

# CLEAR Meeting

## April 12, 2022

Hosted by Sponsored Research

# Today's Agenda

- Announcements
- RESEARCH Evaluation Core
- NSPM-33 Implementation Guidance

# Announcements

# Sponsored Research Staffing

Open positions:

- **Administration**
  - Executive Assistant
- **Award Management**
  - Awards Management Associate (2)
- **Proposals & Award Acceptance**
  - Assistant Sponsored Research Officer
- **Subcontracts**
  - Assistant Sponsored Research Officer

# Click Through Non-Disclosure Agreements (NDAs or CDAs)

- Some Contract Research Organizations (“CROs”) are now sending click-through NDAs to faculty and researchers directly.
- If you receive a click-through agreement to sign, **STOP DON'T SIGN**
- Forward the email to [osr-contracts@northwestern.edu](mailto:osr-contracts@northwestern.edu)
- Sponsored Research will then handle the click-through agreement.

# Upcoming Cycle II NIH Due Dates

Due Date	Description
May 25	All - new, renewal, resubmission, revision <ul style="list-style-type: none"><li>• Program Project Grants and Center Grants (P-series)</li><li>• Research Demonstration Edu. Projects (R18, U18, R25)</li><li>• <i>Institutional</i> National Research Service Awards (T-Series)</li><li>• Multiple other activity codes (C, D, G, S, U)</li></ul>
June 5* (Sunday)	<ul style="list-style-type: none"><li>• R01 (new)</li><li>• U01 (new)</li></ul>
June 12* (Sunday)	<ul style="list-style-type: none"><li>• Research Career Development (new) K-series</li></ul>
June 16	<ul style="list-style-type: none"><li>• Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3</li></ul>

*\*Due dates will push to Monday, June 6, and Monday, June 13, respectively*

# NEW! NIH Data Management & Sharing Policy and Website

- Starting January 2023, the [Final NIH Policy for Data Management and Sharing \(NOT-OD-21-013\)](#) will require researchers to include a data management and sharing (DMS) plan in funding applications.
- Applies to all research, funded in whole or in part by NIH, that results in the generation of scientific data.
- NIH launched [Scientific Data Sharing Website](#)
- Learn more:
  - Feature in April edition of Doing Research (next week)
  - [Introducing NIH's new scientific data sharing website](#)  
*Blog by Mike Lauer NIH Deputy Director for Extramural Research*



# Countdown to FastLane Removal

Nine (9) months to go...

- FastLane to be removed as a submission option from all funding opportunities in January 2023

...but NOW Research.gov

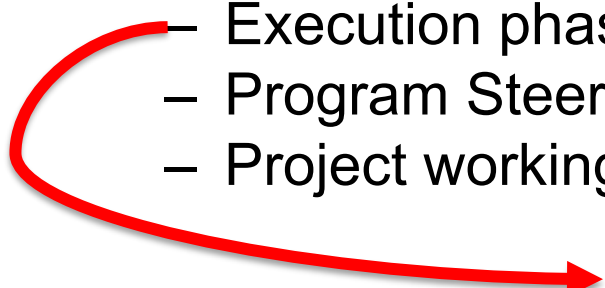
- has nearly all FastLane [proposal and submission](#) features
- required for the preparation and submission of proposals in response to [program descriptions](#)



