

**TO:** Sandra Titus, Ph.D.

**FROM:** Arthur J. Bonito, Ph.D.

**DATE:** October 1, 2007

**SUBJECT:** Memo Request to OMB for Modification of Previous Clearance

On January 9, 2007, we received clearance to conduct a telephone interview with a stratified random sample of 112 Research Integrity Officers (RIOs). At the time we submitted the form requesting clearance to conduct the telephone interviews (Phase I), we also sought clearance to perform a web-based survey of 1,300 RIO's (Phase II). The web-based survey was described as collecting slightly less of the information to be collected in the telephone survey, and to do it in a more efficient manner. However, there was not a separate draft data collection form available for the web-based survey at that time. We were granted clearance to conduct the telephone survey and instructed to submit a copy of the web-based data collection instrument along with an administrative change request (see Attachment 1) describing the differences between the two survey instruments. We have completed the telephone interviews achieving an 81.25% response rate. From the results of that survey, we have altered or eliminated some items from the telephone instrument and created a shorter self-administered web-based instrument. This memo is intended to document the differences between the two data collection forms by describing how the web-based form differs from the telephone interview form. (See Attachments 2 and 3 to see the approved interview schedule and the proposed web-based instrument.) We have also revised the e-mail letters introducing the survey to the ORI-identified institutional official and the research integrity officer (see Attachments 4 and 5). At the end of this memo is the work plan (schedule) for the survey to be included in the administrative change request by the original OMB clearance.

### **Introduction**

- There is no personally identifiable information on the first page of the web-based instrument, only an RTI assigned identification number and the OMB form approval number and expiration date.
- The Introduction has been shortened and made appropriate for this web-based mode, incorporating information from the solicitation e-mail letter and including the required OMB burden statement.
- All section descriptions introducing the next topic area have been shortened and turned into section headings in the web-based instrument.

### **Section I**

- Item 3d has been rewritten to obtain the number of persons in the organizational structure between the RIO and the President/CEO instead of the titles of the people between the RIO and the President/CEO.
- Item 3f that requests the RIO's job description be e-mail to RTI has been deleted.
- Item 3i has been reformatted to more readily collect data on the role descriptions and percent time of persons assisting the RIO.
- Items 4, 4a, and 5 have been changed to allow the respondent to specify time period in months or years.
- Item 4c has been reformatted to more readily collect data on separate training attended for performing the RIO position.
- Item 7 has had an additional response category indicating that there is no tenure available at the institution. This replaces what was an interviewer skip instruction.
- Item 9 has pre-coded advanced degrees listed with an instruction to check all that apply.

### **Section II**

- Items 1 and 2 have been reformatted so they can be more easily understood and completed by respondents. The order of items 1g and 2h has been clarified.
- Items 3a and 3c have been deleted.
- Item 7b has been reformatted to allow for multiple distinct components of the RCR to be listed and to collect the position of the person who implements the RCR.

### **Section III**

- Item 1a is reformatted to separately record multiple persons.
- Item 2b is reformatted to separately record multiple means of communicating allegations to the RIO.
- Item 2c has been changed to allow the respondent to specify time period in hours or days.
- Item 3b has been reformatted to provide the list of means and mechanisms for informing researchers of the misconduct policy and its definition.
- Item 12a has been reformatted to provide the list of activities the RIO is responsible for training the committee members to do.

- Item 15a has been deleted.

**Section IV**

- Scenarios 2 and 5 have been eliminated and the response areas for the remaining ones have been reformatted.

**Table 1.** Revised Phase II Work Plan (Schedule)

<b>Task</b>	<b>Time Schedule</b>
Send e-mail letters to responsible institutional officials asking them to identify RIOs	Within one month after receiving OMB approval of the memo to amend the original OMB clearance
Begin sending follow-up e-mails (up to three) to non-responding responsible institutional officials	Two weeks after sending out initial e-mail to the responsible institutional official, repeat at two week intervals
Begin sending e-mails to identified RIOs inviting them to complete web-based questionnaire.	Two weeks after sending out initial e-mail
Begin sending follow-up e-mails (up to three) to non-responding RIOs	Two weeks after sending out initial e-mail to identified RIOs, repeat at two week intervals
Conduct follow-up telephone calls to e-mail non-respondent responsible institutional officials to identify RIO	Upon completion of unsuccessful e-mail contact efforts
Conduct follow-up telephone calls to e-mail non-respondent identified RIOs	Upon completion of unsuccessful e-mail contact efforts
Time allow for completion of contacting and web-based questionnaire	Two weeks to four months after OMB approval of memo amending the OMB clearance
Draft proposed analysis plan for ORI review	Five months after OMB approval of the memo to amend the original OMB clearance document
Begin analysis of Phase II data	Six months after OMB approval of the memo to amend the original OMB clearance
Provide initial draft of analysis of Phase II data to ORI	Seven months after OMB approval of the memo to amend the original OMB clearance
Provide complete draft of Phase II analysis report to ORI	Eight months after OMB approval of the memo to amend the original OMB clearance
ORI provides comments on draft Phase II report to RTI	Nine months after OMB approval of the memo to amend the original OMB clearance
RTI revises and submits final Phase II report to ORI	Ten months after OMB approval of the memo to amend the original OMB clearance

Attachments:

1. OMB clearance approved for RIO telephone interview; this document also directs us to submit an administrative request for changes with a copy of the web-based questionnaire and revised work plan.
2. OMB approved RIO telephone interview.
3. Questionnaire for the proposed RIO web-based survey.
4. Revised e-mail letter to responsible institutional official
5. Revised e-mail letter to research integrity officer