

CATALyST[®]

LHS K12 Scholar Program



Scholar Program Handbook

-- October 2022 --

Note to readers: This handbook provides guidance and outlines expectations for CATALyST LHS K12 Scholars and mentors. It is a living document and will be periodically reissued with updates. Please contact the program administrator, Susan Brandzel (susan.x.brandzel@kp.org) to request additional information for future versions.

As of April 2022, CATALyST activities remain primarily virtual due to the ongoing COVID-19 pandemic. Reference to in-person activities in this handbook will only be in play when in-person activities are safe to resume on a regular basis.

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PROGRAM GOALS

The [CATALyST K12 Scholar Program](#) is a scientific training endeavor funded by the Agency for Healthcare Research and Quality (AHRQ) and the Patient Centered Outcomes Research Institute (PCORI). It is administered by Kaiser Permanente Washington Health Research Institute (KPWHRI). CATALyST is a collaborative program that includes faculty and learning opportunities based at KPWHRI, the University of Washington, Washington State University Elson S. Floyd College of Medicine and the VA Puget Sound Health Care System as well as other partner organizations. CATALyST is one of 11 Learning Health System [K12 Centers of Excellence \(COEs\)](#).

CATALyST is aimed at instilling methodologic and practical knowledge about learning health system (LHS) research in early-career scientists. This goal is accomplished through didactic, interactive, observational and experiential opportunities for scholars.

CATALyST Scholars are selected based on their professional training, experience, goals and their fit with a learning health system training program. They are also chosen based on the promise they show during the admissions process to be an active learner, leader and collaborator. In the spirit of continuous learning, scholars and their mentors are encouraged to make suggestions to the program's leadership team to maximize the relevance and impact of this concentrated time of professional development. CATALyST is intended to provide a meaningful, nourishing and ambitious learning community to scholars and other scientists interested in expanding their understanding and practice of learning health system research.

PROGRAM LEADERSHIP

The CATALyST scholar program is co-directed by Drs. James Ralston and Paula Lozano and administered by Susan Brandzel. They comprise the CATALyST leadership team and are dedicated to providing scholars with a high-quality, meaningful experience while in the program. Questions about the program should be directed to the leadership team.

PROGRAM COMMUNICATION

The success of the CATALyST Program depends on reliable communication. Scholars and their mentors are asked to respond to program queries in a timely manner unless they are on leave. Scholars are also asked to proactively relay anticipated absences to program leadership team and mentors in advance of departure (bar unforeseen circumstances), and to arrange for coverage for program-related responsibilities during longer outages.

PROGRAM MATERIALS

The [CATALyST website](#) contains various program materials, including templates form scholar documentation, such as the Individual Development Plan (IDP), Activity Tracker, and Request for Use of Research Funds. ***Scholars should use program templates directly from the site rather than previously stored versions to avoid using an outdated version.*** The program website also contains articles of interest and links to other program and LHS materials. Scholars and program faculty are invited to request additions to the program website via the program administrator.

SCHOLAR FTE

At the time of their application submission, CATALyST Scholars commit to AHRQ's requirements regarding the use of their time while in the program. These requirements include that all scholars must have a 1.0 FTE position at their institution, and they must dedicate a minimum of 0.75 FTE to the CATALyST Program. Scholars may commit more time to the program, but there are no additional funds available for additional effort. Each Scholar should work with their mentors to develop a curriculum and timeline that takes this expectation into consideration. Mentors and program co-directors will regularly check to ensure milestones are being met.

Scholars must also ensure, before the program start date, that their total FTE/support/committed time does not exceed 100% (or no more than 25% beyond CATALyST). This means that, in addition to their 75% protected time, they cannot have more than 25% FTE charged to grants or clinical time at their home institution.

SCHOLAR LEAVES OF ABSENCE

If a scholar needs to take a leave while part of CATALyST, they should work with their home institution and the CATALyST program administrator to determine compensation management and how their timeline may be adjusted. To maximize the scholar's CATALyST experience, they are encouraged to approach their home institution about covering their salary and fringe during their leave, so that dedicated program funds can be saved for when the scholar is actively engaged in the program.

