UMass Center for Clinical and Translational Science
Community Engagement and Collaboration Core

Working with Policymakers
March 24, 2022, 11 am - 1pm

We will start shortly. While you wait, please enter your name and organization into the chat box to “Everyone”.

Workshop Logistics

- All participants are muted on entry
  - Only panelists may unmute during the session.
- Enter your questions using the Chat Box.
- **Need help?** Send a message in the Chat to Donna Raymond

UMass Center for Clinical and Translational Science
Community Engagement and Collaboration Core

Speakers

Laurel Smith-Doerr, PhD

Lisa M. Troy, PhD

Public Engagement Project, UMass Amherst

https://www.umass.edu/pep/

Working with Policymakers: an interactive workshop

- **Introductions**
- **Working with Policymakers:**
  - **Why**
  - **Who**
  - **When**
  - **What**
  - **How**
- **Drafting a Policy Narrative**
- **Academics Neglect**
- **Differences between Academia - Public Policy**
- **Summary**
- **Resources and Questions**

Introduce yourself – BREAKOUT 1

What's your Main Message? (1 minute)

Briefly describe what's the bottom line,
your main point that you want policymakers to take away

Why are you the right person to present this message? (1 minute)

your research
your experience
your observations

REPORT BACK – what did you learn?

Working with Policymakers: Why

Policymakers want to hear from you

- **Research**
  - **research method is seen as non-bias, non-partisan**
- **Clinician**
  - **Hands on experience of policy implementation**
- **Constituent**
  - **You're part of their constituency**

Public Policy is a critical to improving the health of the public and individual

Working with Policymakers: Who

State and Federal legislators

State and Federal Agencies

Constituents

Legislative and Agency STAFF

The Accidental Policymaker:

Adventures in Studying and Doing Science Policy

Laurel Smith-Doerr

About NSF

Career Opportunities
- Salary and Benefits
- Learning Opportunities
- Worklife
- Local Area Information

Related
- No Fear Act
- Division of Human Resource Management Web Site

Rotational Programs

Intergovernmental Personnel Act Assignments

Visiting Scientist, Engineer and Educator Program

Compensation Comparison

Visiting Scientists, Engineers and Educators (VSEE) Program

VSEE policy information is contained in the NSF Personnel Manual, PER Chapter II-400 and the NSF Act (pages 9-10).

EMPLOYEE STATUS

Individuals appointed to the VSEE program are on a non-paid leave of absence from their institution. NSF pays salary while benefits are maintained with the home institution. *An appointee must be a U.S. citizen or citizen of a country which has a mutual security agreement with the U.S. The Division of Human Resource Management (HRM) will determine eligibility for non-citizens.*

LENGTH OF APPOINTMENT

Appointments are usually made for up to one year and may be extended for an additional year by mutual agreement between NSF, the home institution, and the VSEE.

SALARY

Salary is set within a range for "Administratively Determined (AD)" level positions, using pre-established criteria. HRM determines the initial salary after verification is received from the home institution. The NSF salary is comprised of the annualized academic salary, cost of living allowance (if applicable), lost consulting (if applicable), and a locality payment. VSEEs are not eligible to receive the annual government-wide comparability pay adjustments, however, when salary is increased at the home institution, the NSF salary will be adjusted accordingly.

Critical analysis: understanding routinization of ethics

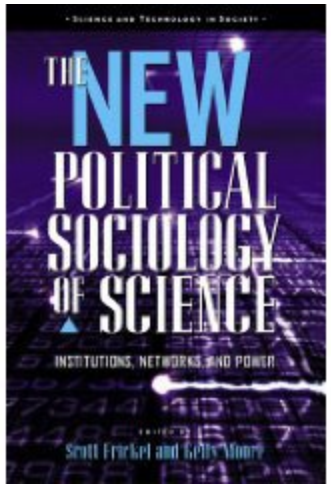
- Underlying theory
  - Science/Technology Studies (STS) perspective on “black-boxing”
  - Sociological/institutional concepts of rationalization and decoupling
- Empirical contributions
  - Analysis of scientists’ reactions to routinized ethics policies,
  - Some cross-national comparisons

Sources:

Smith-Doerr, L. 2006. “Learning to Reflect or Deflect? US Policies and Graduate Programs’ Ethics Training for Life Scientists.” *The New Political Sociology of Science*, S. Frickel & K. Moore, eds. University of Wisconsin Press, 405-431.

