project to the NIH institute you are applying to. *Don’t over do this and use your publications where you can* - remember this is a training grant need to demonstrate good technique transitions and training base for accomplishing the desired project and transitioning to the ROO phase.

3) The training plan – which is probably more important than the research ideas and record of accomplishment. *This is a place reviewers can get very picky, especially if they are not swayed by the science. Staying in one location and area of research for all training is considered a negative.*

4) Good reference letters from well-established and high-impact researchers in the field. *Don’t go to your friends down the hall – cultivate letters from faculty that are relevant in your area and ask your mentor to help out here.*

5) Mentor/training environment is critical. *Positives NIH grants for mentor, training track record (use co-mentor if any weaknesses), institutional opportunities, different from PhD mentor/environment.*
THE NEW NIH CV FORMAT IS YOUR FRIEND - don’t delay in using it (after May 25, 2015 you must)

Snapshot of who you are, what you are good at, what you have done, what you want to do and where you want to be:

Big deal for 1st impression that usually never goes away in reviewers!

NAME: Christopher J. Evans
POSITION TITLE: Professor
eRA COMMONS USER NAME (credential, e.g., agency login): EVANS2

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>Completion Date</th>
<th>FIELD OF STUDY</th>
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<tr>
<td>Westminster University, UK</td>
<td>B. Sc.</td>
<td>1976</td>
<td>Life Sciences</td>
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<tr>
<td>MRC/Imperial College, London University, UK</td>
<td>Ph.D.</td>
<td>1980</td>
<td>Peptide Chemistry</td>
</tr>
<tr>
<td>Stanford University, Palo Alto, CA</td>
<td>Post Doc</td>
<td>1980-1982</td>
<td>Peptide Neurochemistry</td>
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A. Personal Statement
As Director of the UCLA Brain Research Institute, I have been supporting the neurorepair and Parkinson’s research community at UCLA for over ten years. I also was a member of the Internal Advisory Board on the prior Udall Center at UCLA, and I have collaborated extensively with the Co-Director of this proposal, Dr. Nigel Maidment (see references below and section C). My research interests concern opioid system and my research has involved the characterization of the molecules that constitute the endogenous opioid system and their regulation during acute and chronic opioid treatments. Current research includes dissecting mesolimbic circuitry and understanding perturbations of the circuitry in pain states and chronic opioid treatments. I am extremely familiar with the operation and administration of NIH Center grants and have directed a NIDA P50 Center (the Center for Study of Opioid Receptors and Drugs or Abuse or CSORDA) now in its 26th year of continuous funding. Dr. Nigel Maidment has been the Co-Director of this NIDA Center for many years, and we have worked well together overseeing the science and administration of the Center. Given the overlap in the reward circuitry and the dopaminergic circuitry affected in Parkinson’s disease, there is clearly synergistic interest between the fields with regard to reagents and circuitry analysis. As an advisor for this Udall Center, I will be able to provide expertise both for the administration and scientific aspects of the proposed center.

### B. Positions and Honors

#### Positions and Employment

<table>
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<tr>
<th>Year</th>
<th>Position</th>
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<tbody>
<tr>
<td>1982-1990</td>
<td>Research Associate, Stanford University, CA</td>
</tr>
<tr>
<td>1990-1994</td>
<td>Assistant Professor, Dept. of Psychiatry and Biobehavioral Sciences, UCLA</td>
</tr>
<tr>
<td>1994-Present</td>
<td>Professor, Dept. of Psychiatry and Biobehavioral Sciences, UCLA</td>
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#### Other Experience and Honors