WORK-IN-PROGRESS (WIP) MEETINGS

CATALyST WIPs are the locus of knowledge transfer and collaboration for members of this training program's community. Program leadership aims to create a relevant, innovative, participatory, equitable and welcoming environment in which scholars feel comfortable pitching ideas, asking questions and learning from subject matter experts. Scholar engagement and participation is key. WIPs are designed to enable scholars to practice multidisciplinary skills, share their perspectives and learn from one another and allow them to learn from each other

by providing unique perspectives on their own research and that of their peers, and by working to improve one another's research. This process enables real-world application of research principles that develops proficiency in lead investigator competencies in translational research.

Attendance by both scholars and mentors is essential and directly tied to scholar growth and progress. In addition to contributing their perspectives to the discussion—benefitting all scholars—mentors should reinforce key learnings and ideas from WIPs in subsequent mentoring meetings with their scholar.

WIPs include two main types of presentations: 1) scholar work-in-progress updates; and 2) seminars by subject matter experts.

- Scholars will present a progress update during an a WIP meeting on a quarterly basis. In preparation for this presentation, scholars should ensure that their *full mentorship team* will be present.
- Seminar programming is designed to expose scholars to the [seven core competency domains of learning health systems science](#). Scholar and mentor input are used to prioritize content and identify speakers.

Presentations made in CATALyST WIPs may be considered confidential or proprietary. Thus, none of their content should be shared outside of the WIP without the permission of the presenter and/or program leadership. WIPs are recorded for the purposes of being available to members of the CATALyST community who were not able to attend the WIP live.

WIP COORDINATION

Each quarter, one scholar is assigned to coordinate the WIPs. This responsibility rotates during each scholar's tenure in the program. This responsibility enables scholars to take an active role in their own training and professional development and gives them the opportunity to meet others in our LHS community within our COE and across other COEs. The role of the scholar WIP Coordinator is to:

1. identify priority LHS learning objectives from the scholars;
2. work with the WIP program director lead (Dr. Ralston), scholars and other faculty to identify and invite speakers;
3. orient invited speakers to the WIP format and to the scholars' specific learning objectives for the session;
4. provide a title and description to the CATALyST research support specialist one week in advance, to be distributed to the CATALyST community; and
5. thank presenters after the WIP via e-mail.

WIP COORDINATION WORKFLOW

Below is a helpful guide to coordinating WIPs during your assigned quarter. You can also find this workflow under 'files' on our CATALyST Teams channel.

Draft Workflow for WIP Coordination: Overview of Your Quarter

Step	Notes
1. Gather the dates/times of WIPs during your quarter from the Program Administrator, who maintains a master list of upcoming dates and speakers and will have an updated list of priority topics based on Scholars' IDPs	
2. Identify subject matter areas and potential speakers, keep in mind scholar updates (~3x/yr per scholar)	
3. Reach out to potential guest speakers for scheduling	
4. Reach out to current scholars to request learning objectives and target LHS competencies once speaker and presentation topic have been identified.	
5. Provide scholar feedback regarding objectives and competencies to presenter	
6. Follow the in Individual Seminar workflow for each presentation. Some steps are only needed for non-scholar presenters, and some should be taken for all presenters. Follow the highlights below for guidance.	
7. Complete a short survey at end of quarter to give feedback on how the coordination went.	

Draft Workflow for WIP Coordination: Coordinating Individual Seminars

Step	Email Template
<i>ONE MONTH PRIOR TO DATE</i>	
<p><u>Checklist and Suggested Reminders to set on your calendar:</u></p> <p>4 weeks before WIP date: confirm presentation</p> <p>2 weeks before WIP date: update presenter with learning objectives</p> <p>2 weeks before WIP date*: obtain title and materials (if any) for the presentation. CC RSS so they can update the invitation and circulate. (it's recommended to send this email out immediately after the WIP for the</p>	

next presentation)

1 week before WIP date: prep to introduce speaker. (RSS will update calendar item with title and send materials by this date)

Day of/after WIP: Send thank you to presenter

***If there will be no presenter, instead email the leadership team for title, materials, and anything else that should be disseminated to prepare.**

Test = Only needed for external presenters

Test = Needed for all presenters

1. Confirm date and time with speaker; orient speaker to format

Template For Communication with Non-Scholar Presenter:

Subject: CATALyST- Information Concerning your WIP Presentation

[Presenter Name(s)],

We are looking forward to your presentation for a CATALyST LHS K12 program Works-In-Progress seminar. Thank you for agreeing to participate. The following are details about what you can expect:

- Date for your presentation: **[Date/Time including time zone]**
- Format of the session: The total time for each WIP is 90 minutes, though the last 15 are reserved for administrative discussions among the scholars and mentors. Presenters should plan to speak for between 45 and 60 minutes, and reserve the remaining 15-30 minutes for discussion.
- The WIP coordinator will share scholar learning objectives with you So you can tailor the information you share to address these goals.
- The WIP coordinator will reach out to you a week before their seminar to collect the official title and any supplemental materials you may wish to distribute.

	<p>Please let me know if you have any questions. I'll be following up with some learning objectives from the k12 scholars to help guide the presentation as it gets closer to.</p> <p>Thank you,</p>
<i>3 WEEKS PRIOR TO DATE</i>	
<ul style="list-style-type: none"> • Solidify learning objectives for the presentation. Email Paula and Diana and cc the Program Administrator and RSS if you'd like to schedule a check-in to discuss learning objectives or brainstorm. 	
2. Provide speaker with draft learning objectives	<p><u>Template For Communication with Non-Scholar Presenter:</u></p> <p>Subject: CATALyST- Learning Objectives for your WIP Presentation -----</p> <p>[Presenter Name(s)],</p> <p>Thank you, again, for accepting the invitation to be our invited speakers at the [Date] CATALyST WIP Meeting. As promised, I've compiled a list of learning objectives from the K12 scholars. It is our hope that these learning objectives will be helpful as you prepare for the meeting. The learning objectives are:</p> <p>[Objectives]</p> <p>And here are a couple questions I've prepared in advance to ask you during the presentation in order to draw out themes we're interested in as K12 scholars, for your consideration:</p> <p>[2-3 Questions related to their work/learning objectives]</p> <p>Please let me know if you have any questions. I'll be in touch again as the date approaches to get a title of the presentation.</p> <p>Best,</p>
<i>AT LEAST TWO WEEKS PRIOR TO DATE</i>	
4. Obtain and circulate title and materials ahead of time (Copy RSS-xoe.e.amer@kp.org on this thread)	<p><u>Template For Communication with All Presenters:</u></p> <p>Subject: CATALyST- Materials and Title For [date] WIP</p>

	<p>Presentation -----</p> <p>Hi [name],</p> <p>You're the next CATALyST presenter! For your [date] WIP presentation on [topic], will you send me a title and any materials for the attendees by next Monday [date]?</p> <p>Thanks so much,</p>
<i>DURING THE SEMINAR</i>	
<p>5. Come prepared to introduce the speaker, describe learning objectives, facilitate discussion and have a couple of questions ready to go</p>	<p>Guidelines for Introducing Non-Scholar Speaker:</p> <ul style="list-style-type: none"> • Title and affiliation • Highlight relevant projects • Expand on learning objectives/why speaker was asked • Pre-prepared questions for speaker (should be sent to speaker ahead of time with learning objectives):
<i>1-2 DAYS AFTER THE DATE</i>	
<p>7. Send speaker a thank you note</p>	<p>Template For Communication with Non-Scholar Presenter:</p> <p>Subject: CATALyST- Thank you for Presenting! -----</p> <p>[Presenter Name(s)],</p> <p>Many thanks from all the K12 scholars for your presentation at the CATALyST WIP. We appreciate all the time and effort spent on putting it together and the knowledge and experience you shared with us today.</p> <p>If there are any resources and links you think would be helpful for scholars to reference feel free to send them to me and I will pass them on. If you want to access the recording of your presentation, please email our support person, Xoe, at xoe.e.amer@kp.org and she'll help with that. We hope you will feel welcome to continue being part of the CATALyST community. If you are not already on it, you are welcome to request that I to add you to the WIP Outlook invitation for future events.</p> <p>Sincerely,</p>

ANNUAL PROGRAM SYMPOSIUM

The CATALyST Symposium is an annual event hosted or co-hosted by KPWHRI that addresses issues in the conduct of LHS research. Scholars and primary mentors will be polled for schedule availability and are asked to prioritize attendance. The symposium agenda is designed to include opportunities to hear LHS-related presentations from and have interactions with researchers and stakeholders. Scholars will be engaged in symposium planning and presentations.