Smith-Doerr, L. 2008. “Decoupling Policy and Practice: How Life Scientists in Three Nations Respond to Policies Requiring Ethics Education.” *Minerva*, 46: 1-16.

Smith-Doerr, L. 2009. “Discourses of Dislike: Responses to Ethics Education Policies by Scientists in the UK, Italy and the US.” *Journal of Empirical Research in Human Research Ethics*, 4:49-57.



NIH ethics education policy (2000)

REQUIRED EDUCATION IN THE PROTECTION OF HUMAN RESEARCH PARTICIPANTS

Release Date: June 5, 2000 (Revised August 25, 2000)
NOTICE: OD-00-039 (Also see Notice NOT-OD-08-054)
National Institutes of Health Policy: Beginning on October 1, 2000, the NIH will require education on the protection of human research participants for all investigators submitting NIH applications for grants or proposals for contracts or receiving new or non-competing awards for research involving human subjects.

Policy implications: unanticipated consequences of ethics education

- US Postdoctoral researcher on ethics requirements:

"They are basically hoops to jump through. But the thing is, universities could make the courses relevant. These are problems that really happen. The trouble is, making them requirements does not make them popular."

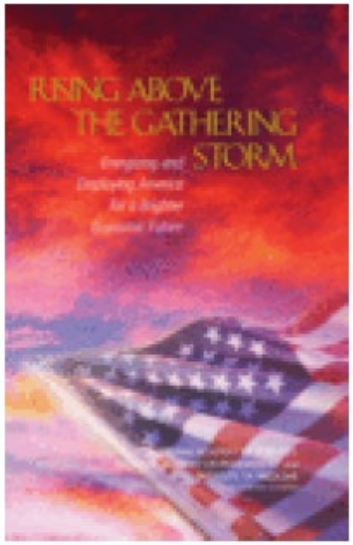
- Melissa Anderson et al.(2007)—traditional ethics training alone little effect on behavior; mentoring has negative as well as positive effects.

Ethics Education in Science and Engineering Program (EESE) Cross-NSF Program

- Maximum award size is $300,000 (or $400K for collaborative awards with professional societies, for ex.) for up to 36 months.
- EESE research projects should deliver scholarly findings to appropriate research and educational communities and assist with programs based on the findings; education projects should test the feasibility and effectiveness of their activities or programs in more than one institution.
- EESE Committee Program Officers come from SBE, BIO, CISE, EHR, ENG, GEO, MPS; Chair is Laurel Smith-Doerr (SBE/STS).
  - The focus is better understanding of ethics education of science and engineering graduate students, and issues arising in research in this context.
  - Applications are limited to a maximum of one per institution as lead organization.

America COMPETES Act of 2007

(42 U.S.C. 1842 o-1)



- **SEC. 7009. RESPONSIBLE CONDUCT OF RESEARCH.**
- The [NSF] Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.

"Ethics Education and Scientific and Engineering Research: What's Been Learned? What Should Be Done?"

