

Supporting Statement A for
NIDDK Office of Minority Health Research Coordination (OMHRC) Research Training and
Mentor Programs Applications
NIH/NIDDK/OD/OMHRC
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Lawrence Agodoa, M.D., F.A.C.P.
Director, Office of Minority Health Research Coordination
National Institute of Diabetes and Digestive and Kidney Diseases
National Institutes of Health
6707 Democracy Blvd, Room 9221A
Bethesda, Maryland 20892
Phone: 301-594-1932
Fax: 301-594-9358
E-mail: lawrence.agodoa@nih.gov

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Attachments

1. Short-Term Research Experience for Underrepresented Persons (STEP-UP) Application
2. STEP-UP Student Feedback Form
3. Diversity Summer Research Training Program (DSRTP) Application
4. DSRTP Student Feedback Form
5. Network of Minority Health Research Investigators (NMRI) Enrollment Form
6. NMRI Evaluation Form
7. NMRI Survey Form
8. NMRI Mentor / Mentee / Agreement Forms
9. NIH National Medical Association (NMA) Fellows Program on Careers in Academic Medicine Application
10. NIH/NMA Feedback Form
11. NIH National Hispanic Medical Association (NHMA) Fellows Program Application
12. NIH/NHMA Feedback Form
13. STEP-UP Coordinating Centers and Contacts
14. Privacy Impact Assessment (PIA) Form
15. Privacy Act Notification Letter

A. Justification

This is a New, Existing collection without OMB approval. The proposed information collection activity is necessary in order to determine the eligibility and quality of potential awardees for traineeships and mentorships in these programs.

A1. Circumstances Making the Collection of Information Necessary

The National Institutes of Health (NIH), National Institute of Diabetes, Digestive and Kidney Diseases (NIDDK), Office of Minority Health Research Coordination (OMHRC) administers a variety of programs and initiatives to recruit high school through post-doctoral educational level individuals into research and mentorship training programs to facilitate development into future biomedical, behavioral, clinical or social scientists.

The legal authority granted to NIH to train future scientists comes from several sources. Title 42 of the U.S. Code, Sections 241 and 282(b)(13) authorize the Director, NIH, to conduct and support research training for which fellowship support is not provided under Part 487 of the Public Health Service (PHS) Act (i.e., National Research Service Awards), and that is not residency training of physicians or other health professionals. Sections 405(b)(1)(C) of the PHS Act and 42 U.S.C. Sections 284(b)(1)(C) and 285-287 grant this same authority to the Director of each of the Institutes/Centers at NIH.

Identification of participants to matriculate into the programs and initiatives comes from applications and related forms hosted through the four websites:

1. <https://stepup.niddk.nih.gov/ApplyOnline.aspx>
2. <https://dsrtp.niddk.nih.gov/>
3. <http://nmri.niddk.nih.gov/>
4. <http://www.niddk.nih.gov/research-funding/process/diversity/travel-awards/nih-nma-travel-award/Pages/niddknma-travel-award.aspx>
5. NHMA application is not available electronically at this time.

Prospective trainees and mentees for admission must apply directly to the OMHRC, and may be asked to provide the following information to ensure eligibility: personal information, eligibility criteria, contact information, research training program selection, scientific discipline interests, educational history, standardized examination scores, reference information, resume components, employment history, employment interests, research details, letters of recommendation, financial aid history, sensitive data, future networking contact, travel information, as well as feedback questions about interviews and application submission experiences. Sensitive data collected on the applicants: race, gender, ethnicity, and recruitment method, are made available only to OMHRC staff members or in aggregate form to project officers, select NIH offices and are not used by the admission committee for admission consideration.

A2. Purpose and Use of the Information Collection

This is a new, existing collection without an OMB control number and we are requesting approval for 3 years. The purpose of the proposed information collection activity is to assure that prospective trainees to OMHRC Research Training and Mentoring Programs meet basic eligibility requirements; to assess their potential as future scientists; to determine where mutual research interests exist; and to make decisions regarding which applicants will be proposed and

approved for traineeship awards. In each case, completing the application is voluntary, but in order to receive due consideration, the prospective trainee must complete all required fields.

The OMHRC staff and NIH investigators have access to applications for select programs based on their affiliation. Access to the information contained in each application is restricted by a login password that will be regulated and monitored by the OMHRC staff. Selections for all of the OMHRC Research Training and Mentor Programs are made by an admissions committee and/or Program Director.