INDIVIDUAL DEVELOPMENT PLANS

The CATALyST scholar [Individual Development Plan](#) serves as a road map of the scholar's plans for professional development, training and research activities. The scholar is responsible for drafting the IDP, with input from their full mentorship team and CATALyST program directors during their first quarter as a CATALyST Scholar. The IDP includes key goals and milestones. It should demonstrate the link between the seven [LHS core competency domains](#) and scholar plans. The IDP is a living document and should be updated at least semi-annually with the mentorship team. New scholars will be asked to draft and submit their initial IDP by January 15th following their program initiation date. All scholars will be asked to submit their updated IDPs to the CATALyST leadership team twice per year.

RESEARCH FUND MANAGEMENT

CATALyST provides \$25,000 annually (+8% in indirects) to each scholar to support their learning and research. Scholars are strongly encouraged to use these funds strategically to help secure independent funding, build capacity as an LHS scientist, develop professional liaisons and collaborations, and expand leadership skills. Each scholar should work directly with their mentoring team to align the use of these funds with the short- and long-term goals outlined in their IDP. These funds can be used for various opportunities, including, but not limited to:

- Course tuition
- Conference travel & attendance
- Data collection
- Transcription services
- Analytic and design support
- Participant incentives
- Specialized software relevant to research goals

The CATALyST budget year begins September 30th and ends on September 29th. At the onset of each budget year, the CATALyST Program administrator will work with grants and contracts

staff to help each scholar establish a budget containing CATALyST research funds either at their home institution or at the institution where their research will be taking place.

To access CATALyST research funds, scholars must complete and submit the [Request for CATALyST Research Funds Application Form](#), to the program administrator via email. In advance of this submission, the primary mentor must review the application and indicate their support by signing the form. Electronic signatures are acceptable. *No expenses can be incurred until the scholar has received formal approval for their request.* Research fund requests will be reviewed and a response furnished to the scholar within a week of its submission to the program administrator.

Scholars are advised that AHRQ does not guarantee carryforward of unused funds to subsequent years. Residual funds from a previous budget year can be requested from AHRQ after that budget year is closed out, which is typically about 60 days after that budget year ends. It is up to the discretion of AHRQ as to whether these carryforward funds are issued.

IRB APPLICATIONS AND OUTCOMES

All CATALyST scholar research activities involving human subjects must be reviewed by an IRB and approved before initiation, and must comply with federal, state and institutional policies. Scholars should work with their mentors to determine which activities require review and which IRBs should be engaged. CATALyST leadership is required to provide documentation to AHRQ regarding Scholar IRB submissions. **Therefore, Scholars must furnish all IRB submissions and approvals, including “not research” designations and exemptions, to the CATALyST program administrator upon receipt from the IRB.**

SCHOLAR ACTIVITY TRACKING

To facilitate tracking and documentation of progress, scholars are asked to record their activities using the [Activity Tracker template](#). The Activity Tracker template includes sections for presentations, conference attendance, publications, etc. Scholars are encouraged to track all career development and research activities, even if not directly related to the program, to demonstrate their progress. Scholars should update their Activity Tracker regularly and review it quarterly to ensure that it has captured relevant activities. A new tracker should be started for each year a scholar is in the program and should be aligned with the CATALyST budget year (9/30-9/29).

ANNUAL PROGRAM REPORTING

On July 1 of each year, the CATALyST Program is responsible for submitting the Research Performance Progress Report (RPPR) to the sponsor, to demonstrate that funding was used appropriately and that the intentions of the training program are coming to fruition. The Activity Tracker described above is a key source of information for this reporting. As part of preparing the Research Performance Progress Report (in Q2 of each year), the program administrator will provide scholars a progress update template. Scholars will be asked to submit their completed progress update on or about May 15th for inclusion in the report.

SCHOLAR GRANT APPLICATIONS

Positioning scholars for successful independent grant funding is one of the main goals of CATALyST training. Throughout their time in the CATALyST Program, scholars will be planning and composing grant applications that will work toward independent funding. They are also encouraged to partner with other investigators to secure additional grant funding during the course of the program. The scholar's grant strategy (i.e., funding mechanism, sponsor and timing of submissions) should be tailored to the scholar's career stage, research topic and design.

