Supporting Statement A for

Generic Clearance for the Collection of Customer Participation and Performance Management with NIH Programs, Processes, Products, and Services

OMB# 0925-XXXX,

Expiration Date: XX/XX/XXXX

Date: July 26, 2023

Check off which applies:

X New
- Revision
- Reinstatement with Change
- Reinstatement without Change
- Extension
- Emergency
- Existing Collection in Use Without an OMB Number

Federal Government Employee Address:

Name: Diane Kreinbrink

Address: 9609 Medical Center Drive, Rockville, MD 20850

Telephone: 240.276.7283

Email: Diane.Kreinbrink@nih.gov

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Justification

This is a new generic information collection request seeking approval for three years. The purpose of the "Generic Clearance for the Collection of Customer Participation and Satisfaction with NIH Programs, Processes, Products, and Services" is to provide a flexible and timely approval framework that facilitates the collection of information needed to measure and improve the performance of NIH programs, processes, products, or services.

Projects under this generic clearance will allow Agency leadership and program staff to test ideas more quickly, respond to the project's needs, incorporate feedback from participants for flexible, innovative research methods, generate general-purpose statistics to assess program progress (at both the IC and NIH program-wide levels), and to provide data that can inform program evaluation. Collected information will assist with program planning/management and improve accountability for using federal funds. Any collection under this umbrella is expected to be low in burden.

A.1 Circumstance Making the Collection of Information Necessary

Timely and focused efforts to monitor and evaluate performance and outcomes are necessary to ensure effective NIH leadership, programs, and services and to inform ongoing improvements. The information captured under this generic clearance aligns with legislative mandates addressing organizational performance and accountability:

- Government Performance and Results Act of 1993 (GPRA)
- GPRA Modernization Act
- The President's Management Agenda (PMA)
- Foundations for Evidence-Based Policymaking Act of 2018

Collections under this generic clearance will gather information about the effectiveness of leadership, whose primary responsibilities include oversight of NIH Institute & Center and programs, setting overarching research priorities in partnership with the IC Director and other IC leadership, allocating resources to achieve the research mission of the IC, and recruiting and maintaining talented and diverse individuals to conduct and support high-quality and ethical research.

These information collections will gather data and feedback to assist in program evaluations and performance measurement through surveys and other methods to assess NIH's programming, products, and services more effectively. This clearance reinforces programmatic compliance with established reporting mandates while ensuring the best value for public resources spent on NIH programs. These evaluation and measurement efforts provide methodologically rigorous data collection and analyses instead of more subjective, ad hoc, non-standardized anecdotal material.

A.2 Purpose and Use of the Information Collection

This clearance will allow direct assessment and measurement of the customer/respondent base for participation in and satisfaction with NIH programs,

processes, products, and services. The clearance will also enable offices to assess participants' experience and accomplishments during or since participation and their preferences for existing and future programming, products, and services. The information collected using these tools informs and supports budgeting, program management and design, program planning, results reporting, information dissemination, process improvement, and outreach initiatives.

Information collected through this clearance will be derived from customer/respondent feedback, interviews, focus groups, or online data portals and forms. The data collection instruments are designed to assess participant/respondent satisfaction and determine the effectiveness of NIH programs, processes, products, and services in meeting GPRA MA and PMA legislative requirements. The clearance will cover program-based evaluations, performance measurement research for NIH programs, products, and services, and grantee effectiveness and resource management. The customer/respondent base (or target audience) is limited primarily to participants in NIH programs and users of NIH products and services.

Each evaluation incorporates general consistency and comparability in the overall type of questions and methodological approaches. Because each evaluation relates to a different IC or program, data collection instruments vary as necessary in intent and response choices.

Evaluating the effectiveness of leadership, programs, and services is essential for the vitality of any institution. Leadership review at NIH focuses on the productivity of the IC, management of resources and budget allocations, training activities, and influence on dimensions of diversity, accessibility, inclusion, promotion of investigators and staff (including NIH Equity Committee (NEC) reports), and positive workforce culture.