- Workshop at The National Academies, August 2008. Organized by Rachelle Hollander, Director, Center for Engineering Ethics and Society, NAE
- Participants: John F. Ahearne, Melissa S. Anderson, Francisco J. Ayala, Stephanie J. Bird, Richard Bissell, Jason Borenstein, Paul Citron, Daniel D. Denecke, Mark S. Frankel, Julia Frugoli, Hugh Gusterson, Joseph J. Helble, J. Britt Holbrook, Chuck Huff, Deborah G. Johnson, Kelly Laas, Felice J. Levine, Carl Lineberger, Michael D. Mumford, Simil Raghavan, Susan S. Silbey, Caroline Whitbeck, Joseph A. Whittaker, Wendy Reed Williams, Sara Wilson

What Should be Done

From 2008 National Academies workshop:

- Pay attention to context
  - Ethics training needs to be an integrated, organic part of scientific research. When understanding of research/professional integrity tied to daily research work it is most effective.
  - Multiple approaches are needed. Content will vary by disciplinary areas, career age of trainee, institutional location/resources.
- Online only training is **not** effective.
- Resources should be more accessible
  - A clearinghouse is needed for the many resources that already exist by discipline, student age, time available for training, approach (basic research practices or social justice/responsibility, connections to broadening participation, etc).
  - NSF should provide clearinghouse of resources (fund development of user-friendly searchable site and maintenance).
- Faculty investigators must be positively involved.
  - Even if institutional certification is the mechanism, NSF can encourage PIs to mention in 'broader impacts' how they will have their students educated about responsible research practices.

· Request for

ımber: 3145–0080.
' Approval: June 30,

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The Federal
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Dated: February 20, 2009.

Suzanne H. Plimpton,

Reports Clearance Officer, National Science Foundation.

[FR Doc. E9–4072 Filed 2–25–09; 8:45 am]

BILLING CODE 7555–01–P

NATIONAL SCIENCE FOUNDATION

Responsible Conduct of Research

AGENCY: National Science Foundation (NSF).

ACTION: Request for public comment on requirement for students and postdoctoral researchers involved in NSF proposals to be educated in the responsible and ethical conduct of research (RCR).

SUMMARY: The National Science Foundation (NSF) is soliciting public comment on the agency's proposed implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o–1). This section of the Act requires that ''each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.''

education. A recent NSF-funded workshop entitled *Ethics Education: What's Been Learned? What Should be Done?* was held by the National Academies of Science & Engineering. Information about the workshop, as well as additional resources, are available at: *http://www.nae.edu/nae/engethicscen.nsf/weblinks/NKAL-7LHM86?OpenDocument*. A brief notice about the workshop's main themes is forthcoming in *The Bridge*, Volume 39, Number 1—Spring 2009, which will be available online in mid-March at: *http://www.nae.edu/nae/bridgecom.nsf?OpenDatabase*. NSF is adding ''the responsible and ethical conduct of research'' as a Representative Activity in the listing of Broader Impacts Representative Activities available electronically at *http://www.nsf.gov/pubs/gpg/broaderimpacts.pdf*.

NSF is committed to continue its funding of research in this important area through programs such as *Ethics Education in Science and Engineering* (*http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=13338&org=NSF&sel_org=NSF&from=fund*) and to promote the development and implementation of effective practices through its education and training programs. The agency will also continue to explore other mechanisms to support the academic community's efforts in providing training in the responsible and ethical conduct of research.

Proposed Implementation Plan: Effective October 1, 2009, NSF will require that at the time of proposal

Comment 9: 11 respondents noted that although online training modules may teach rules, policies and guidelines, they should be complemented by more interactive, mentored-discussion of ethical principles and evaluation of case studies.

Response: **It will be up to each institution to determine how best to ensure effective and appropriate education in responsible research practices.**

NSF funds innovative research and education projects in ethics education in science and engineering including the development of resources and forums for the research community to discuss the most appropriate content in ethical research training and to develop shared guidelines. For example, NSF funded a workshop held at the national Academies of Science and Engineering in August 2008 entitled, ''Ethics Education: What Have We Learned? What Should be Done?'' The workshop report is available at the NAE's Center for Engineering, Ethics and Society's Web site: *http://www.nae.edu/?ID=14646.* Institutions are encouraged to visit the two beta sites NSF is supporting that provide resources on ethics education in science and engineering. These sites will serve as a foundation for an open competition for an ongoing on-line RCR resource on ethics education in science and engineering. This resource has the potential to provide a centralized location for information that can be used to help institutions and PIs meet their own particular needs. The resource will contain whatever information resources the community chooses to develop and share including research findings, pedagogical materials, and best practices.