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<tr>
<th>Year</th>
<th>Experience</th>
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<tbody>
<tr>
<td>1984-1990</td>
<td>Co-Organizer/Teacher of Annual Cold Spring Harbor, Molecular Probes of the</td>
</tr>
<tr>
<td></td>
<td>Nervous System</td>
</tr>
<tr>
<td>1998-2008</td>
<td>Member of NIDA Center Review Committee</td>
</tr>
<tr>
<td>1999-Present</td>
<td>Stefan Hatos Chair in Neuropharmacology &amp; Director of the NPI Hatos Research Center</td>
</tr>
<tr>
<td>2001</td>
<td>Chair, NIDA Center Review Site Visit Team</td>
</tr>
<tr>
<td>2002-2004</td>
<td>Associate Director for Research, UCLA Brain Research Institute</td>
</tr>
<tr>
<td>2003-2015</td>
<td>Member of the External Advisory Board for the UCLA Udall Center</td>
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<tr>
<td>2004-Present</td>
<td>External Advisory Committee, Charles Drew University of Medicine &amp; Sciences</td>
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<td></td>
<td>Minority Institutions’ Drug Abuse Research Development Program (MIDARP)</td>
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<tr>
<td>2005-Present</td>
<td>Director, UCLA Brain Research Institute</td>
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<tr>
<td>2007-Present</td>
<td>Co-Organizer/Teacher of Bi-Annual Cold Spring Harbor, Cellular Biology of Addiction</td>
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<td>2008-Present</td>
<td>External Advisory Committee, California State University, San Bernardino Minority Institutions’ Drug Abuse Research Development Program (MIDARP)</td>
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<td>2010-2012</td>
<td>Society for Neuroscience Jacob P. Waletzky Award Selection Committee</td>
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<tr>
<td>2014</td>
<td>Ad Hoc Reviewer, NIH Molecular Neuropharmacology and Signaling Study Section (MNPS)</td>
</tr>
<tr>
<td>2014</td>
<td>“INRC Founders Lecture”</td>
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</table>
C. Contributions to Science

1) Identification and Characterization of Endogenous Opioid Peptides
At Stanford University and following my graduate training in peptide chemistry, I focused on the isolation and characterization of endogenous opioid peptides. Initially, we generated antisera that recognized acetylated but not non-acetylated beta-endorphins, allowing immuno-identification of a post-translational modification inactivating endogenous opioids. Subsequently, I was involved in the isolation and characterization of several novel endogenous opioids, including metorphamide and amidorph as well as the in vivo characterization of many other endogenous opioids, including dynorphin 1-8, alpha and beta neo-endorphin, BAM-18 and peptides derived from pro-opiomelanocortin. Extension of these studies included, developing at Stanford, many forms of immunoassays and also protein sequencing that enabled the characterization and cloning of neuropeptide processing enzymes such as a carboxypeptidase-B. In collaboration with Dr. Nigel Maidment, we pioneered in vivo dialysis for the first analysis of opioid peptide and other neuropeptide release in specific brain areas. For the success of these studies, I developed exceptionally sensitive solid phase immunoassays that could measure multiple neuropeptides in the same dialysate samples and in the low femtomole range.


2) Immunological Assays and Neuropeptide Release

In C allowed 5 contribution Categories max 4 publications/category.
D. Research Support

**Ongoing Research**

2P50 DA005010  
NIH/NIDA  
Center for the Study Opioid Receptors & Drugs of Abuse (CSORDA)  
Goals: Using a multidisciplinary and collaborative approach, the Center’s research objective is to contribute insights into the mechanisms of action of opioid drugs and their receptors with the ultimate goal of discerning molecular processes that contribute to opiate addiction, tolerance and withdrawal.  
Role: PI, Director of the Administrative Core, PI Component III

UL1TR000124  
NIH/NCATS  
UCLA Clinical and Translational Science Institute  
Goals: The UCLA CTSI is an academic-clinical-community partnership designed to accelerate scientific discoveries and clinical breakthroughs. The mission is to create a borderless clinical and translational research institute that brings UCLA innovations and resources to bear on the greatest health needs of Los Angeles.  
Role: Member of the Pilot Program Committee

**Completed Research**

1PL1NS062410  
NIH/NINDS/NCTE  
Translational Methods/Facilities Core - A component of the Interdisciplinary Roadmap Consortium: "Consortium for Neuropsychiatric Phenomics"  
Goals: The aims of this consortium were to study genotype/phenotype relationships with regard to memory phenotypes and response inhibition phenotypes. Supplement funded 7/11-6/12 for analysis of blood transcript expression to enhance usefulness of data sets.  
Role: Administrative PI of P30 component consisting of three cores

5T32MH019925  
NIH/NIMH  
Postgraduate Training Program in Psychoneuroimmunology & Mental Disorders  
Goals: The goal of the program was to train postdoctoral students at UCLA in the area of psychoneuroimmunology.  
Role: Co-Director & Core Faculty

Complete Biography  
Upload to either:  
MyBibliography or SciENcv.
K99/R00 NIH Pathway to Independence Award Applications
(updated Jan. 2015)

This document is intended to summarize of some of the guidelines for K99 applications.