Program and service reviews may focus on operational performance; outputs, outcomes, and impacts; policy compliance, stewardship, diversity, equity, accessibility, and inclusion. Reviews and evaluations may solicit input from IC staff and leadership (IC Director, Deputy Director, EO) and relevant program participants and stakeholders about the program's effectiveness, leader, or process. They may include comparisons with other ICs or programs, external benchmarks, and outcome metrics where appropriate and applicable. This input should provide meaningful information that can be used to identify strengths and areas that need improvement. Reports developed from the review or evaluation may be presented and shared as needed by the program when necessary. Such reports may include recommendations and proposed actions to address areas for improvement. In public or broadly shared reports, any sensitive information in the reviews or evaluations will be summarized and presented in aggregate.

Examples of topics for Evaluations/Reports could include but are not limited to:

- leadership effectiveness
- performance of programs, operations, management, and policy compliance
- process improvements

- scientific and programmatic accomplishments and performance to include intramural and extramural research
- quality and outcomes of training and mentoring
- promotion of equity, diversity, accessibility, and inclusion
- monitoring grantee progress
- stewardship of resources, including personnel, contracts, equipment, and space

A.3 Use of Information Technology and Burden Reduction

Online technology provides benefits that traditional paper surveys do not. Information is captured in real-time, eliminating the need to mail in the survey or give more details, and participants can take the survey or complete data entry from anywhere. Screenshots will be provided for all online data collection instruments. The NCI Privacy Act Coordinator was consulted and determined that a Privacy Impact Assessment (PIA) will be required when personally identifiable information is uploaded, stored, or accessed. For each sub-study requiring a PIA, a copy of the PIA submitted to the NIH Privacy Act Coordinator will be included in the submission.

A.4 Efforts to Identify Duplication

An extensive search was undertaken to identify duplication and similar information collections as proposed here. In the past, OMB has approved generic clearances for program monitoring and performance measurement for a variety of agencies; the purposes of the information collections mentioned below include strategic planning, improving program management and design, assessing the quality and efficacy of a program, reporting on program performance, support/guide funding decisions, monitoring the implementation of a program, and informing policy and monitoring compliance.

- The Performance Measures Project: Improving Performance Measurement and Monitoring By CDC Programs - **OMB No. 0920-1282 – Expiration Date of June 2026**
- Public Diplomacy Evaluation Office: Performance Measurement, Evaluation, and Public Diplomacy Program Surveys (State/AFA) – **OMB No. 1405-0158, Expiration Date 9/30/2011**
- Consolidated State Performance Report (Part 1 and Part II) (ED/OESE) – **OMB No. 1810-0614, Expiration Date 7/31/2015**
- FTC Administrative Activities (FTC) – **OMB No. 3084-0047, Expiration Date 2/28/2015**

While NIH has the following active generics, the scope of the NIH active generics does not align with the purpose and use of the information we plan to collect from this generic.

- Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery (NIH Fast Track) – **OMB No. 0925-0648, Expiration Date 6/30/2024**
- Conference, Meeting, Workshop, Registration, and Challenges Generic Clearance (NIH) – **OMB No, 0925-0740, Expiration Date 9/30/2025**

- Generic Clearance for NIH Citizen Science and Crowdsourcing Projects (NIH) – **OMB No. 0925-0766, Expiration Date 07/31/2023**

A.5 Impact on Small Businesses or Other Small Entities

This information collection will not impact small businesses or other small entities.

A.6 Consequences of Collecting the Information Less Frequently

Evaluating the effectiveness of leadership and programs is essential for the vitality of any institution, and timely collection of program performance and evaluation information allows for ongoing adjustments and improvements. Timely performance assessments also help leaders maintain a 'judicial temperament' and understand that their decisions and actions must always reflect fairness, civility, and the highest ethical and scientific standards. This is especially true because those throughout the institute will mirror their actions and the standards they set, and without regular evaluations and reviews, these qualities cannot be measured.

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

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

A.8.1 Comments in Response to the Federal Register Notice

The 60-Day Federal Register Notice was published on May 8, 2023, page 29681 (Vol. 88, No. 88 FR 29681), and allowed 60 days for public comment. No public comments were received.

A.8.2 Efforts to Consult Outside Agency

We have not consulted with any outside agency on this project, but we did canvas other Federal Agencies for similar or like collections.

A.9 Explanation of Any Payment of Gift to Respondents

No payments or gifts will be given to respondents.

