Supporting Statement for the

Paperwork Reduction Act Submission

Part A: Justification

National Institutes of Health

A Process Evaluation of the Global Health Research Initiative Program for New Foreign Investigators (GRIP)

A.1. Circumstances Making the Collection of Information Necessary

The Global Health Research Initiative Program for New Foreign Investigators (GRIP) was established by the Fogarty International Center (FIC) of the National Institutes of Health (NIH) through a Request for Applications in 2002.[1] Program Announcements were re-issued in 2003, 2005, 2006, and 2007. The program aims to identify and fund potential future scientific leaders in developing countries who have received training at NIH, build upon mentoring relationships created during training to promote continuing collaborations with US researchers, establish independent careers for the researchers in their home countries, and develop research capacity at their home institutions through research, training, consulting, and laboratory infrastructure.

An evaluation of GRIP is being conducted to assess outputs to date, alignment with current strategic goals of the FIC, and identify potential directions for program enhancement. The specific objectives of the evaluation are to determine if GRIP awards (1) promote productive re-entry of NIH-trained foreign investigators into their home countries, (2) increase the research

[1] See NIH RFA TW-02-002.

capacity of the international scientists and institutions, and (3) stimulate research on a wide variety of high priority health-related issues.

The GRIP evaluation will be conducted by the Science and Technology Policy Institute (STPI or 'the contractor') on behalf of FIC. As reflected in U.S. Code: Title 42 USC §6686, Congress established STPI to assist the government in formulating and evaluating federal policy and programs by providing objective, high quality analytic support. Consistent with its legislative authority, STPI is tasked by NIH to conduct this process evaluation of the GRIP program.

A.2. Purpose and Use of the Information

The primary purpose of the data collection will be to inform effective management of the GRIP program. The findings will also provide valuable information concerning: (1) specific capacity and career enhancing advances that are attributable to GRIP; (2) policy implications for GRIP at the program level based on survey responses, such as successes and challenges of the program's implementation, the GRIP support mechanism, etc; and (3) specific research advances attributable to GRIP support.

A.3. Use of Information Technology and Burden Reduction

In order to minimize burden on the respondents and maximize response rates, the survey will be web-based. The contractor will monitor web-based survey responses and contact non-respondents by email or telephone to encourage their participation. In the event that a potential respondent does not have sufficient access to the web to enable him or her to complete the survey online, copies of the survey will be sent via email or hardcopy. While completing the

online survey, respondents will be given an estimate of future effort (*e.g.*, "survey 50% complete"); and if a respondent wishes to submit an incomplete survey, he or she will be able to do so at any time. All questions, including all open-ended responses, are optional and any questions that respondents choose not to answer will not affect their ability to submit a response.

The survey has been reduced to the minimum possible length through the use of closed-ended and scaled questions. Optional open-ended questions have been used only where they were absolutely necessary. The survey should take, on average, 30 minutes to complete. Respondents will be given up to 4 weeks to complete the web-based questionnaire, and no respondent will be asked to complete more than one questionnaire.

A.4. Efforts to Identify Duplication and Use of Similar Information

Every effort has been made to identify information that can be collected by the contractor rather than from the survey respondents. For example, information such as publication lists and NIH funding is publicly accessible and will be gathered by the contractor in lieu of requesting this information from the survey respondents. Given that GRIP is a unique program and that has yet to be evaluated, there is no similar program evaluation information that may be used to eliminate any possible duplicative efforts.

A.5 Impact on Small Businesses or Other Small Entities

No small businesses will be involved in this study.

A.6. Consequences of Collecting the Information Less Frequently

This survey will be administered only once. Respondents will be given up to 4 weeks to reply and will only have to fill out one questionnaire, which will be web-based.

A.7. Special Circumstances Relating to the Guidelines of 5 CFR 1320.5

This survey fully complies with all guidelines of 5 CFR 1320.5.

A.8. Comments in Response to the Federal Register Notice and Efforts to Consult Outside Agency

As required by 5 CFR 1320.8(d), comments on the information collection activities as part of the Process evaluation of the Global Health Research Initiative Program for New Foreign Investigators (GRIP) were solicited through publication of the 60 Day Notice in the Federal Register on November 30, 2007, page 67737. No public comments were received.

A.9. Explanation of Any Payment or Gift to Respondents

No payment or gift will be made to respondents as a part of this study.

A.10. Assurance of Confidentiality Provided to Respondents

Information gathered as part of this survey will be reported in the aggregate only, and respondents will not be identified by name. A notice of informed consent will be displayed prominently on the welcome screen to the web-based survey, including an explanation for the purpose of the survey, an assessment of possible risks, and contact information should they have questions. Survey respondents will be advised that the information they provide will not be disclosed to anyone but the researchers conducting this study except as required by law, that data

collected from them will only be reported by the contractor in an aggregate form, and that their participation is completely voluntary. The respondents will also be informed of the contractor's (STPI) procedures for security and aggregate reporting of the data. The text of the notice of informed consent is included in Attachments 1 and 3.