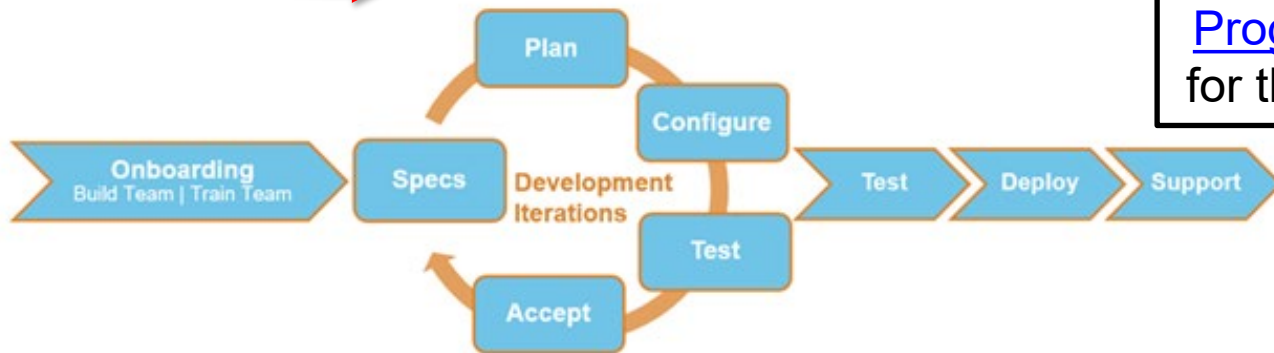


# SRA Transformation Program

- Key milestones completed
  - Onboarding for Huron Grants & Agreements completed
  - Change management approach approved (CM ongoing)
- Ongoing & upcoming
  - Execution phase: Design, build, and test iterations started
  - Program Steering Committee has begun convening
  - Project working groups meeting regularly



**We are here!**



Check out [SRA Transformation Program Updates](#) for the latest news

# Coming Soon: Name Our System!



- Contest to name new electronic research admin. system (aka Huron)
- Runs mid-April to mid-May
- All participants entered in a drawing for a prize
- Look for an announcement in the April “Doing Research” edition going out next week
- Read more: [Sponsored Research Administration Transformation Program](#)

# Evaluation Core



# Program Evaluation Core

Northwestern | OFFICE FOR RESEARCH  
Program Evaluation Core



# Agenda

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Our Goals Today

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What is program evaluation?

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Services We Offer

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How we work with you

# CLEAR goals

- Be able to describe program evaluation
- Be able to identify the key purposes and values of program evaluation for grant-funded research and training programs
- Be able to direct PI/PDs to Northwestern Program Evaluation Resources

# Mission



- Advance Northwestern's **higher education** mission through collaborative program evaluation



- Contribute to Northwestern's **research enterprise** by supporting faculty and scholars at all levels



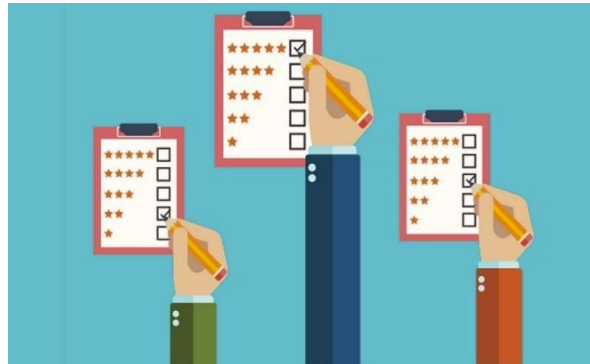
- Support Northwestern's **broader impacts** through a wide range of evaluation partnerships



- Forward Northwestern's **equity and inclusion** mission by centering DEI-informed evaluation practices

# Why a Program Evaluation Core?

- Evaluation of training and education components of grants a requirement for most funders now.
- Funders requiring more sophisticated evaluation plans
- Some grants e.g. T32s, TL1, KL2's require evaluation but do not have a budget for evaluation - so institutional infrastructure to support evaluation is needed





# History of NU Education Program Evaluation

- Prior to Sept 2020, the Searle Center for Advancing Learning and Teaching supported proposal development and evaluated funded programs
  - Pre-award supported by Searle through Office of Provost
  - Post-award supported by grants when possible, chargeback from different sources and by Searle through Office of Provost
  - T32 support jointly provided with TGS
- Historical annual use data in program evaluation:
  - Pre-award: 20-25 proposals/year
  - 45% success rate; \$130m over 3 years
  - Post-award: 6-7 T32 training programs; 5-10 other programs

# Program Evaluation Core Team

Faculty Director

Bennett Goldberg PhD

Executive Director

Denise Drane PhD, MPH

Evaluation Specialist

Katya Bitkin MSE

Evaluation Specialist

Caroline Freitag PhD

Evaluation Specialist

Sara Woods MSc, MA

Financial Manager

Yan Qui



What is  
evaluation?