Always start by reviewing the following:

- latest Parent K99/R00 program announcement (PA)
- latest version of the SF424 (R&R) Application Guide, including Supplemental Instructions to the SF424 (R&R) for Preparing an Individual Research Career Development Award (CDA) Application ("K" Series), except where instructed to do otherwise (in the K99/R00 PA or in a Notice from the NIH Guide for Grants and Contracts).

Important note: Because of the differences in individual Institute and Center (IC) program requirements for this FOA, prospective applicants are strongly encouraged to consult the Table of IC-Specific Information, Requirements and Staff Contacts, to make sure that their application is responsive to the requirements of one of the participating NIH ICs. See also Frequently Asked Questions.
Project Summary (1/2page): State the problem, 2-3 sentences of background information, then the goal of the project. Next, summarize what you will do in your K99 phase, then transition (“Following my K99 training, I will …”) and summarize your R00 phase. End with a concluding sentence.

Project Narrative: 2 sentences. What is your area of research? What is lacking in the current understanding and how will your study contribute? (make relevant to human health!)

Resources/Facilities and Equipment: Review equipment available in your mentor lab (hoods, centrifuges, microscopes, computers), core facilities (support staff and the training they will provide, specific equipment (model number!, availability of the instrument)

List of referees: obvious

Biosketches: Include sketches for yourself and your mentor(s). Make sure your mentors personal statement is tailored to your K99 application!

Budget Justification: Follow the guidance of your grant office
Candidate Background (1 page): Review your research experience (undergraduate/graduate/postdoc). Include (briefly) publications/invited talks/awards/accolades, and how this work contributed to ongoing research in your lab after you left. Include any patent applications, news and views articles etc. Describe how your past experiences have led to your current postdoc training and K99 application.

Career Goals and Objectives (1/2 page): How will the training you receive in your K99 contribute to your research career? Restate the main questions proposed in your research and the big picture questions that you will ask in your independent lab. How will the training you receive during the K99 contribute to your development into an independent researcher?

Career Development/Training (1 page): Be very specific! 1) Formal meetings with your mentor (How often will you meet? Where? What are the benchmarks for progress?) 2) Assemble an advisory committee including your mentor and several other PIs at your institute. Outline a specific schedule when you will meet and what you will discuss. You will need letters of support from your advisory committee 3) Training in new techniques 4) Educational activities (grant writing/career development/ethics). Be very specific in duration, type (didactic?), course names, instructors, etc. 5) Mentored job search (How will your mentor and advisory committee help? Are there resources at the university?)

Training in RCR (3/4 page): 5 criteria: format, subject matter, duration, faculty participation, and frequency. Include past and future training opportunities (formal lectures and hands-on discussion based format, some meetings). All online training is unacceptable. Be specific.
Mentor Letter(s) (5-10 pages): Clearly state where the funding will come from for your supplies during the K99.
- Any overlap in research interests should be addressed, and your independence should be stressed. They should state that you will be free to take this project with you when you start your own lab.
- They should list some of the same career opportunities that you listed in your career development plan (make sure your stories line up!).
- They should emphasize their training record and mentoring accomplishments (how many successful postdocs/grad students).
- They must also state what percentage of your time will be devoted to research and that you won't have teaching responsibilities.

Description of Institutional Environment (3/4 page): Describe the resources available at your institute (seminar series, other faculty, coursework, shared resource facilities)

Letter of Institutional Commitment (2 pages): You will likely draft a letter – should confirm that you will have no/minimal teaching requirements, state commitment to career development, confirm the resources available to you. Give yourself lots of time to get the required signatures!
Aims page (1 page): Several subsections: Context – Write brief summary of background funneling to your specific question. Summary – summarize your aims and how your training will be incorporated in order to achieve these aims. Finally, list the aims, divided into mentored and independent phase. Do not have more than 3 aims. Watch for overly ambitious aims. Watch for aims that are dependent on previous aims. R00 aims should be defined, but can be less detailed than the K99 aims.