Over the last several years, the total number of participants in OMHRC Research Training and Mentoring programs have ranged from 1,000 to 2,000 trainees. To ensure the entire trainee population is receiving training and mentoring experiences to transition from student to colleague, the OMHRC created a series of workshops and activities to address research skills and career development.

The STEP-UP, DSRTTP, NMRI and NMA online application databases are designed to collect and review applications for admissions into OMHRC Research and Training Programs; however, there is an increased need to develop an alumni component to each database to facilitate tracking the trainees and mentees past program participation to assess the overall impact of the programs. In addition to basic information previously listed, the following fields are of interest for the Alumni Database: current status, employment, and future networking contact information. The alumni database could be used to administer long-term follow-up surveys.

A3. Use of Information Technology and Burden Reduction

The online web application for the STEP-UP, DSRTTP, NMRI and NMA have been developed to promote efficiency and long-term tracking capabilities.

Features of the online applications include, but are not limited to the following elements:

- Edit submitted application to ensure up-to-date information for evaluation
- E-mail confirmation of successful submission of application
- E-mail notice of recommendation request for trainee submission
- E-mail confirmation messages for receipt of the following items: application submitted, recommendation letter submitted from each reference
- Resend recommendation request via e-mail program
- E-mail notification of application status

In addition, prospective trainees are able to review Web pages hosting Application Directions and Frequently Asked Questions (FAQs) prior to submitting an application for admission consideration. The details posted within the Web pages ensure adequate time to carefully complete and submit a well-organized application. The estimated time to complete an application is approximately 45-minutes based on informal feedback from applicants

OMHRC's online system reduces the burden on every applicant by streamlining the application process, improves agency efficiency and responsiveness to the public, and reduces the financial cost to applicants (there is no application fee for OMHRC programs).

A Privacy Impact Assessment (PIA) has been completed and submitted for each OMHRC Research Training and Mentor application database system.

A4. Efforts to Identify Duplication and Use of Similar Information

We are not aware of any other agencies with similar tools/systems in place to enhance the application process for a diversity related program.

A5. Impact on Small Businesses or Other Small Entities

No small business or other small entities will be affected by the implementation of OMHRC applications.

A6. Consequences of Collecting the Information Less Frequently

Without approval to collect applications for the various training programs, the OMHRC would be compromised in the ability to identify highly qualified trainees and mentees of various educational levels: high school students, undergraduate students, medical residents and fellows, and post-doctoral students. Submitted applications for admission remain active for up to five years and are then archived / disposed of based on the NIH policy for Keeping and Destroying Records (<http://go.usa.gov/49xB>).

A7. Special Circumstances Relating to the Guidelines of 5 CFR 1320.5

This information collection is consistent with these guidelines. Individuals that submit an application to OMHRC do so voluntarily.

A8. Comments in Response to Federal Register Notice and Efforts to Consult Outside Agency

The proposed information collection was published in the Federal Register (Vol. 81, No. 93, page 29877) on May 13, 2016, and no comments have been received.

Since the inception of the Office of Minority Health Research Coordination both formal and informational consultations with the Extramural Research Programs of the Institutes-Centers (see attachment), and university communities have convened to discuss concerns and ideas about training future biomedical scientists within OMHRC programs. Specific areas of interest and discussion included but were not limited to the following:

- Recruitment of high-ability trainees
- Application and interview process
- Requirements for advanced degrees
- Structure of NIH-University partnerships
- Trainee support and stipends
- Development of the NIH trainee community
- Monitoring, steering, and evaluation of training programs
- Mentor composition

A9. Explanation of Any Payment or Gift to Respondents

Neither payments nor gifts will be distributed to individuals to encourage the completion and submission of an application. However, matriculants into STEP-UP and DS RTP receive a stipend of up to \$1,000 - \$4,500 for their participation in the summer research experience.

A10. Assurance of Confidentiality Provided to Respondents

The data collection is covered by the NIH Privacy Act Systems of Record 09-25-0014, "Clinical Research: Student Records, HHS/NIH/OD/OIR/OE", per the Privacy memo received. These applications do collect Personally Identifiable Information (PII), including: name, contact information, education, financial aid history, and employment history. Information about whether an applicant has a relative at the NIH is collected to ensure compliance with the NIH Nepotism Chapter 2300-310-1 (see <http://go.usa.gov/49aj>).

