

PRETESTING OF NIAID'S HIV VACCINE RESEARCH EDUCATION INITIATIVE

COMMUNICATION MESSAGES

**Mini Supporting Statement**

*In-Depth Interviews for Message and Materials Pretesting*

OMB # 0925-0585 (expiration date, 2/28/2011)

Project Officer:

Katharine Kripke, Ph.D.

Assistant Director, Vaccine Research Program

Division of AIDS, NIAID, NIH, DHHS

6700 B Rockledge Drive, Rm 5144

Bethesda, MD 20892

Telephone: 301-594-2512

Fax: 301-402-3684

## Table of Contents

<b>Section A. JUSTIFICATION.....</b>	<b>3</b>
A.1. Circumstances Making the Collection of Information Necessary.....	3
A.2. Purposes and Use of the Information.....	3
A.3. Use of Information Technology and Burden Reduction.....	4
A.4. Efforts to Identify Duplication and Use of Similar Information.....	4
A.5. Impact on Small Businesses or Other Small Entities.....	5
A.6. Consequences of Collecting the Information Less Frequently.....	5
A.7. Special Circumstances Related to the Guidelines of 5 CFR 1320.5.....	5
A.8. Consultation Outside the Agency.....	5
A.9. Explanation of any Payment or Gift to Respondents.....	6
A.10. Assurance of Confidentiality Provided to Respondents.....	7
A.11. Justification for Sensitive Questions.....	7
A.12. Estimates of Hour Burden Including Annualized Hourly Costs.....	8
A.13. Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers.....	9
A.14. Estimates of Costs to the Federal Government.....	9
A.15. Explanation for Program Changes or Adjustments.....	10
A.16. Plans for Tabulation and Publication and Project Time Schedule.....	10
A.17. Reason(s) Display of OMB Expiration Date is Inappropriate.....	10
A.18. Exceptions to Certification for Paperwork Reduction Act Submissions.....	10
<b>Section B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS. .</b>	<b>11</b>

## List of Attachments

Appendix 1: In-Depth Interview Moderator’s Guide

Appendix 2: Federal Register Notices

Appendix 3: AED Guidelines for Data Security

Appendix 4: Notification of Applicability of the Privacy Act

Appendix 5: Informed Consent

Appendix 6: IRB Exemption Review

## **Section A. JUSTIFICATION**

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

The National Institute of Allergy and Infectious Diseases (NIAID) supports basic and applied research to prevent, diagnose, and treat infectious and immune-mediated illnesses, including illness from human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS). It is beneficial for NIAID to pretest its communications strategies, concepts, and messages while under development. This series of In-Depth Interviews (IDIs) with community leaders representing populations most affected by HIV in the United States will help NIAID better understand methods for communicating information about HIV vaccine research to these populations. The results of these IDIs will provide NIAID with guidance for improving its education initiative that aims to increase awareness of and support for HIV vaccine research.

### ***A.2. Purposes and Use of the Information***

The purpose of this formative research is to guide NIAID's development of HIV vaccine research educational materials for its HIV Vaccine Research and Education Initiative (NHVREI). By conducting in-depth interviews with community leaders, NIAID will be able to develop new and refine existing NHVREI materials that increase HIV vaccine research knowledge and awareness.

These in-depth interviews will enable NIAID to:

- Examine the role of current NHVREI partners and identify additional partners, if appropriate;
- Understand the attitudes, beliefs, and behaviors of key opinion leaders in order to develop effective communication materials for the target audience;
- Design messages and select material formats (e.g., brochures, posters, radio public service announcements) that may have the greatest potential to influence the target audience's attitudes and behavior to support HIV vaccine research;

- Determine the best promotion and distribution channels to reach the target audience with appropriate messages; and
- Expend limited program resource dollars wisely and effectively by creating materials that meet the target audience's specific needs.

### ***A.3. Use of Information Technology and Burden Reduction***

The use of technology such as Computer Assisted Telephone Interview is not possible, as the information that is sought requires responses elicited from semi-structured interviews and open-ended questions, rather than from a structured questionnaire.

