

Attachment 3b

National Institutes of Health An Outcome Evaluation of the NIH Director's Pioneer Award (NDPA) Program

Online Survey for NDPA Unfunded Applicants

Last Name, First Name:

Title:

Date:

STPI staff:

STATEMENT OF INFORMED CONSENT

The National Institutes of Health (NIH) asked the Science and Technology Policy Institute (STPI) to evaluate the outcomes of the NIH Director's Pioneer Awards (NDPA). STPI is an FFRDC (federally funded research and development center based in Washington DC). The primary objectives of the outcome evaluation are to: (1) assess whether the awardees are doing pioneering research and (2) determine the spillover effects of the NDPA program.

A variety of data collection techniques are used to answer these questions; including asking those who have received the award for their input. This survey is one mechanism that will provide important information concerning the overall outcomes of the NDPA program, and will hopefully highlight common markers of pioneers that can contribute to our understanding of high-risk, high-impact research. We anticipate conducting approximately 440 surveys.

Please note that:

- **Your responses will be kept strictly confidential:** If you choose to participate, respondent confidentiality will be protected to the extent provided by law, and STPI will report only aggregate information concerning overall impressions of the process to the NIH.
- **Your participation is entirely voluntary:** You are under no obligation to interview with us, but we strongly encourage you to do so. A successful evaluation of the NDPA awardees process depends on a high response rate to gather as much information and as many perspectives as possible. There are no consequences or risks for participating. Refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled, and you may discontinue the interview at any time without penalty or loss of benefits to which you are otherwise entitled.
- **Whom to contact for additional information:** For additional information about the study you may contact Bhavya Lal, STPI project director at 202-419-3720 or blal@ida.org. If you have any questions that you would like to address to the NIH Office of the Director, please contact G. Stephane Philogene, Ph.D., the OD Program Officer responsible for this evaluation (e-mail: PhilogeS@OD.NIH.GOV).

Public reporting burden for this collection of information is estimated to average 10 minutes per interview. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing

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this burden to: NIH Project Clearance Officer, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA 0925-xxxx.

Online Survey for NDPA Unfunded Applicants

You submitted a proposal to the NIH Director's Pioneer award in 2004 [2005] [2006]. [2007]. We are interested in whether you pursued the idea that you proposed in 2004 [2005] [2006]. [2007]..

Last Name, First Name:

Institution:

Title:

Date:

Gender:

- Male
- Female

STATEMENT OF INFORMED CONSENT

The National Institutes of Health (NIH) asked the Science and Technology Policy Institute (STPI) to evaluate the outcomes of the NIH Director's Pioneer Awards (NDPA). STPI is an FFRDC (federally funded research and development center) based in Washington DC. The primary objectives of the NDPA Survey of Unfunded Applicants are to assess what happens to proposals not funded by the NDPA program. We are surveying all NDPA applicants in 2009 who submitted a proposal in 2004-2006 (approximately 900 applicants) and another in 2010 for those submitted a proposal in 2007 (approximately 400 applicants).

Please note that:

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- **Your participation is entirely voluntary:** You are under no obligation to interview with us, but we strongly encourage you to do so. A successful evaluation of the NDPA applicants depends on a high response rate to gather as much information and as many perspectives as possible. There are no consequences or risks for participating. Refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled, and you may discontinue the interview at any time without penalty or loss of benefits to which you are otherwise entitled.
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Online Survey for Unfunded NDPA Applicants

This research is to look at the ideas and careers of creative research investigators. Your name was provided on a list of creative investigators in the biomedical field. You submitted a proposal to the NIH Director's Pioneer award in 2004 [2005] [2006]. [2007]. We are interested in understanding what has happened to the idea that you proposed in 2004 [2005] [2006]. [2007].

1. Would you have chosen to submit an application containing your NDPA idea to the NIH if the NDPA program did not exist?

- Yes
- No
- I do not know
- I cannot recall

2. How would you rate your NDPA idea on risk?

- Not risky
- Of medium risk
- Very risky
- I do not know
- I cannot recall

3a. Was the research in your proposed NDPA project a significant departure from your previous research directions?

{Choose one}

- Yes
- No

3b. In what way(s) did your proposed NDPA project differ from your previous research directions?

{Enter answer in paragraph form}

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4. In what way was your NDPA idea different from what is typically funded by the NIH?

{Enter answer in paragraph form}

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5a. In your opinion, what is the likelihood that your NDPA-proposed research would have been supported by any other funding sources (including NIH awards and others)?

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{Choose one}

- Very likely
- Somewhat likely
- Somewhat unlikely
- Very unlikely

5b. Why do you think your NDPA-proposed research could or could not have been supported by other funding sources (NIH and beyond)?

