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

- Sponsored Research will then handle the click-through agreement.
# Upcoming Cycle II NIH Due Dates

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Description</th>
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| May 25       | All - new, renewal, resubmission, revision  
  • Program Project Grants and Center Grants (P-series)  
  • Research Demonstration Edu. Projects (R18, U18, R25)  
  • *Institutional* National Research Service Awards (T-Series)  
  • Multiple other activity codes (C, D, G, S, U) |
| June 5*      | • R01 (new)  
  • U01 (new)                                                  |
| June 12*     | • Research Career Development (new) K-series                                                          |
| June 16      | • Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3 |

*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

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

Program Evaluation Core

Future

Proposal Dev.

Iterate

Improved program

Program Implementation
Agenda

Our Goals Today
What is program evaluation?
Services We Offer
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

- 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 (QBМ))
  - 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 and developmental biology
    - New mathematics – biology research collaborations funded (Pilot Project Programs, Fellows Program)
    - Scholarly Summer Research Experiences
    - New & established connections in the local and regional QBio community
    - New & existing collaborative research Projects at the intersection of mathematics and developmental biology
  - Mid-Term (3-5 Years)
    - New & existing collaborative research Projects at the intersection of mathematics and developmental biology
    - New mathematics – biology research collaborations funded (Pilot Project Programs, Fellows Program)
    - Scholarly Summer Research Experiences
    - New & established connections in the local and regional QBio community
  - Long-Term (6-10+ Years)
    - New & existing collaborative research Projects at the intersection of mathematics and developmental biology
    - New mathematics – biology research collaborations funded (Pilot Project Programs, Fellows Program)
    - Scholarly Summer Research Experiences
    - New & established connections in the local and regional QBio community

#### 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

#### Impacts
- Research
- New Connections
- Training & Education
- Broader Impacts
Sept 1 – March 31 2022 Pre-Award Services to ~$100m in proposals

<table>
<thead>
<tr>
<th>NIH</th>
<th>School(s)</th>
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<tbody>
<tr>
<td>Award Type</td>
<td>School(s)</td>
</tr>
<tr>
<td>5</td>
<td>T32 Feinberg (3); Weinberg (2)</td>
</tr>
<tr>
<td>3</td>
<td>R25 Feinberg</td>
</tr>
<tr>
<td>2</td>
<td>K12 Feinberg</td>
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<tr>
<td>1</td>
<td>NIH FIRST Feinberg</td>
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<tr>
<td>1</td>
<td>U54/Robin Feinberg</td>
</tr>
<tr>
<td>12</td>
<td>Total</td>
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<table>
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<tr>
<th>NSF</th>
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<td>Award Type</td>
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</tr>
<tr>
<td>1</td>
<td>NITMB Weinberg</td>
</tr>
<tr>
<td>1</td>
<td>STC Weinberg</td>
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<tr>
<td>1</td>
<td>CCI Weinberg</td>
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<td>1</td>
<td>PIRE McCormick</td>
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<td>1</td>
<td>MRSEC McCormick</td>
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<tr>
<td>2</td>
<td>REM McCormick</td>
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<tr>
<td>1</td>
<td>REU* McCormick</td>
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<tr>
<td>8</td>
<td>Total</td>
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* 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
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:**

- Building your confidence
- Providing you constructive feedback
- Working with you to set clear expectations of the relationship
- Employing strategies to enhance your understanding of the research
- Working with you to set research goals
- Motivating you
- Accurately estimating your ability to conduct research
- Helping you develop strategies to meet research goals
- Employing strategies to communicate effectively with you
- Accurately estimating your level of scientific knowledge

![Graph showing mentor performance ratings](image-url)

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 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.”

“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.”
How the Program Evaluation Core Works
Funding Model

Pre-Award Services

Evaluation Plan & Budget
(Evaluation Plans are Scored)

Post-Award Services

Evaluation Implementation

Grants without eval budgets
(T32/TL1/KL2)
Post-Award

Grants with eval budgets for evaluation

Funded by
Office of Research
Feinberg
Weinberg
McCormick

Funded from grant budgets
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.
Expertise in program evaluation design & implementation

REQUEST AN APPOINTMENT
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

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

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

<table>
<thead>
<tr>
<th>NSPM-33 directives for agencies:</th>
<th>Require the disclosure of information related to potential conflicts of interest and commitment from participants in the Federally funded R&amp;D enterprise</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Standardize forms for initial disclosures and annual updates as well as provide clear instructions to accompany these forms and minimize any associated administrative burden</td>
</tr>
<tr>
<td><strong>Goal of guidance:</strong></td>
<td>Provide clarity regarding disclosure requirements, disclosure process (e.g., updates, certification, and provision of supporting documentation), and expected degree of cross-agency uniformity</td>
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</tbody>
</table>
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

<table>
<thead>
<tr>
<th>NSPM-33 directives for agencies:</th>
<th>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</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Standardize forms for initial disclosures as well as annual updates, integrating digital persistent identifiers wherever appropriate and practicable</td>
</tr>
<tr>
<td>Goal of guidance:</td>
<td>Describe how research agencies will incorporate digital persistent identifiers (DPIs) into disclosure processes to bolster research security and integrity while reducing administrative burden</td>
</tr>
</tbody>
</table>
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

### 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. 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.)

### 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.
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 (FAPIIS)
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

<table>
<thead>
<tr>
<th><strong>NSPM-33 directives for agencies:</strong></th>
<th>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</th>
</tr>
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<tbody>
<tr>
<td><strong>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</strong></td>
<td>Any sharing should be consistent with privacy laws and other legal restrictions</td>
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<tr>
<td><strong>Goal of guidance:</strong></td>
<td>Provide clarity regarding circumstances when and mechanisms by which agencies may share information regarding violations and potential violations</td>
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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

<table>
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<tr>
<th>NSPM-33 directives for agencies:</th>
<th>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.</th>
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<tr>
<td>Goal of guidance:</td>
<td>Provide clarity regarding research security program requirements, expectations for recipient organizations, and how agencies will contribute to program content development</td>
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Research Security Program Required Elements

- Cybersecurity
- Foreign travel security
- 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