

**Mini Supporting Statement**  
**Transformative R01 Applicant and Reviewer Surveys**  
**UNDER GENERIC CLEARANCE 0925-0474**  
**NATIONAL INSTITUTES OF HEALTH**

**Section A**

**A.1 Circumstances Requiring the Collection of Data**

This survey will help fulfill the requirements of:

- Executive Order 12862, “Setting Customer Service Standards,” which directs Agencies to continually reform their management practices and operations to provide service to the public that matches or exceeds the best service available in the private sector; and
- The March 3, 1998 White House Memorandum, “Conducting Conversations with America to Further Improve Customer Service,” which directs Agencies to determine the kind and quality of service its customers want as well as their level of satisfaction with existing services.

**A.2 Purposes and Uses of the Data**

A new NIH initiative is called the Transformative R01 (T-R01) program. This program has been specifically created under the NIH Roadmap for Medical Research to support exceptionally innovative, high risk, original and/or unconventional research projects that have the potential to profoundly impact a broad area of biomedical or behavioral research. It is expected T-R01 projects will reflect an exceptional level of creativity in proposing bold and highly innovative new approaches to fundamental problems.

This transformative T-R01 initiative is employing several novel approaches to peer review and program management in order to facilitate identification and support of out of the box thinking. The primary use for this satisfaction information, gathered through voluntary partner and customer surveys, is to collect opinions regarding the some of the novel approaches being used. For example, the application is highly abbreviated, with page limitations in the biosketch and research design sections. The heart of the proposal is contained in the Research Design and Methods section of the PHS 398, and is limited to 8 pages in length. Within these limitations, applicants must be able to present a strong and compelling case for the need to establish or overturn an existing paradigm, the innovation or novelty associated with the rationale or approach, and the breadth of the study’s potential impact. Also, new multi-tiered review procedures for evaluating applications will be piloted under the T-R01 initiative.

**A.3 Use of Information Technology to Reduce Burden**

As appropriate, automated information technology will be used to collect and process information for this survey to reduce the burden on the public. The survey will be conducted online by sending individual invitations. Responses will be collected online.

**A.4 Efforts to Identify Duplication**

Applicants and Reviewers for T-R01 will be asked to complete the survey only once

**A.5. Small Business**

N/A

**A.6 Consequences of Not Collecting the Information**

If satisfaction with innovative processes (review, application, etc.) are not ascertained, the processes being piloted will not be adapted to meet customer needs and the.

**A7. Special Circumstances Justifying Inconsistencies with Guidelines in 5 C.F.R. 1320.5**

This survey will be implemented in a manner that fully complies with 5 C.F.R. 1320.5.

**A.8. Consultation Outside the Agency**

N/A

**A.9. Payments or Gifts to Respondents**

No payment or gift will be provided to survey participants

**A.10. Assurance of Confidentiality**

Individual respondents will not be identified and participation will be strictly voluntary. Respondents will be assured that neither their participation/non-participation nor any responses to items will have any effect on their eligibility for or receipt of services.

**A.11 Questions of a Sensitive Nature**

There is an ongoing concern at NIH regarding the need for increasing inclusion of minority individuals among applicants and reviewers and the need to increase participation of women among both applicants and reviewers. There is also a desire to support researchers at all stages of their careers.

We plan to include questions on the applicant and on one of the reviewer surveys regarding race/ethnicity and age in order to understand the concerns that exist among minority populations. If NIH better understands what is liked and disliked (regarding peer review) for the various population subgroups, it will allow NIH to work towards satisfying more people.

**A.12 Estimates of Response of Burden**

Estimates of Annual Hours Burden
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Types of Respondents	Number of Respondents	Frequency of Response	Average Response Time	Annual Hour Burden
Adult Science Professionals - Applicants	720	1	0.25 hours	180 hours
Adult Science Professionals - Reviewers	11	1	0.25 hours	2.75 hours
Total	731			182.75 hours

Annualized Cost to Respondents				
Types of Respondents	Number of Respondents	Frequency of Response	Hourly Wage Rate	Respondent Cost
Adult Science Professionals - Applicants	720	1	\$40.00	\$7,200.00
Adult Science Professionals - Reviewers	11	1	\$40.00	\$110.00
Total	731			\$7,310.00

**A.13. Estimate of Total Capital and Startup Costs/Operation and Maintenance Costs to Respondents or Record Keepers**

N/A

**A.14. Estimates of Costs to the Federal Government**

Costs for this effort are related to agency staff. This involves one GS 15 Evaluator (\$153,000 annual salary) and 1.5 weeks of time per project. The total annual cost to the government is estimated to be \$4,413.46 for this individual project.

**A.15. Changes in Burden**

N/A

**A.16. Plans for Publication, analysis and Schedule**

After the completion of the survey, the data will be analyzed and summarized. Results will be shared with Center for Scientific Review (CSR) management. Highlights will be posted on the CSR web page.

**A.17. Approval to Not Display Expiration Date**

We are not requesting an exemption to the display of the OMB Expiration date.

**A.18 Exceptions to Item 19 of OMB form 83-I**

These surveys will comply with the requirements in 5 CFR 1320.9.

## **Section B**

### **B.1. Respondent Universe and Sampling Methods**

The respondent universe will be a census of all applicants to the Transformative R01 initiative and a census of all reviewers used for the applications. The three survey instruments have been designed to minimize burden on respondents while obtaining essential information. Respondents are a mix of adult scientists who are Applicants and Reviewers for the Transformative R01 initiative. It is estimated these e-mail/mail surveys will take 15 minutes to complete. Findings will be used to assist in measuring their satisfaction with the innovative review processes..

### **B.2. Information Collection Procedures/Limitations of the Study**

CSR will collect all information in a manner that is consistent with the following principles:

- o Since the universe of applicants and reviewers is not large a census of applicants and reviewers will surveyed.
- o Participation will be full voluntary, and non participation will have no impact on eligibility for or receipt of future services.
- o Collected information will be limited to that which is needed to assess customer satisfaction.

### **B.3. Methods for Maximizing the Response Rate and Addressing Issues of Nonresponse**

Consistent with sound survey methodology, the design of the survey will include approaches to maximize response rates, while retaining the voluntary nature of the effort.

### **B.4. Tests of Procedures of Methods**

All pre-testings will be carried out at a level and in a manner consistent with the specific survey.