# Evaluation

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- Program evaluation helps you measure the success of your program and discover ways to improve it.
- It evaluates whether the goals of your program have been achieved.
- It provides feedback on how well your program activities have gone
- It is a requirement for most grants
- It is scored in grant proposals

# Program Eval Core: Pre-Award Services

## Proposal Writing

- Evaluation plan/section
- Evaluation budget
- Logic models
- Competency development
- Metrics, milestones, measures of success

## Evaluation Instruments

- Design or identify
  - Surveys
  - Rubrics
  - Focus group
  - Interview Protocols

## Preparation/groundwork

- Evaluate programs with no prior evaluation
- Recommend collaborators across NU
- Connect with external evaluators (when required)
- Education & DEI plan feedback

# Northwestern



## NSF-SIMONS CENTER FOR QUANTITATIVE BIOLOGY

### Inputs

Resources required for the Center's activities

National Science Foundation & Simons Foundation funding

World-class faculty, trainees & dedicated staff committed to interdisciplinary collaboration

Outstanding research and training facilities, institutional commitment and infrastructure

Relationships with connected Centers and programs (incl. Chemistry of Life Processes Institute, Northwestern Institute of Complex Systems, Center for Circadian Biology and ESAM's interdisciplinary RTG on Quantitative Biological Modeling (QBM))

Partnership with Science in Society (*Science Club* outreach program)

High-quality undergraduate and graduate programs

Existing & new programs for recruitment, retention and diversity and inclusion

Advisory board, Center affiliates

Education & Evaluation partnership (Searle Center)

Relationships with Interdisciplinary Team Science Community

### Activities

Work done to achieve outputs & outcomes

QBio Projects focused on embryonic development, growth and environment, environmental cycles, cell pluripotency, and developmental dynamics

Center events foster social and scientific connections across Projects

New partnerships between mathematics and biology address emerging questions

Mathematical scientists are engaged in the underpinnings of developmental biology questions

QBio coursework, modules, workshops

Training in interdisciplinary collaboration & team science

Center research integrated across educational programs at all levels

Student recruitment; career-track planning, mentoring and experiential learning across institutions

Curricular materials designed around QBio topics and research

Wider QBio community engagement

### Outputs

Products & participation generated by the activities

New insights into emergent properties of biological systems

New theories, models and technologies generated

Grants & publication submissions

New mathematical, statistical and computational approaches developed

New biological methods developed

Faculty and scholars engaged in novel research at the interface of mathematics and developmental biology

Core competencies for QBio scholarship and research

Scholars at all levels with the knowledge, skills, attitudes and behaviors needed to impact academia and industry

Robust education and training programs for scholars at all levels in quantitative biology

New QBio instructional materials for grades 4-8

Workshops and courses adapted and delivered for the wider QBio community

Papers, presentations, talks written and delivered

### Outcomes

Benefits, changes or improvements that result from the program activities & outputs

Short-Term (1-2 Years)

New & existing collaborative research Projects at the intersection of mathematics, statistics and biology

New mathematics – biology research collaborations funded (Pilot Project Programs, Fellows Program)

Scholars are co-advised

Undergraduate students engaged in QBio summer research experiences

Scholars build capacity in interdisciplinary collaboration and research

*New Science Club* module engages middle school students in QBio concepts and research

New and established connections in the local and regional QBio community

Mid-Term (3-5 Years)

New scientific discoveries driven by the intersection of mathematics and developmental biology

Extramural funding for new QBio projects

Increased number of QBio-related publications

Data, methods and models shared and applied across Projects

New approaches, models, methods disseminated

Developmental biology questions inspire new mathematics

Students graduating with QBio degrees

Center scholars competitive in the academic and industrial workforce

QBio degree concentration developed

Growth in national QBio community

New courses, modules and outreach raise awareness and enthusiasm for QBio

Long-Term (6-10+ Years)

Center obtains continued/ increased funding for existing and novel research projects and collaborations

Approaches, models, methods applied by other research teams

Collaborations successfully receive extramural funding

Students graduated with QBio skills enter workforce

Established quantitative biology programs (minors, majors, concentrations)

Build a network community of graduate students, post-doctoral scholars and Fellows