Significance (1/2page): Should be related to human health.

Innovation (1page): What is innovative in your methods or your approach? What gives you a unique advantage/insights that set you apart from the field? What paradigms will be shifted if your hypothesis is correct?

Research Proposal (7pages): You should have preliminary results for every aim (even R00 – at least showing you can do the methodology!). Feasibility is very important.

There is a 12 page limit for Candidate Background, Training plan, Aims and Research Plan Blank space is subtracted-check for this before submission!
Case Histories....Lessons

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<tr>
<th>NIDA</th>
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<th>Investigator</th>
<th>Awarding Institution</th>
<th>Approval Date</th>
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<td>K99</td>
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<td>NIEHS</td>
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<td>NIEHS</td>
<td>12/01/11</td>
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</table>

TIMOTHY W. BREDY
Assistant Professor UCI, Neurobiology and Behavior School of Biological Sciences Fellow, Center for the Neurobiology of Learning and Memory Ph.D., McGill University Phone: (949) 824-3152 Email: tbredy@uci.edu University of California, Irvine 102 Bonney Research Laboratory Mail Code: 3800 Irvine, CA 92697


Good pedigree, most first authored papers, consistent productivity (medium-good impact), not NIDA obvious, but NIDA interested in learning and memory processes/plasticity, different labs PhD and postdoc.
Kate Wassum Ph. D.,
Assistant Professor UCLA
PhD UCLA
Primary: Learning and Behavior
Secondary: Behavioral Neuroscience

Good pedigree, many 1st authored papers, consistent productivity (high impact), NIDA-related research. CV exceptionally strong, many awards……?????? No K99

I got a score 38 on my K99, no percentile. I was planning to resubmit, but then got a job. From my reading of the statement, the training environment was the major issue.

Here is the text from her summary statement that she allowed me to share:

However, enthusiasm is tempered by the fact that the proposal is not really distinguished from the candidate’s previous work in this environment. The training does not really appear to add to the applicant’s already extensive abilities and experiences gained in this same environment with the same mentors. Some additional related weaknesses described by the individual reviewers: Although the application is well-written and sophisticated, especially for an individual just 1 year after earning the PhD, it was unclear how the proposed training plan differed from traditional early stage postdoctoral studies. Despite demonstrated expertise in addiction related behavioral and neurochemical assessments, the candidate states her need for further training in neurochemistry in vivo as well as behavioral and pharmacological techniques. The case for additional training in these disciplines was difficult to discern. Although the principal investigator has taken advantage of the thriving scientific resources at UCLA during her graduate and postdoctoral training, the application was unclear how further training in the same environment would achieve the goals of the K99. For example, the proposed K99 mentor, Dr Maidment, is co-author on all the applicant’s publications from her time at UCLA, including the predoctoral tenure. Similarly, the predoctoral mentor, Dr Balleine, continues as co-author on papers described in the application as postdoctoral projects. Notwithstanding the potentially interesting data that might be generated from the proposed studies, it is unclear whether additional training will be obtained in pharmacology given the limited scope of drug studies that are proposed and the fact that those studies occur only in the independent phase. A number of techniques and procedures mentioned in the training plan do not appear to be incorporated into the proposed research plan. The stated justification for this application is the candidate’s need for additional “training in in vivo neurochemistry and the behavioral and pharmacological techniques of addiction research” (page 50). As documented by joint publications by the candidate and the mentor as long ago as 2008, it would appear as though the candidate has considerable experience with most of the techniques to be used and surely has the behavioral training that is necessary for the proposed studies. Drug studies will occur in the independent phase so no obvious training in neuropharmacology will occur under this plan. Do not see that the extra training proposed advances the applicant’s career prospects. The applicant already has publications/work on methods proposed, i.e. use of Glu biosensors. The applicant also appears to have extensive behavioral training. Does not seem appropriate for a K99 – the application seems to be continuation of training rather than seeking really new opportunities. Continuing in same environment – proposed mentor has been an important part of all her graduate and postdoc work to date and is senior author on many of her publications.


Bonne chance!!