In the event that a scholar is awarded a grant of \geq \$100,000 as principal investigator in *direct annual costs* while in the program, they will no longer be eligible to be an AHRQ LHS K12 scholar and will need to exit the program early. In this case, the CATALyST program administrator will work with the scholar to determine when program withdrawal will happen and to help facilitate the termination of any subcontracts that may be in place.

PROGRAM ACKNOWLEDGEMENT AND PUBLICATION REQUIREMENTS

All publications and presentations made possible by the CATALyST program (either partially or entirely), should be cited with the following verbiage: *"This project was supported by grant number K12HS026369 from the Agency for Healthcare Research and Quality. The content is solely the responsibility of the authors and does not necessarily represent the official views of the Agency for Healthcare Research and Quality."* This requirement includes publications that are submitted while in the program that used any K12 salary or research funds for support. **Scholar should notify the program administrator of any manuscripts accepted for publication and provide the citation on the Activity Tracker.**

Once a scholar is notified that an article has been accepted for publication in a peer-reviewed journal, AHRQ requires the completion of a journal article tracking notification form and that scholars send it to the Journal Publishing Team in AHRQ's Office of Communications and

Knowledge Transfer at journalpublishing@ahrq.hhs.gov. This fillable PDF is also available on AHRQ's website at <http://www.ahrq.gov/research/publications/pubcomguide/pcguide3.html#journal> (under "Journal Article Tracking").

SCHOLAR/MENTOR TEAM MEETINGS AND DOCUMENTATION

Each CATALyST scholar is the shepherd of their mentorship team. They should schedule mentorship meetings at least monthly (preferably weekly) with their primary mentor and at least quarterly with their full mentorship team. Scholars should keep minutes from their mentoring team meetings to document feedback, as well as decisions and action items, and should be prepared to provide minutes and/or updates to program leadership upon request. Scholars should keep their mentor teams informed about their decision-making, research plan changes, and progress. Mentor feedback should be incorporated into the scholars' twice yearly IDP updates. Mentors will be asked to participate in annual evaluations of the CATALyST Program and of their individual scholars. Mentor contributions to the scholar's development will be evaluated annually.

MENTORING PROGRAM SCHOLARS

Primary Mentor Role

CATALyST primary mentors play a critical role in the success of a scholar and the program. As subject matter experts and senior scientists, primary mentors support the scholar in the pursuit of their research, training and career development aims. They are also highly valued resources who help create a rich teaching environment. The following list describes the central responsibilities of primary mentors:

- meet regularly with the scholar (at least monthly);
- ensure that the scholar's IDP and any requests for research funds are feasible/realistic and consistent with the scholar's short- and long-term goals;
- provide feedback on manuscripts and grant applications;
- facilitate professional introductions, with a focus on health system leaders and potential research collaborators);
- identify training opportunities;
- attend and contribute to WIP meetings, including periodic presentations relevant to program goals;
- attend and contribute to the annual CATALyST Symposium;
- assist the scholar in the navigation of barriers or unexpected changes to research;
- model respect, inclusion, scientific integrity and professionalism; and

- provide feedback as part of annual CATALyST Program evaluation, in the spirit of continuous improvement.

While primary mentors are advocates and supporters, scholars are the “owners” of their professional development experience, by taking the lead in communicating with mentors and setting meeting agendas, etc. Mentors and scholars are encouraged to foster open and honest communication that allows for regular feedback and adjustments. Mentors should feel welcome to make requests or suggestions to the program administrator and co-directors about ways to improve the program.

As crucial members of the CATALyST community, primary mentors are asked to adhere to program norms that help maintain clear and timely communication and ensure sufficient scholar support. These norms include:

- responding promptly to emails from scholars and program leadership;
- notifying the scholar or the program administrator of anticipated absences that will result in missing a WIP or other CATALyST event;
- reviewing scholar’s research fund requests and other documents in a timely manner;

If a primary mentor is unable to fulfill their obligations to the scholar, they must arrange for a meeting with the CATALyST co-directors to develop an alternative plan. Any mentorship changes must be reported to the program administrator when they occur. If a new primary mentor is being appointed who is not already part of the CATALyST faculty, the mentor should send their current CV to the program co-directors and the program administrator. They will subsequently seek approval from AHRQ for the new mentor.