Increased recruitment of graduate students and post-doctoral scholars interested in research at the interface of mathematics and developmental biology

Novel tools and resources (core competencies, papers) articulate scope, place and growth of QBio as a field

### Societal Impact

New scientific discoveries at the intersection of mathematics and developmental biology advance expand knowledge essential to successfully addressing societal challenges

Changes in traditional education programs to emphasize quantitative approaches in the life sciences and biological problems & applications in mathematics

A highly-qualified, workforce trained in QBio & interdisciplinary collaboration

- Research
- New Connections
- Training & Education
- Broader Impacts

## Sept 1 – March 31 2022 Pre-Award Services to ~\$100m in proposals

NIH		
	Award Type	School (s)
5	T32	Feinberg (3); Weinberg (2)
3	R25	Feinberg
2	K12	Feinberg
1	NIH FIRST	Feinberg
1	U54/Robin	Feinberg
<b>12</b>	<b>Total</b>	

NSF		
	AwardType	School (s)
1	NITMB	Weinberg
1	STC	Weinberg
1	CCI	Weinberg
1	PIRE	McCormick
1	MRSEC	McCormick
2	REM	McCormick
1	REU*	McCormick
<b>8</b>	<b>Total</b>	

\* funded; all other proposals are under review

# Program Eval Core: Post-Award Services

## Data Collection, Management & Analysis

- Survey design and administration
- Focus groups
- Interviews
- Competency Development
- Administration of REDCap (transition from TGS)

## Program Improvement

- Synthesize and share findings with PI's
- Develop processes for PIs to share findings
- Co-develop program improvements

## Dissemination

- Program annual and completion reports to funders
- Site visit presentations
- External advisory board presentations
- Journal articles
- Conference presentations



# Quantitative Survey Analysis

**Summer students rated their mentors' skills high overall, and their post-doctoral scholar and graduate student mentors particularly high.**

QUESTION - Please rate how skilled you feel your mentor is in each of the following areas:



Created by  
Caroline Freitag  
CQUB

# Qualitative Survey Analysis

*"I loved working with my students. It was the highlight of my summer."*



*"In the end it was fun. [My student] was a very positive person and it was nice to talk to them. They were very humble with a good personality."*



*"I think it was nice. It was collegial. It didn't feel forced or structured. I think we did a good job of building a common purpose"*

*"I thought it went pretty well, considering it was online and I never got to meet any of the students. I was actually pleasantly surprised."*