### ***A.4. Efforts to Identify Duplication and Use of Similar Information***

This research addresses communities disproportionately affected by HIV/AIDS and under-represented in HIV vaccine trials and seeks to explore community values relative to HIV vaccine research and to assess the usefulness of materials that can be provided to those communities. Between 2001 and 2003, NIAID conducted research with the same target populations to assess the knowledge and attitudes surrounding HIV vaccine research.<sup>1</sup> NIAID used findings from the research to create themes, messages, and materials to encourage support of HIV vaccine trials. In September 2007, significant events in vaccine research, including the failure of the most advanced HIV vaccine candidate to date, generated publicity that may have changed public opinion significantly from that which was studied in 2001 and 2003. The IDIs will help inform NIAID whether changes in awareness, attitudes, and knowledge have occurred among the populations of interest, and if so, whether these changes necessitate revisions to current messaging and materials. As such, the IDI research does not duplicate the previous data collection on this topic, and we are not aware of publications of other research that

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<sup>1</sup> Allen MA, Liang TS, La Salvia T, et al. Assessing the attitudes, knowledge, and awareness of HIV vaccine research among adults in the United States. *J Acquir Immune Defic Syndr*. 2005.

achieved the same goals that may duplicate this individual collection (see In-Depth Interview Moderator’s Guide attached as Appendix 1).

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

Some small entities such as community-based organizations or health care providers may be recruited for IDIs. Questions are held to the minimum required for the intended use of the information.

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

Participation will be voluntary and IDI respondents will not be re-contacted. IDIs are appropriate because they collect a large amount of information from a critical core of respondents during one brief interview.

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

Because NIAID’s pretesting activities primarily are qualitative in nature, most results are not generalizable to the population at large or to the particular audience under study. However, the nature of pretesting is such that generalizability is not a critical feature; the emphasis is on obtaining timely, useful information that NIAID can use to develop new messages or materials or to revise existing ones. IDIs will be implemented in a manner that fully complies with 5 C.F.R. 1320.5.

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

The 60-day and 30-day Federal Register notices from the generic clearance request (ICRAS: 0925-0585) are attached as Appendix 2. NIH, along with other Public Health Service agencies, has been a leader in the development of methods for developing, testing, and disseminating health information. A number of outside health communications experts reviewed the plans contained herein for formative

research and pre-testing of communication materials to inform NIAID communications programs and their comments and suggestions have been incorporated into these data collection plans.

### ***A.9. Explanation of any Payment or Gift to Respondents***

The majority of the respondents for the interviews will consist of individuals and representatives of organizations that do not have a core focus on HIV research or, specifically, on HIV vaccine research. Therefore, for many participants, responding to the interview will be outside their scope of work. For this reason, a small token of appreciation will be offered in the form of a one-time payment of \$40, and it will be offered to all participants to promote equity (i.e., avoid perceptions of unequal treatment within a small community of potential participants). There is extensive literature to support the use of honoraria of incentives, primarily monetary incentives, as a supplement or complement to other efforts of persuasion to ensure recruitment of a representative sample, especially among hard-to-reach and minority populations.<sup>2,3</sup> In studies for both commercial market research and social sciences, findings indicate that respondents who receive these tokens of appreciation provide valid input, and their inclusion makes for a more representative sample. NIAID anticipates that some respondents recruited for the interviews will refuse the payment and participate gratis because of their interest or involvement in the topic or as a professional courtesy, or because accepting the payment would constitute a conflict of interest.

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<sup>2</sup> Singer E and Kulka RA. Paying respondents for survey participation. In Ver Ploeg M, Moffitt RA, Citro CF (eds). *Studies of Welfare Populations: Data collection and Research Issues*. National Academy Press: Washington, DC 2001. Available at <http://www.nap.edu/openbook/0309076234/html>. Accessed on May 13, 2008.

<sup>3</sup> Kovac MD, Markesich J. Tiered incentive payments: getting the most bang for your buck. Presentation at the Annual Conference of the American Association for Public Research, 2002.

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

No assurance of confidentiality will be provided to respondents, however, NIAID and its contractor AED will follow best practices to minimize collection of identifying information and will keep data stored securely (see AED Guidelines attached as Appendix 3). For example, identifying information will be limited to the name of the interviewee and contact information pertinent to the organization they represent; no personal contact information will be collected.