Respondents will be informed that the public reporting burden for this collection of information is estimated to average 30 minutes per respondent, including the time for reviewing instructions and completing and reviewing the collection of information. In compliance with 5 CFR 1320.8, the following text will also be included in the informed consent document:

> *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 this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-XXXX). Do not return the completed form to this address.*

This data collection activity is exempt from 45 CFR 46 Regulations for Protection of Human Subjects because the data will be reported in aggregate and therefore participants will not be identifiable directly or through identifiers linked to the subjects; and because any disclosure of the human subjects' responses outside the research would not place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation (Attachment 4).

A.11. <u>Justification for Sensitive Questions</u>

This survey does not contain questions of a sensitive nature or other matters that are commonly considered private.

A.12. Estimates of Hour Burden Including Annualized Hourly Costs

The estimated number of respondents is 101, which includes all award recipients in the first four cohorts of the program (FY2002-2006) as well as applicants to the program whose proposals scored well but were not awarded funding. Only one response per respondent will be gathered. The average burden hours per response is estimated at 0.50. The estimated total annual burden hours requested is 50.5.

The average hourly rate for the foreign researchers was estimated at $13/hr (US). This rate was estimated by obtaining the mid-range salaries for scientists in 6 low- to middle-income countries (2 countries each in Africa, Asia, and South America where FIC funds early- to mid-career researchers) from an internet resource for international salary data (Please see Attachment 2 for more information). The annualized cost to respondents is estimated at: $656.50. There are no Capital Costs to report. Table 1 and Table 2 respectively present data concerning the burden hours and cost burdens for this data collection.

Table 1. – Annualized Estimate of Hour Burden

Type of respondents	Number of Respondents	Frequency of Response	Average time for response (hr)	Total hour burden*
GRIP Applicants and Awardees....	101	1	0.50	50.5
Total.....	**101**	**1**	**0.50**	**50.5**

Total Burden = N Respondents x Response Frequency x minutes to complete/60

Table 2. – Annualized Cost to Respondents

Type of respondents	Number of Respondents	Frequency of Response	Approx. hourly wage rate	Total respondent cost*
GRIP Applicants and Awardees....	101	1	$13/hr	$656.50
Total.....	**101**	**1**	**$13/hr**	**$656.50**

Total Respondent Cost = N Respondents x Response Frequency x minutes to complete/60 x hourly rate

A.13. Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers

There are no Operating or Maintenance Costs to report.

A.14. Annualized Cost to the Federal Government

A.14.1 Annualized Cost to Contractor

The cost to maintain and implement the survey, including contractor's fixed fee will be $6,000 (Table 3). This does not include analyses of collected data or preparation of reports.

Table 3: Estimate of Other Total Annual Cost Burden to Contractor

Survey maintenance and software licenses	$1,000
Website design and support	$5,000
Total	**$6,000**

A.14.2 Annualized Cost to the Federal Government

Annualized Cost to the Federal Government is composed, in part, of an aggregate estimate from Items A.12 and the information above, as this is a one-time survey that will require less than one year to complete. In addition, there are costs of the FIC Project Officer, NIH OMB Clearance Officer, other FIC professional staff, and support staff time. Based upon a discussion with the Project Officer, we have estimated that approximately one eighth of a year's time (four weeks) is required in association with the conduct of this study. With an average salary of $80,000, this adds $6,400 in NIH costs. Thus, total cost is **$13,056.50** (Table 4).

Table 4: Total Cost Burden of Information Collection

Annualized Cost to Respondents	$656.50

Other Annual Cost to Contractor (from A.14.1)	$6,000
NIH/NDPA Staff Time	$6,400
Total	**$13,056.50**

A.15. Explanation for Program Changes or Adjustments

This survey is a new collection of information.

A.16. Plans for Tabulation and Publication and Project Time Schedule

The GRIP Process Evaluation began in September 2007, and is expect to end in August 2008. The survey will take place in the spring of 2008. The evaluation contractors are required to deliver a draft final report on the evaluation by October 31, 2008 (Table 5).

Table 5: Estimated Annual Project Time Schedule

Activity	Time Schedule
Survey implementation	1-2 months after OMB approval (June-July, 2008)
Data analyses	5 months after OMB approval (September 2008)
Report writing, dissemination	6 months after OMB approval (October 2008)

A.17. Reason(s) Display of OMB Expiration Date is Inappropriate

No exceptions are sought; the OMB Expiration Date will be displayed on the survey instruments.

A.18. Exceptions to Certification for Paperwork Reduction Act Submissions

No exceptions are sought from the Paperwork Reduction Act or from form 83-I.

A.19 Certification of Paperwork Reduction Act Submissions (OMB 83-I)

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

(a) It is necessary for the proper performance of agency functions;

(b) It avoids unnecessary duplication;

(c) It reduces burden on small entities;

(d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;

(e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;

(f) It indicates the retention periods for recordkeeping requirements;

(g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):

(I) Why the information is being collected;

(ii) Use of information;

(iii) Burden estimate;

(iv) Nature of response (voluntary, required for a benefit, or mandatory);

(v) Nature and extent of confidentiality; and

(vi) Need to display currently valid OMB control number;

(h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);

(I) It uses effective and efficient statistical survey methodology; and

(j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Deputy Director for Extramural Research Date

Signature of Senior Official or designee Date

OMB 83-I

10/95