



DATE: July 11, 2014

TO: Elizabeth M. Ginexi, Ph.D.
Division of Cancer Control and Population Sciences
National Cancer Institute

FROM: NIH Privacy Act Officer

SUBJECT: Applicability of the Privacy Act: "State and Community Tobacco Control Research Initiative Evaluation"

I have reviewed the National Cancer Institute (NCI) submission to OMB referenced above. The State and Community Tobacco Control (SCTC) research initiative targets four high-priority research areas at the state and community level and is intended to support innovative research that will yield rapid and actionable findings for SCTC programs and practitioners. The results will address research-to-practice gaps by providing a critical window into the process of disseminating evidence-based research tools, products, and science findings in community public health settings.

This project includes two phases. Phase I is complete. Phase II will analyze the archival project data collected from grant records in Phase I and collect new data from the SCTC scientists and their nominated affiliated partners. The data will (1) determine relationships, interactions, and connectedness among different network partnerships over time and with policy makers; (2) assess the utility of research tools, interventions, products, and findings from the perspective of tobacco control partners and stakeholders; and (3) determine indicators for broad adoption of research products. The data collected will be used to complete the mapping of the collaborative nature of the NCI-SCTC Research Initiative scientist-community network; and assess the collaborative activities and dissemination processes within the scientist-stakeholder network.

The project will utilize three different modes of data collection: web-based surveys via SurveyBuilder, semi-structured telephone interviews, and expert panels.

There are two versions of the web-based survey; one to be completed by Principal Investigators (PIs) and Co-PIs, SCTC scientists and one to be completed by the affiliated partners. The surveys include personally identifiable information (PII) such as degree/certification, and professional affiliation and will collect name, email address, and phone number. The web survey data will be downloaded directly from the platform into Excel and will allow monitoring of the data and creating reports on completed responses.

Telephone interviews will be conducted using a target group specific Telephone Interview Guide labeled with the respondent's ID number. The interview data will be collected via digital audio tape if verbal consent is provided. All audio files will be sent via a secure file transfer protocol (FTP) to a transcription service and interview transcripts will be stored as Word documents to be retrieved by the unique ID number assigned to the interview respondent.

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There will be at least one expert panel group but no more than two groups based on PI/Co-PI availability and interest. The expert panel sessions will be recorded and data will be captured via digital audio tape if verbal consent is provided. Each expert panel session will have a unique digital file and the expert panel audio files will be sent for transcription following the same process as for the telephone interviews.

All data will be maintained in a secure area for receipt and processing. All data files on multi-user systems will be under the control of a database manager and will be subject to controlled access only by authorized personnel. PII will be maintained separately from completed data collection forms, and from computerized data files used for analysis. Final reports will be based on aggregate data in which individuals are not identified. After the data collection is completed, all hard copy collected information and study materials will be stored in a locked, secure facility for two years, and then will be shredded. Electronic data will be password protected and stored by the data management contractor, and will also be destroyed after two years.

I have determined that the Privacy Act will apply to this data collection, which includes the collection of PII designed to be retrieved by an identifier. This data collection is covered by NIH Privacy Act Systems of Record 09-25-0156, "Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the Public Health Service, HHS/PHS/NIH/OD."

If you have any questions, please contact my office at (301) 402-6201.



Karen M. Plá

Attachment

cc: Vivian Horovitch-Kelley, NCI PRA Liaison