Each primary mentor will be offered up to \$5000 total each year to offset the time required for carrying out this role. This amount includes fringe and the 8% indirects. The program administrator and KPWHRI grants team will facilitate the budget set-up and/or sub-contracting necessary for this compensation and work with the mentors to ensure the provision of these funds.

Secondary Mentor Role

Secondary mentors are typically subject matter experts whose research and experience are relevant to a scholar’s CATALyST research and professional goals. The secondary mentor provides scientific guidance, arranges professional introductions, reviews draft of the scholar’s grants, and identifies training opportunities. They are expected to be responsive to scholar requests for meetings and stay abreast of their plans and progress. All the mentor responsibilities listed above for primary mentors also apply to secondary mentors with two exceptions:

- Frequency of meetings with scholar: Secondary mentors are expected to participate in a minimum of quarterly full mentorship team meetings.

- WIP attendance: When possible, secondary mentors should attend CATALyST WIPs. Their attendance is required when the scholar whom they support is presenting their progress update.

PROGRAM EVALUATION

CATALyST Evaluation Philosophy

The CATALyST Program espouses a growth mindset, meaning its leadership will take every opportunity to learn from all aspects of the program in the hopes of providing the optimal experience for scholars and ensuring that they are taking full advantage of the program for their professional development.

Program Evaluation Plan

The CATALyST program uses three evaluation approaches to ensure that program goals and participant expectations are met:

Formal evaluation: CATALyST engages an independent evaluator who leads a formal annual 360° evaluation. The evaluator conducts annual scholar interviews, analyzes the data, and generates a synthesized, anonymized summary for the leadership team. Additionally, an annual, online mentor survey is conducted with both primary and secondary mentors to obtain their feedback on the program and on the scholars.

Feedback sessions: The CATALyST leadership team is responsible for holding informal annual feedback sessions with mentors and scholars, to discuss review general program expectations, plans and timelines. Program leadership will also use these meetings to share findings from the formal program evaluation.

Exit interviews: At the end of their tenure in CATALyST, each scholar will take part in an exit interview to give comprehensive feedback about the program.

Program leadership will work with mentors to develop solutions for any programmatic areas that warrant improvement. If the evaluation reveals unmet mentoring needs, the program directors will work with individual scholars to develop a plan for remediation and, if warranted, replacing a mentor.

PERFORMANCE REMEDIATION

CATALyST scholars enter the program having been selected based on the professional excellence they have demonstrated via a rigorous admissions process. The program is designed to choose candidates with promising potential for success. The CATALyST leadership team also recognizes that this is a demanding program and that professional plans and life circumstances can change unexpectedly. Therefore, if a scholar is having difficulty meeting the program

expectations (such as those outlined in this handbook or as identified by themselves or their mentorship team), the scholar and mentors should proactively engage the program leaders in constructive conversation to help navigate the situation. Program leadership is committed to helping scholars overcome obstacles and supporting them on the path most useful to them. In the rare case that a scholar is still not able to meet program expectations after extensive intervention or remediation attempts, program leadership will meet with them to determine whether an early exit from the program is warranted.

CONFLICT AND GRIEVANCE PROCEDURE

If a scholar encounters a conflict or has a grievance as part of the CATALyST program, their first step should be to attempt a direct resolution with the person or people with whom the problem occurs. If resolution is not achieved, or the scholar feels uncomfortable acting directly, they should request mediation from the program co-directors and/or program administrator. CATALyST scholars also have access to the [UW ITHS confidential research consultation service](#), to help scholars manage these conflicts. If a solution remains unreachable, the scholar will document in writing the specific problem, supporting facts, and a summary of previous attempts at resolution and submit them to the program administrator or either co-director. Should more formal mediation be required, the UW Office of the Ombudsman will be engaged as needed. The program co-directors will seek advice from the Program Steering Committee, and, if indicated, from Office of the Ombudsman, before making a written decision or forming an adjudicating ad hoc committee.

PROGRAM GRADUATION

It is the hope of program leadership that CATALyST programs scholar graduates will remain connected to the program community after they graduate, either. They may be invited back to the program to share their experience and research developments. They may also be asked to be connected to current or future scholars.