The 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,” which is available at <http://oma.od.nih.gov/ms/privacy/pa-files/0156.htm> (a confirmation from the NIH Privacy Officer is attached as Appendix 4). Individuals will be informed of the statutory authority for collecting the information and will be told that their responses are voluntary, that there is no consequence if they choose not to provide the information, and that individual identification will not be disclosed to anyone but the researchers conducting the study, except as otherwise required by law (see Informed Consent attached as Appendix 5).

This research has been approved for exemption from 45 CFR 46 by AED’s Research Integrity Officer on the grounds that the protocol poses no risk to participants’ financial standing, reputation, or employability (46.101(b)(2)) (see IRB Exemption Review attached as Appendix 6).

### ***A.11. Justification for Sensitive Questions***

Since NIAID’s NHVREI communications focus on HIV/AIDS and participation in HIV vaccine research, there is a remote possibility that some interviewees may feel sensitive about discussing HIV/AIDS, a disease that can be transmitted through sexual contact or injection drug use. During

recruitment and on the informed consent form (attached as Appendix 5), interviewees will learn of the purpose of the research and how their responses will be used to refine communications to encourage support for HIV vaccine research. The interviewer will make it clear that participants do not have to respond to any question that makes them uncomfortable. Respondents will be informed that the information they share is voluntary and will be kept private to the extent permitted by law. The information will not become part of a system of records containing permanent identifiers that can be used for retrieval.

***A.12. Estimates of Hour Burden Including Annualized Hourly Costs***

The estimated time for the annual burden from implementing this research, summarized in Table 12-1 below, is based on the research contractor’s extensive experience with similar interviews. The average time per response includes preparation for the interview, which involves retrieving materials sent in a single mailing prior to the interview.

Table 12-1. Estimates of Hour Burden

Form Name	Total Number of Respondents	Frequency of Response	Average Time Per Response	Annual Hour Burden
Interview Guide: Formative Research with Stakeholders	29	1	1	29

Annualized costs, summarized in Table 12-2 below, use the mean hourly wage for social and community service managers provided by the U.S. Department of Labor, Bureau of Labor Statistics.<sup>4</sup> The cost to individual respondents is approximately \$28.40 based on an average respondent burden of one hour per respondent.

Table 12-2. Annualized Cost to Respondents

Type of Respondents	Number of Respondents	Frequency of Response	Hourly Wage Rate	Respondent Cost
Community leaders	29	1	\$28.40	\$823.60

### ***A.13. Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers***

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

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

The total annual cost to the Federal Government reported here is an approximation. In the full supporting statement, it was estimated that the cost for the government to conduct this type of research would be approximately \$16,000 for each IDI study. This figure includes the cost of study design, recruitment, interviewer, and data collection. This study requests up to 29 IDIs be conducted with a total anticipated cost of \$15,000 for this information collection. This research will have a minimal impact on the total cost of approximately \$1,344,000 that was estimated in the full supporting document.

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<sup>4</sup> U.S. Dept. of Labor, Bureau of Labor Statistics. May 2007 National Occupational Employment and Wage Estimates, United States. Accessed on May 27, 2008 at [http://www.bls.gov/oes/current/oes\\_nat.htm#b11-0000](http://www.bls.gov/oes/current/oes_nat.htm#b11-0000).

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

No burden changes are requested. This is a new IDI study under the existing generic study titled “Pretesting of NIAID’S HIV Vaccine Research Education Initiative Communication Messages” (OMB #0925-0585). This represents the first sub-study and once approved will be indicated by 0925-0585-01.

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

This information collection does not require statistical analyses. IDIs will be conducted within 4 weeks after OMB approval. We anticipate that it will take no more than 4 weeks to collect information from 29 participants. Results for this IDI study will be summarized within 2-4 weeks after the completion of the last interview. Thematic analysis will be conducted using standardized practices for qualitative research. Results of selected findings will be used to develop or refine existing HIV vaccine clinical research materials and messages.

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

NIAID will display the OMB number and expiration date on upper right corner of participant informed consent forms.

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

These IDIs will comply with the requirements in 5 CFR 1320.9. No exceptions to certification are requested.

## **Section B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

Section B is not addressed in this individual information collection request under the generic clearance ICRAS: 0925-0585 because this particular information collection will not employ statistical methods.