Information collected is available only to NIH scientific and program officials who recommend or approve awards and to administrative and financial officials who prepare the necessary documentation to arrange for stipend payments and approved awards. These individuals are assigned login credentials, including "strong" passwords that conform to standards used by the NIH Center for Information Technology, and the online tools these individuals use to access applicant data are restricted to OMHRC-approved users. Applicants receive login credentials, including randomly generated or user-defined passwords, when they first apply. Also, references submit their letters of recommendation via a password-protected Web site.

The Privacy Act Notification Statement that appears on each application is the following:

The primary use of information collected via OMHRC online forms is to evaluate an applicant's qualifications for research training at the National Institutes of Health (NIH). Information may be used during admission consideration; in preparing appointment paperwork; and to provide data for training program evaluation. Information will be disclosed to investigators, members of review committee, OMHRC staff, and contractors working on our behalf. Application for this program is voluntary; however, in order for the OMHRC to process an application, the applicant must complete the required fields.

The NIDDK's Computer Technology Branch is responsible for developing and maintaining the OMHRC web application. Information contained in the archive database is protected in a similar manner as the original database.

A11. Justification for Sensitive Questions

The OMHRC applications do not contain sensitive questions as described in the Points to Consider in A.11.

A12. Estimates of Hour Burden Including Annualized Hourly Costs

Table A12-1. Estimated Annualized Burden Hours:—

| Form Name | Type of Respondents | Estimated No. of Respondents | Estimated No. of Responses Annually Per Respondent | Average Burden per Response (in hours) | Est. Total Annual Burden Hours |
|---|---------------------|------------------------------|--|--|--------------------------------|
| Attachment 1: Short-Term Research Experience for Underrepresented Persons (STEP-UP) Application | Students | 2,000 | 1 | 45/60 | 1,500 |
| Attachment 2: STEP-UP Student Feedback Form | Students | 200 | 1 | 30/60 | 100 |
| Attachment 3: Diversity Summer Research Training Program (DSRTP) Application | Students | 200 | 1 | 45/60 | 150 |
| Attachment 4: DSRTP Feedback Form | Students | 40 | 1 | 30/60 | 20 |
| Attachment 5: Network of Minority Research Investigators (NMRI) Enrollment Form | Researchers | 200 | 1 | 15/60 | 50 |
| Attachment 6: NMRI Evaluation Form | Researchers | 100 | 1 | 15/60 | 25 |
| Attachment 7: NMRI Survey Form | Researchers | 1000 | 1 | 30/60 | 500 |
| Attachment 8: NMRI Mentor / Mentee / Agreement Forms | Researchers | 100 | 1 | 30/60 | 50 |
| Attachment 9: NIH/NMA Fellows Program on Careers in Academic Medicine Application | Fellows | 200 | 1 | 20/60 | 67 |
| Attachment 10: NIH/NMA Feedback Form | Fellows | 40 | 1 | 30/60 | 20 |
| Attachment 11: NIH/NHMA Fellows Program Application Form | Fellows | 200 | 1 | 20/60 | 67 |
| Attachment 12: NIDDK/NHMA Feedback Form | Fellows | 40 | 1 | 30/60 | 20 |
| Totals | | 4320 | 4320 | | 2569 |

Table A12-2. Annualized Cost to Respondents: The following table indicates the annualized cost to respondents. Hourly wage rates for trainees are based on the 2015-2016 NIH Fellow Trainee Stipends. See <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-047.html>