It will be up to each institution and discipline to determine how best to ensure effective and appropriate education in responsible research practices.

NSF policy response timeline

- National Academies Workshop/consult the experts (Aug 2008)
- “Broader impacts” example for Grant Proposal Guide—train students participating in the research about responsible research practices (Jan 2009)
- Publish in the Federal Register/obtain community input (Mar 2009)
- Clearinghouse/digital library of resources, fund 2 ‘beta sites’ (May 2009)
- Publish responses to community input in Federal Register (August 2009)

Update on the Requirement for Instruction in the Responsible Conduct of Research

Notice Number: NOT-OD-10-019

Key Dates

Release Date: November 24, 2009

Issued by

National Institutes of Health (NIH), (http://www.nih.gov)

Purpose

The purpose of this Notice is to update NIH policy on instruction in the responsible conduct of research, convey some of the consensus best practices that have evolved in the research training community over the past two decades, and to provide access to additional information that may be useful to institutions and individuals in meeting their obligations under NIH policy. Specifically this Notice: 1) develops principles based on 20 years' experience of providing instruction in responsible conduct of research by the scientific research community; 2) is more specific about who should participate, how often instruction should occur, and the form that instruction should take; 3) addresses issues that have arisen as the practice of biomedical, behavioral and clinical science has evolved; and 4) provides guidance to applicants, peer reviewers and NIH staff in determining how well specific plans for instruction in responsible conduct of research compare with the best practices accumulated over the past two decades by the research training community.

Basic Principles

The following principles are based on several key concepts about responsible conduct of research and best practices that have evolved over the past two decades' experiences:

•Responsible conduct of research is an essential component of research training. Therefore, instruction in responsible conduct of research is an integral part of all research training programs, and its evaluation will impact funding decisions.

•Active involvement in the issues of responsible conduct of research should occur throughout a scientist's career. Instruction in responsible conduct of research should therefore be appropriate to the career stage of the individuals receiving training.

•Individuals supported by individual funding opportunities such as fellowships and career development awards are encouraged to assume individual and personal responsibility for their instruction in responsible conduct of research.

•Research faculty of the institution should participate in instruction in responsible conduct of research in ways that allow them to serve as effective role models for their trainees, fellows, and scholars.

•Instruction should include face-to-face discussions by course participants and faculty; **i.e., on-line instruction may be a component of instruction in responsible conduct of research but is not sufficient to meet the NIH requirement for such instruction**, except in special or unusual circumstances.

•Instruction in responsible conduct of research must be carefully evaluated in all NIH grant applications for which it is a required component.

Policy

NIH requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or institutional), research education grant, and dissertation research grant must receive instruction in responsible conduct of research. This policy will take effect with all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011. This Notice applies to the following programs: D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R. This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.

Working with Policymakers: When

Massachusetts Legislative Cycle (2-Year Process)

- Convenes January in odd year (next one 2023)
- Committee chairs named in February-March
- Bill hearings start in April
- Session goes through Thanksgiving of first year
- Picks up again after New Year
- Goes through July 31 of second year

Federal Legislative Cycle (Annual Process)

(117th Congress Jan 2021- Jan 23)
Bills continually being introduced
"Feeder Bills" – component of a larger bill to test the waters (e.g., Farm Bill)
March – Budget (funding essential for implementation)
Scheduled times to be in their home State

Working with Policymakers: What

Relevant Data (state / district / agency)

Programs with evidence that it works

Models from other states / countries

Stories that illustrate a point

Build Relationships (Schalet, Tropp, Troy Making Research Usable Beyond Academic Circles: A Relational Model of Public Engagement. SPSSI. 2020 Apr 27:1-21.)