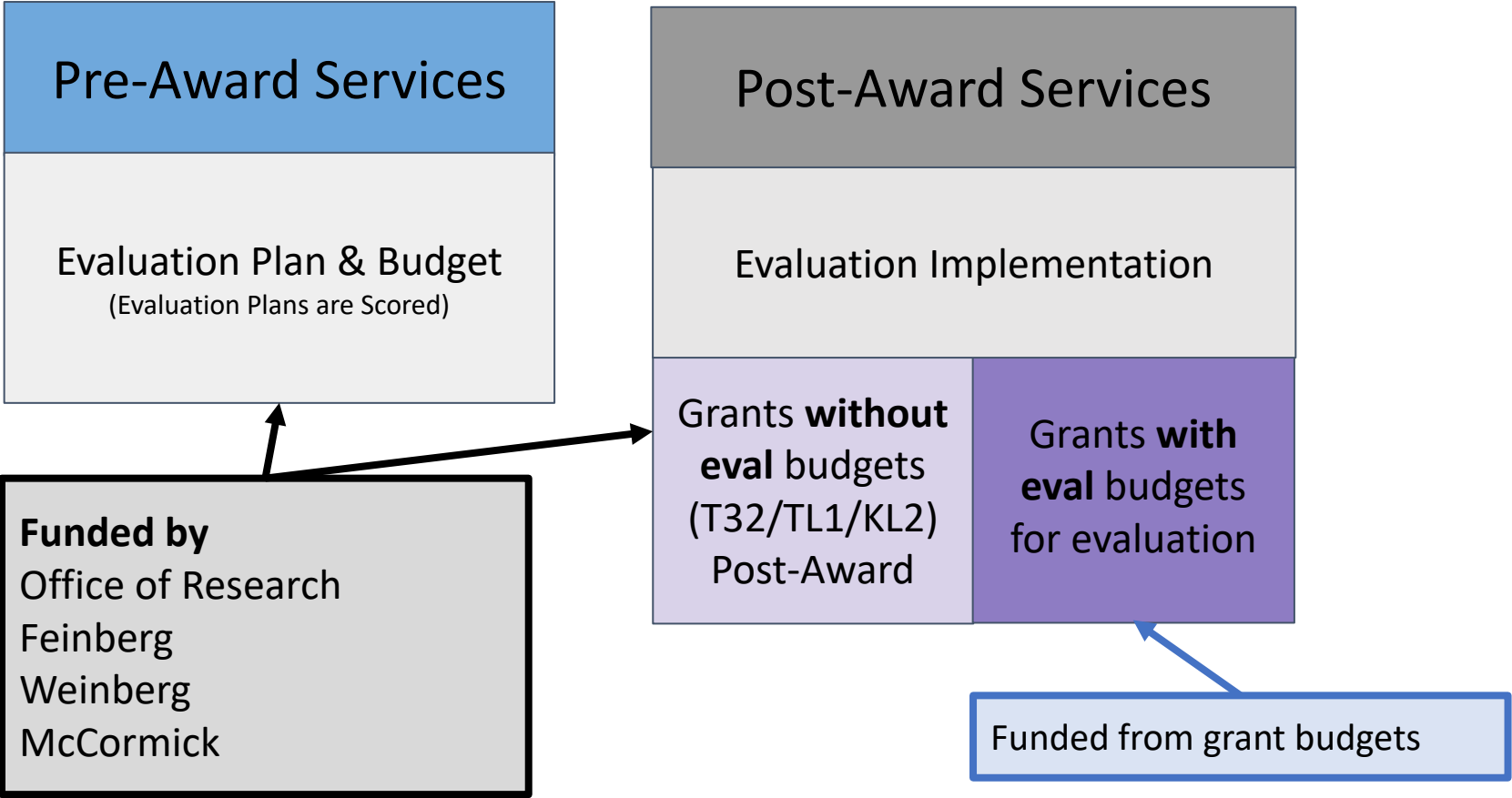
*"I think being a mentor was a very positive experience. I really enjoyed it."*



# How the Program Evaluation Core Works



# Funding Model



# Contact Us

- If the RFA calls for evaluation, metrics, outputs, outcomes, or impacts to be evaluated and reported
- If the program is employing an internal or external advisory board, or other means of getting feedback on their programs
- If the PI/PDs are interested in how to build in cycles of improvement.

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https://programevaluationcore.northwestern.edu

Import bookmarks... Getting Started Most Visited 1. Assessing Students... ChronicleVita Getting Started YouCaring Account Settings Other Bookmarks

Program Evaluation Core

# Expertise in program evaluation design & implementation

REQUEST AN APPOINTMENT



Type here to search

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Contact us to  
request a  
consultation