| Form Name | Type of Respondents | Est. No. of Respondents | Est. Average Burden per Response (in hours) | Hourly Wage Based on NIH Stipend | Respondent Cost |
|---|----------------------------|--------------------------------|--|---|------------------------|
| Short-Term Research Experience for Underrepresented Persons (STEP-UP) Application | Student | 2,000 | 1500 | 14.43 | \$21,645.00 |
| STEP-UP Student Feedback Form | Student | 200 | 100 | 14.43 | \$1,443.00 |
| Diversity Summer Research Training Program (DSRTP) Application | Student | 200 | 75 | 14.43 | \$1,082.25 |
| DSRTP Feedback Form | Student | 40 | 10 | 14.43 | \$144.30 |
| Network of Minority Research Investigators (NMRI) Enrollment Form | Researchers | 200 | 50 | 29.95 | \$1,497.50 |
| NMRI Evaluation Form | Researchers | 100 | 25 | 29.95 | \$748.74 |
| NMRI Survey Form | Researchers | 1000 | 500 | 29.95 | \$14,975.00 |
| NMRI Mentor / Mentee / Agreement Forms | Researchers | 100 | 50 | 29.95 | \$1,497.50 |
| NIH/NMA Fellows Program on Careers in Academic Medicine Application | Fellows | 200 | 67 | 22.75 | \$1,524.25 |
| NIH/NMA Feedback Form | Fellows | 40 | 20 | 22.75 | \$455.00 |
| NIH / NHMA Fellows Program Application Form | Fellows | 200 | 67 | 22.75 | \$1,524.25 |
| NIH/NHMA Feedback Form | Fellows | 40 | 20 | 22.75 | \$455.00 |

A13. Estimate of Other Total Annual Cost Burden to Respondents or Record Keepers

There are no capital costs, operating costs, or maintenance costs to report.

A14. Annualized Cost to the Federal Government

This includes program staff and IT Operation and Maintenance costs. The specific staff identified in Table A.14-1 are employees or contractors working for NIDDK. The estimated annual cost to the Federal government is \$217,540.

TABLE A.14-1. ANNUALIZED COSTS TO THE FEDERAL GOVERNMENT

| Staffing | Grade/Salary (Percent FTE or effort) | NIDDK Hourly Rate | Total Cost |
|---------------------------------|--|----------------------|------------|
| IT FED Support Staff | | | |
| Application Development Lead | GS 14-10 (3%) | \$67.83 | \$5,370 |
| IT Specialist | GS 13-5 (10%) | \$50.04 | \$15,180 |
| IT Contract Support | | | |
| Business Analyst | 80 (total hours) | \$119 | \$9,520 |
| DataBase Administrator | 48 (total hours) | \$124 | \$5,952 |
| Developer | 100 (total hours) | \$114.75 | \$11,475 |
| NMRI | | | |
| Program Analyst | GS-10-1 (35%) | \$28.20 | \$41,324 |
| DSRTP | | | |
| Program Analyst | GS 13-10 (25%) | \$57.40 | \$29,517 |
| STEP-UP | | | |
| Health Science Administrator | GS 13-4 (30%) | \$48.57 | \$30,408 |
| Program Specialist | GS 11-8 (20%) | \$38.21 | \$15,718 |
| NMA | | | |
| Health Science Administrator | GS 13-4 (25%) | \$48.57 | \$25,340 |
| Program Specialist | GS 11-8 (15%) | \$38.21 | \$11,789 |
| NHMA | | | |
| Program Specialist | GS 11-8 (25%) | \$38.21 | 15,947 |
| TOTAL | | | \$217,540 |
| | | | |

A15. Explanation for Program Changes or Adjustments

This is an New, existing collection in use without OMB Control Number, which is considered a "Change Due to Violation." In 2014 it was recognized that this database existed and thus PRA/OMB Clearance is being requested. The proposed information collection activity is necessary in order to determine the eligibility and quality of potential awardees for traineeships and mentorships in these programs.

A16. Plans for Tabulation and Publication and Project Time Schedule

No statistical analysis will be conducted from the information collected from the OMHRC applications.

Table A16-1. Project Time Schedule: Application Opening and Closing Dates

| Training Program | Application Opening Date | Application Closing Date |
|--|---------------------------------|---------------------------------|
| NIH/NMA Fellows Program | February 11 | May 20 |
| NIH/NHMA Fellows Program | November 15 | February 1 |
| NIDDK Diversity Summer Research Training Program | November 15 | February 15 |
| Short-Term Research Experience for Underrepresented Persons(STEP-UP) | November 15 | February 15 |
| Network of Minority Health Research Investigators | Open All Year | Open All Year |

A17. Reason(s) Display of OMB Expiration Date Is Inappropriate

The OMHRC will display the OMB Clearance Number, Expiration Data, and Burden Disclosure Statements

A18. Exceptions to Certification for Paperwork Reduction Act Submissions

There are no exceptions to the Certification for Paperwork Reduction Act Submissions.