Working with Policymakers: How

- Federal Register
- Formal presentations / briefings
- Testimonials
- White papers
- Op-eds
- Photovoice
- Infographics
- Policy Memos / Briefs / Narratives

Aim: To help clinicians and academic researchers engage in public policy process

Enhancing Evidence-Based Public Health Policy

Developing and Using Policy Narratives

Lisa M. Troy, PhD; and Kathryn G. Kietzman, PhD, MSW

ABSTRACT

Academic researchers and clinicians have a critical role in shaping public policies to improve the health of an aging America. Policy narratives that pair personal stories with research statistics are a powerful tool to share knowledge generated in academic and clinical settings with policymakers. Effective policy narratives rely on a trustworthy and competent narrator and a compelling story that highlights the personal impact of policies under consideration and academic research that bolsters the story. Awareness of the cultural differences in the motivations, expectations, and institutional constraints of academic researchers and clinicians as information producers and U.S. Congress and federal agencies as information users is critical to the development of policy narratives that impact policy decisions. The current article describes

ABOUT THE AUTHORS

Dr. Troy is Assistant Professor, School of Public Health and Health Sciences, and Professor of Nutrition, Commonwealth Honors College, University of Massachusetts Amherst, Amherst, Massachusetts; and Dr. Kietzman is Research Scientist, UCLA Center for Health Policy Research, and Assistant Researcher, UCLA Fielding School of Public Health, Department of Community Health Sciences, University of California Los Angeles, Los Angeles, California.

The authors have no potential conflicts of interest, financial or otherwise. Drs. Troy

Troy LM, Kietzman KG.
Enhancing evidence-based public health policy: developing and using policy narratives.
J Gerontol Nurs. 2016 Jun 1; 42(6):11-17.

The Public Engagement Project: https://www.umass.edu/pep/

Preparation

What is the policy issue?

Who is the appropriate policymaker audience?

- State and District Representation
- Political / Personal Mission
- Congressional Committees
- Federal / State Agencies
- Others

Overall Tone: Intent

- Clarify your intent or purpose to set the tone and content

Educate / Inform	Advocate/ Influence
Provide information	Request an action

Prepare for Policy Narrative – BREAKOUT Session 2

What's the Policy Issue? (1 minute)

What's your intent? (1 minute)

Inform – Provide Information

What do you want them to tell others?

Advocate – Request Policy Action

What is the action requested?

What will happen if they do or do not act?

What's your Main Message? (1 minute)

Refine your message based on Breakout 1

Your take away

Have a partner repeat back what they heard?

Was it what you wanted to say?

Your Title

What words best represent the policy issue and intent of the policy narrative?

Present in the form of Questions

Underscore the Consequences

Opening or Hook

What is a compelling universal statement that ties to the policymakers' interests?

Why now?

- Time of year, Holiday or Anniversary
- Current events
- Policy coming up for reauthorization

Why should they care?

- Play to the emotional side of the topic

Core

What is an emotional story to underscore the policy issue, conflict, and possibly a resolution?

What analytical facts and research support the emotional story and link to a broader context?

Are there any inherent benefits or risks associated with the current or proposed policy?

What state or district level data place the story and facts into the policymakers' context?

Closing / Catalyst

What is your take away message (Breakout 1)

Return to your intent (Breakout 2)

If the intent is to educate and inform, provide a distillation of the story and facts for neutral unqualified messages;

If the intent is to advocate and influence, provide unqualified messages that lead to specific policy recommendation(s).

Draft your Policy Narrative– BREAKOUT Session 3

Title

represent the policy issue or intent of the policy narrative

Opening / Hook

Why now? Why should they care? Link to policymakers' interest

Core

Research findings paired with a story;
Benefits or risks of policy or action/inaction;

State District data

Closing / Catalyst

Intent – inform or advocate
Main message – take away

Soundbite – something policymaker can repeat verbatim

Present your Policy Narrative

- It's not what you say, it's what people hear
  - Start with your message (first thing is what's remembered)
  - Framing (https://www.frameworksinstitute.org/)
  - Where is their starting point? (in favor, neutral, opposed)

- Responding to Questions
  - Bring back to your message
  - Question – Response + Your message