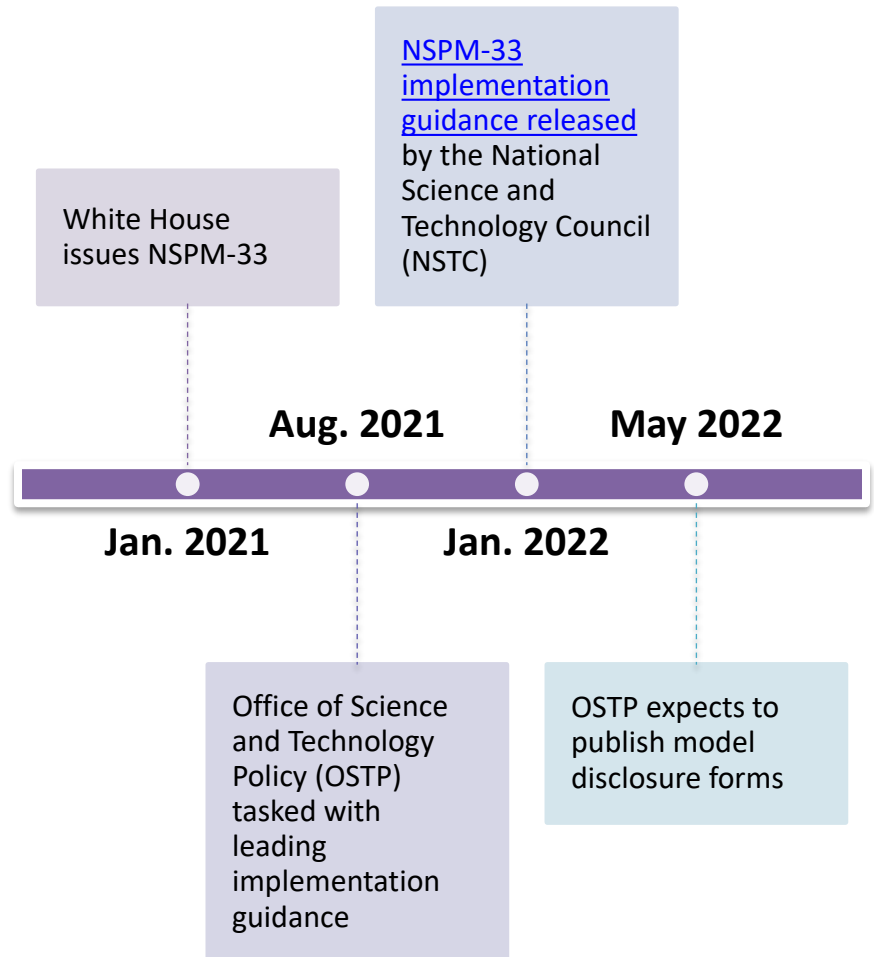
<https://programevaluationcore.northwestern.edu/>

# Introduction to National Security Presidential Memo-33 (NSPM- 33) Implementation Guidance



# What is NSPM-33?

- Presidential directive requiring federal research funding agencies to strengthen and standardize disclosure requirements for federally funded awards.
- The [National Security Presidential Memorandum 33 \(NSPM-33\)](#) also requires major institutions receiving federal funds to establish research security programs.



# General Implementation Guidance for Agencies

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Provide clear, coordinated guidance that incorporates stakeholder input and does not excessively burden or unnecessarily harm researchers or research organizations.

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Must implement NSPM-33 provisions and related requirements in a nondiscriminatory manner that does not stigmatize or treat unfairly members of the research community, including members of ethnic or racial minority groups.

# What's included in the NSTC Guidance?

In addition to the general guidance, there is detailed guidance in five key areas addressed in NSPM-33



Disclosure Requirements and Standardization



Digital Persistent Identifiers



Consequences for Violation of Disclosure Requirements



Information Sharing across Agencies



Research Security Programs at Federally Funded Institutions

# Disclosure Requirements and Standardization

# Background: Disclosure

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## **NSPM-33 directives for agencies:**

Require the disclosure of information related to potential conflicts of interest and commitment from participants in the Federally funded R&D enterprise

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Standardize forms for initial disclosures and annual updates as well as provide clear instructions to accompany these forms and minimize any associated administrative burden

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## **Goal of guidance:**

Provide clarity regarding disclosure requirements, disclosure process (e.g., updates, certification, and provision of supporting documentation), and expected degree of cross-agency uniformity

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# Standardization Across Agencies



Disclosure requirements  
and forms / formats



Collection of personal and  
professional information  
during application process



Standardized exclusions  
(e.g., gifts, mentoring)

# Additional Guidance

## For agencies:

- Additional guidance provided for disclosure requirements
- Requiring a “just-in-time” submission is at the discretion of the agencies

## For research institutions:

- Certify that each covered individual who is listed on the application has been made aware of all relevant disclosure requirements
- Provide instruction to covered individuals on how to disclose information related to potential financial conflicts of interest

# Digital Persistent Identifiers (DPIs)



# Background: DPIs

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## **NSPM-33 directives for agencies:**

Establish policies regarding requirements for individual researchers supported by or working on any Federal research grant to be registered with a service that provides a digital persistent identifier for that individual