A.10 Assurance of Confidentiality Provided to Respondents

All information will be kept private to the extent allowable by law.

Personal Identifiable Information (PII) will only be collected as necessary. Respondents will be assured that their participation and participation will have no effect on their eligibility for receipt of services. In addition, respondents will be advised of the purpose of the information collection, the use of information collection, NIH sponsorship, that their participation is voluntary, and that they may choose to discontinue or have their name and related information withdrawn at any time. In instances where it is possible, information will be presented in an aggregate form without links to the identity of individual participants. The Privacy Act applies to the

information collection per Privacy Act System of Records Notice (SORN) 09-25-0156, *"Records of Participants in Programs and Respondents in Surveys Used to Evaluate Program of the Public Health Service, HHS/PHS/NIH/OD." (Attachment 2)*

It may be necessary for some information collections to retain names and contact information to be used to contact potential respondents. In these instances, the rationale for the retention of PII will be fully explained. Most of the information collected under this clearance is considered exempt from Institutional Review Board (IRB) review at NIH. However, if it is determined that the information collection involves non-exempt activities, the staff will be required to submit the information collection for review to the IRB for approval.

A.11 Justification for Sensitive Questions

This generic will allow for sensitive questions, specifically in determining demographics and promoting diversity. NIH values diversity (NOT-OD_20-031) and inclusion, and this data will assist NIH in being more inclusive of culturally, medically, and behaviorally sensitive matters. All questions of a sensitive nature will be justified. The justification will include why the agency considers the questions necessary, the specific uses of the information, the explanation given to persons from whom the information is requested, and any steps to be taken to obtain their consent. All sensitive questions will be voluntary fields.

A.12.1 Estimates of Hour Burden Including Annualized Hourly Costs

The total estimated annualized burden hours are: 3,833, and the number of responses per respondent is estimated at 11,000 (Table A.12-1).

A.12-1 Estimated Annualized Burden Hours

Type of Respondent	Form Name	Number of Respondents	Number of Responses Per Respondent	Average Burden Per Response (in hours)	Total Burden Hours
Individuals, Households, Private Sector, State Government, Local Government, Tribal Government, or Federal Government	Performance Measurement	500	1	30/60	250
	Program Monitoring	500	1	15/60	125
	Program Evaluations	500	1	45/60	375
	Grantee Effectiveness	1,000	1	15/60	250
	Resource Management	500	1	10/60	83

	Feedback	5,000	1	15/60	1,250
	Forms	3,000	1	30/60	1,500
Totals			**11,000**		**3,833**

A.12-2 Annualized Cost to the Respondents

Type of Respondents	Total Annual Burden Hours	Hourly Wage Rate*	Respondent Cost
Individuals, Households, Private Sector, State Government, Local Government, Tribal Government, or Federal Government	3,833	$52.27	$200,350.91
Total			**$180,749.66**

*Source of the Hourly Wage Rate is provided by the Bureau of Labor Statistics, Occupation title “Medical Scientists” 19-1040, https://www.bls.gov/oes/2022/May/oes_nat.htm#19-1040.

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

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

A.14 Annualized Cost to the Federal Government

The annualized cost to the Federal Government for data collection is $13,068.30.

A.14-1 Annualized Cost to the Federal Government

Staff	Grade/ Step	Salary**	% of Effort	Fringe (if applicable)	Total Cost to Gov’t
Federal Oversight					
Program Manager	13/6	$130,683	10%		$13,068.30
Contractor Cost					$0
Travel					$0
Other Cost					$0
Total					**$13,068.30**

**The salary in the table above is cited from https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2023/DCB.pdf

A.15 Explanation for Program Changes or Adjustments

This is a new generic information collection.

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

The information collected through this collection is primarily for internal review and will not be published. However, some information collected may be included in published reports pertaining to program evaluations or performance management in compliance with established reporting mandates and goals for accountability and transparency. Each project submitted under this generic clearance will specify plans for publication of the information collection.

Additionally, for certain activities, information may be posted on an NIH website or included in a printed or online program for the activity or subsequent publication describing the activity.

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

We are not requesting an exemption from the display of the OMB expiration date.

A.18 Exceptions to Certification for Paperwork Reduction Act Submissions

This information collection will comply with the requirements in 5 CFR 1320.9.