- Time together
  - Short and Focused
  - Don't go it alone

Reflect on your public policy self

- What do I want?
  - Raise awareness /Change a policy
  - Be the go to person
    (R Piekle (2008): The Honest Broker: Making sense of science in policy and politics)
- Am I the right person to do it?
  - Adapt to the culture
  - Create the time
  - Build Relationships (Schalet, Tropp, Troy Making Research Usable Beyond Academic Circles: A Relational Model of Public Engagement. SPSSI. 2020 Apr 27:1-21.)
- Where am I going to get help?
  - Trainings, workshops, fellowships
  - Networks
  - UMass Resources http://www.donahue.umassp.edu

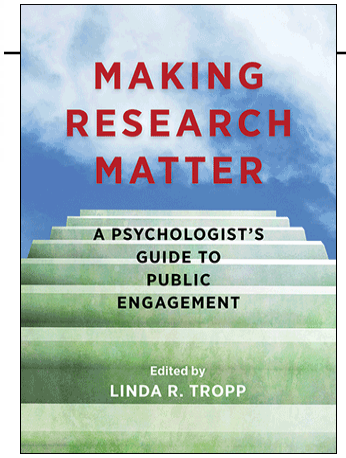
Summary and Lessons Learned

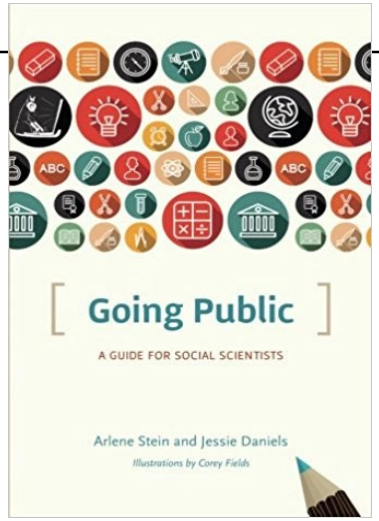
- Policymakers want to hear from you
  - Scientific Method seen as valid / non-partisan
  - "Policymakers": Agencies, Staff, Constituents, NAS
- Effective and Simple messaging
  - Flipped from academic: Bottomline first
  - Unqualified messages
  - Soundbite: they can repeat verbatim
- Iterative Process
  - The more you do it, the more you learn
  - Keep Refining your message
- Decide where / how you want to contribute
  - Career with many Chapters – can change over time

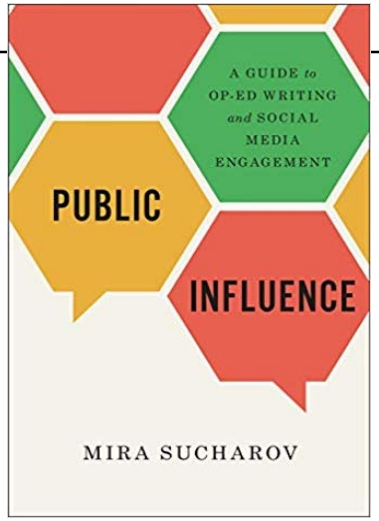
Resources

PUBLIC ENGAGEMENT PROJECT
UNIVERSITY OF MASSACHUSETTS

Public Policy







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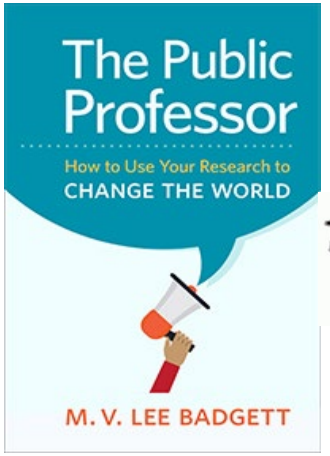

SSN SCHOLARS STRATEGY NETWORK

The OpEd Project

THE CONVERSATION
Academic rigour, journalistic flair

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Thank you For Participating !!
University of Massachusetts Amherst
BE REVOLUTIONARY