Mini Supporting Statement A

Request for Approval under the “Generic Clearance for NIH Citizen Science and Crowdsourcing Projects”

NIMH Intramural Research Program Office of Fellowship Training (OFT)

Annual Trainee Survey

OMB# 0925-0766, exp., 04/2023

6/22/22

Contact Information

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**TYPE OF COLLECTION:** (Check one)

[ ] Data Catalogue [ ] Repository of Tools and Best Practices

[ ] Recommendations of scientific reviewers [ ] Resources

[ ] Call for Nominations [X] Other: Program Evaluation\_

**Mini Supporting Statement A**

**A.1 Circumstances Making the Collection of Information Necessary**

The National Institute of Mental Health’s (NIMH) Office of Fellowship Training (OFT) within the Intramural Research Program (IRP) aims to support and promote a productive and fulfilling research training experience in the NIMH IRP. The OFT works to encourage career planning and guide career management through trainee use of Individual Development Plans, provide programs and services to assist trainees in discovering and clarifying career choices, and provide opportunities and to encourage trainees to build a professional skill set which enables them to become world leaders in academic and non-academic careers. The 6/25/21 Executive Order on Diversity, Equity, Inclusion, and Accessibility (DEIA) in the Federal Workforce charges all agencies with assessing the current state of diversity, equity, inclusion and accessibility within their workforces, and developing strategic plans to eliminate any barriers to success faced by underserved employees. In addition, Committee U of the NIH UNITE Initiative (which has the purpose of understanding stakeholder experiences through listening and learning) has tasked NIH with performing a broad, systematic self-evaluation to delineate elements that perpetuate structural racism and lead to a lack of diversity, equity, and inclusion within the NIH and the external scientific community. UNITE is working on several evaluation techniques as well as *analyzing workforce demographics* to inform the NIH’s efforts in addressing structural racism across the biomedical research enterprise. Moreover, there is now a performance plan element for Institute and Center Directors to be held accountable for diversity, equity, inclusion, and accessibility. Accordingly, we need to understand the demographics of our current trainee population not only to have a baseline to be able to hold ourselves accountable for ensuring a more diverse trainee population, but also to measure the current DEIA climate for trainees and whether there are significant differences for different demographic groups.

**A.2 Purpose and Use of the Information Collection**

The purpose of this information collection is to assess the effectiveness of the intramural training program at NIMH and to identify areas of potential improvement and growth.

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

All data will be collected via electronic submission using SurveyMonkey, thereby reducing both hours of effort and financial costs. The NIH Office of the Director has previously completed a Privacy Impact Assessment on SurveyMonkey.

**A.4 Efforts to Identify Duplication**

This data collection is unique in that no other agencies, organizations, or entities seek stakeholder feedback for the effectiveness of the intramural training program at NIMH. Hence, there will not be any duplication of efforts.

**A.5 Impact on Small Businesses or Other Small Entities**

N/A

**A.6 Consequences of Collecting the Information Less Frequently**

The NIMH OFT must have timely information to ensure it is supporting and promoting a productive and fulfilling research training experience in the NIMH IRP. If this information is not collected or is collected less frequently, the NIMH IRP will not be able to know what barriers to success the trainee population is facing and, therefore, not be able to comply with the Executive Order.

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

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

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

N/A

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

No payment or gift will be given to respondents.

**A.10 Assurance of Confidentiality Provided to Respondents**

Respondents’ participation is voluntary, and they retain the right to skip any question(s) they would prefer not to answer, and to quit the survey at any time. No personally identifiable information will be collected. We anticipate collecting demographic information from stakeholders that may help us further assess the effectiveness of the intramural training program at NIMH and to identify areas of potential improvement and growth. Information collected will be private to the extent permitted by law, and will follow the Privacy Act guidelines as set out by the NIH Office of Management Assessment. As appropriate, the Privacy Act applies to these information collections per the NIH Privacy Act System of Records Notice (SORN) #09-25-0156, “Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the Public Health Service (PHS), HHS/PHS/NIH/OD,” which covers evaluation of the policies, programs, organization, methods, materials, activities or services used by PHS in fulfilling its legislated mandate for (1) conduct and support of biomedical research into the causes, prevention and cure of diseases; (2) support for training of research investigators; and (3) communication of biomedical information. In the event that the number of respondents is so low that a respondent might be identified based on the information provided in Questions 1-5, the NIMH IRP Scientific Diversity Advisor will only provide the NIMH Office of Fellowship Training with aggregated data to preserve the confidentiality of the respondents.

**A.11 Justification for Sensitive Questions**

Information is to be collected for gender, racial category, ethnicity, disabilities, and status as a U.S. citizen or permanent resident. In order to comply with the Executive Order and the NIH UNITE charge, as detailed above in A.1, we need to understand the demographics of our current trainee population—not only to have a baseline to be able to hold ourselves accountable for ensuring a more diverse trainee population, but also to measure the current DEIA climate for trainees and whether there are significant differences for different demographic groups.

**A.12.1 Estimated Annualized Burden Hours**

The estimated annual burden hours are 25 total hours.

Table 12-1 Estimated Annualized Burden Hours

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Type of Collection | No. of Respondents | No. of Responses per Respondent | Time per Response (in hours) | Total Hours |
| Individual – Non-FTE Trainees | 150 | 1 | 10/60 | 25 |
| Totals |  | 150 |  | 25 |

**A.12-2 Annualized Cost to Respondents**

No costs are anticipated except for the respondents’ time to participate in these activities. Estimates are based on projections of collections to be conducted on an annual basis.

Table A.12-2 Annualized Cost to the Respondents

|  |  |  |  |
| --- | --- | --- | --- |
| Type of Respondents | Total Annual Burden Hours | Hourly Respondent Wage Rate\* | Respondent Cost |
| Federal Government – Non-FTE Trainees | 25 | $23.87 | $597 |
| **TOTAL** | 25 |  | $597 |

*\* Federal Government – Non-FTE Trainees respondent wage rate data is from the Education, Training and Library Workers, All Other (25-9099) category at* [*https://www.bls.gov/oes/current/oes259099.htm*](https://www.bls.gov/oes/current/oes259099.htm)*.*

**A.13 Estimate of Other Total Annual Cost Burden to Respondents or Record Keepers**

There are no additional costs other than the respondents’ burden given in section A12. We do not anticipate any other costs for record keepers in terms of equipment or specialized analysis software, as existing NIH and NIMH headquarters equipment and software will be utilized to examine the information collected.

**A.14 Annualized Cost to the Federal Government**

The estimated annual cost to the Federal government is **$2,939**.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Staff** | **Grade/Step** | **Salary\*** | **% of Effort** | **Fringe (if applicable)** | **Total Cost to Gov’t** |
| **Federal Oversight** |  |  |  |  |  |
| Director for Fellowship Training | GS-15/S 9 | $176,300 | 0.5% |  | $882 |
| Scientific Diversity Advisor | GS-14/S 8 | $155,687 | 1.0% |  | $1,557 |
|  |  |  |  |  |  |
| **Contractor Cost** |  | $100,000 | 0.5% |  | $500 |
|  |  |  |  |  |  |
| Travel |  |  |  |  |  |
| Other Cost |  |  |  |  |  |
| **Total** |  |  |  |  | **$2,939** |

\*The Salary in table above is cited from <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2022/DCB.pdf>

**A.15 Explanation for Program Changes or Adjustments**

N/A

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

N/A

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

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

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

This survey will comply with the requirements in 5 CFR 1320.9.

Attachments

1. Privacy Impact Assessment (PIA)