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Standardize forms for initial disclosures as well as annual updates, integrating digital persistent identifiers wherever appropriate and practicable

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## **Goal of guidance:**

Describe how research agencies will incorporate digital persistent identifiers (DPIs) into disclosure processes to bolster research security and integrity while reducing administrative burden

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# DPI Implementation:

## *Research agencies should...*



Work to implement DPIs into their electronic systems and processes as quickly as is feasible



Provide the option to submit required disclosures via a DPI service for applications for grants and cooperative agreements as well as consider a DPI option for non-grant (e.g., contracts) mechanisms



*But not* require that individuals provide any public disclosure through the DPI

# Consequences for Violation of Disclosure Requirements

# Background: Consequences

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## **NSPM-33 directives for agencies:**

Agencies shall ensure appropriate and effective consequences for violation of disclosure requirements and engagement in other activities that threaten research security and integrity.

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Depending on the nature of the violation, agencies may consider a range of consequences. (In addition to these measures, civil and criminal penalties under U.S. Federal and State laws may apply.)

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## **Goal of guidance:**

Provide guidelines for determining appropriate consequences, consistent with applicable laws and regulations, while preserving an appropriate level of flexibility for agencies and research organizations

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# Consequences

- Violation of disclosure requirements may lead to criminal, civil, and/or administrative consequences.
- Potential administrative actions may include (but not limited to):

Rejection of an R&D award application

Suspension or termination of an R&D award or preserving the award, but requiring that individual(s) do not perform work under the award

Placement of the individual or research organization in the System for Award Management (SAM) or Federal Awardee Performance and Integrity Information System (FAPIS)

# Administrative Actions Against Organizations

- Disclosure burden is on individuals
- An administrative action may be taken against an organization *only* in cases in which the organization:
  - Did not meet requirement to certify that covered individuals have been made aware of disclosure requirements
  - Knew that a covered individual failed to disclose required information and did not take steps to remedy such nondisclosure before the application was submitted
  - Is determined to be owned, controlled, or substantially influenced by a covered individual; and such individual knowingly failed to disclose required information.

# Information Sharing

# Background: Information Sharing

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## **NSPM-33 directives for agencies:**

Agency heads shall share information about violators or those whose activities demonstrate an intent to threaten research security and integrity with other Federal agencies/departments

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When appropriate, agency heads should consider notifying other Federal funding institutions in cases where significant concerns have arisen but a final determination has not yet been made

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Any sharing should be consistent with privacy laws and other legal restrictions

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## **Goal of guidance:**

Provide clarity regarding circumstances when and mechanisms by which agencies may share information regarding violations and potential violations

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# Sharing Circumstances: Violations

Research agencies should share information about violations or potential violations of disclosure requirements:

- When an agency identifies something potentially relevant to another research agency's management of funding
  - E.g., Identical proposals from one or more PIs, where one or more is funded by other research agencies.
- Once administrative or enforcement action is taken
- When referring to an appropriate law enforcement or other agency or entity for further investigation and/or consideration of enforcement or administrative action
- In support of risk analysis and lessons learned

# Research Security Programs

# Background: Research Security Programs

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## **NSPM-33 directives for agencies:**

Requirement that research institutions receiving Federal science and engineering support over \$50 million annually certify that the institution has established and operates a research security program.

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## **Goal of guidance:**

Provide clarity regarding research security program requirements, expectations for recipient organizations, and how agencies will contribute to program content development

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# Research Security Program Required Elements



Cybersecurity



Foreign travel security

International travel policies



Research security training, including insider threat training where applicable



Export control training (as appropriate)



Designated research security point of contact with a publicly accessible means to contact that individual (e.g., website)

# Research Security Program Development & Implementation

- **Timeline:**
  - Organizations should establish a Research Security Program within one year from the date of issuance of the formal requirement to comply
- **Content:**
  - Federal government will provide technical assistance in the development of training and tools
- **Flexibility:**
  - Organizations should be provided flexibility to structure their Research Security Program to best meet their particular needs

# Questions

Join us for the  
next CLEAR webinar:

Tuesday, June 14, 10:00am