{Enter answer in paragraph form}

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6. Please indicate which of the following statements (if any) are true for the ideas you proposed to NDPA in 200X:

{Choose all that apply}

- One or more of the fundamental ideas underlying my proposed research were at odds with prevailing wisdom
- My proposed research required use of equipment or techniques that have not been proven or are extraordinarily difficult
- My proposed research required knowledge of fields beyond my previously demonstrated area of expertise
- My research involved a novel combination of perspectives, disciplines, or approaches
- None of these statements is true of my proposed research

7. Please indicate which of the following potential outcomes of scientific research apply to your proposed NDPA idea in 200X:

{Choose all that apply}

- My proposed research could result in the formulation of a novel idea (or set of ideas) that could instigate a new cognitive frame or advance theories to a new level of sophistication.
- My proposed research could result in the discovery of new empirical phenomena that could stimulate the generation of new theories.
- My proposed research could result in the development of a new methodology, enabling empirical testing of theoretical problems.
- My proposed research could result in the invention of novel instruments that could instigate new search perspectives and research domains.
- My proposed research could result in new integration of formerly disparate ideas into general theoretical laws enabling analyses of diverse phenomena within a common cognitive frame.
- None of these statements is a potential result of my proposed research.

8. Did you choose to pursue the idea(s) proposed in your NDPA application?

- Yes **CONTINUE**

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- No **GO TO QUESTION 20**

9a. Did you seek funding for this project?

- Yes
 No

9b. Was the project funded?

- Yes
 No

10a. What was the funding source?

- NIH
 NSF
 Private Foundation
 Institutional Employer
 Other

10b. How were you able to work on the NDPA idea? Please check all that apply:

- By using institutional funds
 By using other grants that I have
 I collaborate with a colleague who provides the funding
 My work is theoretical and requires minimal funding for supplies and I donate my time
 Other _____

11. On a scale from 1 to 7 where 1 is “Not at All” and 7 is “Substantially”, to what extent did you modify the idea proposed in your NDPA application?

Not At All							Substantially
1	2	3	4	5	6	7	

12a. On a scale from 1 to 7 where 1 is “Just Beginning” and 7 is “Essentially Complete”, how complete is the work on your research project to pursue this idea?

Just Beginning						Essentially Complete
1	2	3	4	5	6	7

12b. Has the work proposed in the NDPA application resulted in a publication(s)?

- No
 Manuscript in preparation
 Yes. Please specify the journal(s): _____

13a. Has the work proposed in the NDPA application resulted in a presentation at scientific conference(s)?

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- No
- Yes

13b. If yes, how did you get selected to present at the conference?

- I was invited by the organizers to give a presentation at a conference
- My presentation was selected through competitive submission

14. Has the work proposed in the NDPA application resulted in a patent application or issued patent?

- No
- Yes

15. To date, how would you evaluate the impact of the project? Please select all that apply

- The idea has already made some contribution to my research field
- The idea has already made significant contribution to my research field
- The idea has already made some contribution to another research field
- The idea has already made significant contribution to another research field
- The idea is being considered for licensing or commercialization
- The idea has already been licensed or marketed commercially
- No impact so far
- I do not know

16. How would you evaluate the potential impact of the project on your research field?

- Low
- Medium
- High
- I do not know

17. Given where you are with your work on this project, how long do you think it will take for your project to have an impact on the research field? _____ years

18. How would you evaluate the potential impact of the project on another research field?

- Low
- Medium
- High
- I do not know

19. Have other scientists given you any feedback on the impact of your project? Please select all that apply:

- Other scientists think that the idea has made some contribution to my research field
- Other scientists think that the idea has made some contribution to another research field
- Other scientists think that the idea has made significant contribution to another research

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field

- I did not get any feedback
- I cannot recall

20. **[FOR THOSE WHO ANSWERED NO TO QUESTION 8]** Why did you choose not to pursue the idea proposed in your NDPA application? Please select all that apply:

- I applied for grants to fund the project, but was unable to get the funding
- I did not apply for grants to fund the project
- I am no longer interested in the idea
- I do not have time to pursue the idea
- The work proposed has been done or is being done by someone else
- I made a decision that the idea was not practical/feasible
- Other

[FOR ALL INTERVIEWEES, PLEASE ASK QUESTIONS 16-21.]

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21. Please indicate which of the following important developments have taken place since your NDPA application? Please check all that apply:

- I received an award(s)
- I was promoted
- I have received tenure
- I published a key paper(s)
- I filed a patent application or have been granted a patent
- I received additional funding
- I expanded my research group
- I formed new partnerships/collaborations
- I changed my research direction
- I changed institutions
- Other

22. Comparing where you are now with where you were at the time that you applied for NDPA in terms of your scientific reputation and your leadership roles in the field and at your institution, have you

- Progressed substantially more than peers
- Progressed about as much as your peers
- Progressed substantially less than peers

23. (For those who check 'I received an award' in Q21) What awards have you received since your NDPA application?

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24a. (For those who check 'I changed my research directions' in Q21) To what extent did applying to the NDPA program significantly change your future research direction(s)?

{Choose one}

- Completely
- To a large extent
- To some extent
- Not at all

24b. In what way has your research changed?

{Enter answer in paragraph form}

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25. Prior to your NDPA applications, has your research been funded by the NIH?

- Yes
- No

26. Did you approach a scientific problem differently in your NDPA application compared to other funding applications?

- No
- I cannot recall
- Yes. In what way?

27. In our effort to continue following the paths of exceptional researchers with creative ideas, we would like to administer this survey again in 2-3 years. It would be a tremendous help to have your input again. Would you be willing to complete this survey at that time?

- Yes
- No
- Maybe

28. Please feel free to share any other thoughts with us related to the NDPA program or tell us more about yourself.