

**SUPPORTING STATEMENT
(Advanced Technology Program)
OMB CONTROL NO. 0693-0009**

A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary.

The Advanced Technology Program (ATP) began in 1990 to provide cost-shared funding to industry to accelerate the development and broad dissemination of challenging, high-risk technologies that promise significant commercial payoffs and widespread benefits for the nation. This unique government-industry partnership aids companies in accelerating the development of emerging or enabling technologies which lead to revolutionary new products, and industrial processes and services that can compete in rapidly changing world markets. The ATP challenges the research and development (R&D) community to take on higher technical risk projects with commensurately higher potential payoff to the nation than they would otherwise. The ATP statutory authority is 15 U.S.C. 278n (<http://www4.law.cornell.edu/uscode/15/278n.html>). ATP regulations are in 15 C.F.R. Part 295 (http://www.access.gpo.gov/nara/cfr/cfrhtml_00/Title_15/15cfr295_00.html).

This request is for the information collection requirements associated with completing project surveys once an award is granted. The intent of the collection is to meet statutory requirements for ATP, as well as compliance with 15 C.F.R. Part 14 and the Government Performance and Results Act.

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with applicable NIST Information Quality Guidelines.

Once an award is made, the ATP Business Reporting System (BRS) is used to monitor project performance against ATP's mission. The survey information collected is intended for use in ATP project management, as well as by researchers performing evaluation research. Over time, the data are expected to support comprehensive analyses of the behavior of firms and organizations conducting advanced R&D and developing new technologies, following business progress and diffusion of economic benefits from ATP projects.

There are five components of the ATP BRS as follows:

- The Baseline Report is provided at the beginning of the project. In this report, ATP participants address characteristics of their R&D project, characteristics of their company, characteristics of the project team, potential areas of commercial application of the technology, strategies for commercialization, strategies for protecting intellectual property. The method of reporting is a web survey (**see Attachment A**).

- The Quarterly Report updates project contact person information and describes significant business developments related to the ATP project for the quarter. The method of reporting is a web survey (**see Attachment B**).
- The Anniversary Report is provided annually during the course of the project. This report follows the progress of research on the project, progress towards implementing commercialization strategies, early economic impacts of the ATP projects, experience in research collaboration, new knowledge and intellectual property created, dissemination of information through publications and other mechanisms. The method of reporting is a web survey (**see Attachment C**).
- The Closeout Report is provided at the conclusion of the project. This report summarizes research and business status of the project, identifies remaining technical and business issues in progress toward commercialization of the technology, and indicates anticipated economic impacts of the ATP project in future years. The method of reporting is a web survey (**see Attachment D**).
- The Post-Project Survey Reports are provided two, four, and six years after the end of ATP funding. The purpose of the reports is to determine actual progress in commercializing the technology and economic impacts inside and outside the organization. Major impacts of ATP projects occur subsequent to the end of ATP funding, as technologies developed with ATP funds become embodied in new products, services, and processes, enter the marketplace, and contribute to the nation's industrial productivity economic growth, and quality of life. The primary method of reporting is responding to a telephone survey. Additionally, supplemental information is obtained by a web survey (**see Attachment E**).

The information reporting framework discussed above is organized around defining project goals and measuring accomplishments against these goals. The system aims to provide a consistent and fair basis of reporting across all projects and facilitates data analysis for program evaluation purposes. The reporting system provides a consistent standard for evaluating the short-term to long-term performance of ATP's entire portfolio of funded projects. The BRS is a key part of ATP's program evaluation effort. Without the information collected from the recipients, ATP would be unable to monitor project performance against ATP's mission. The survey information collected is essential for ATP to perform comprehensive analyses of the behavior of firms and organizations conducting advanced R&D and the benefits derived from ATP projects.

This information collection and dissemination will comply with the NIST CIO Information Quality Guidelines and Standards.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

The baseline, quarterly, anniversary, and closeout business reports are submitted in a web-based survey instrument. The post-project survey report is conducted as a telephone survey interview and supplemented with a web-based survey instrument. The website is password protected and only accessible to respondents.

4. Describe efforts to identify duplication.

The data collected in the BRS are required to conduct award assessment of project progress. The data are unique to ATP investments. No other Federal agency collects this data in aggregate. There are no other sources or data that can be used to track the technical and commercialization progress of ATP projects. In addition, the BRS data are a unique source of innovation data that be used by researchers to study the innovation to invention process.

5. If the collection of information impacts small businesses or other small entities, describe the methods used to minimize burden.

Every effort has been made to streamline the information collection requirement for ease of all respondents especially small businesses. Consideration was given to the expense involved in responding to the annual BRS monitoring reports. The type of information being collected is essential for NIST to be able to perform the appropriate technical and business reviews of an ATP award recipient in order to track the technical and commercial progress of the project. The surveys have been revised to reduce the burden on respondents and to improve the flow of the surveys.

6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.

If the collection is not conducted, the ATP will not be able to obtain the information required to evaluate the outcome of ATP funding. The BRS is a key part of ATP's program evaluation effort. Without the information collected from the recipients, ATP would be unable to monitor project performance against ATP's mission. The survey information collected is essential for ATP to perform comprehensive analyses of the behavior of firms and organizations conducting advanced R&D and the benefits derived from ATP projects.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

There are no special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

ATP is requesting that information on the Post-Project Survey be collected three times during the six years after the end of the project. This is because ATP funded projects are technologies that may not come to the marketplace immediately, and a longer period is needed to determine the commercialization outcomes.

8. Provide a copy of the PRA *Federal Register* notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and record keeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A *Federal Register* notice was published on June 6, 2006. No comments were received (**see Attachment F**).

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

ATP recipients are funded using the cooperative agreement financial assistance-funding instrument. No other payments or gifts are provided to the respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

The government will protect confidential/proprietary information on business operations and trade secrets possessed by any company or participant to the full extent of the law. Such information will be withheld from disclosure pursuant to the following statutes:

- a. ATP Statute - 15 U.S.C. 278n(d)(5) (<http://www4.law.cornell.edu/uscode/15/278n.html>).
- b. Trade Secrets Act - 18 U.S.C. § 1905 (http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=browse_usc&docid=Cite:+18USC1905).
- c. Freedom of Information Act (FOIA) - 5 U.S.C. §52(b) (http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=browse_usc&docid=Cite:+5USC552).
- d. Economic Espionage Act – 18 U.S.C. § 1832 (http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=browse_usc&docid=Cite:+18USC1832).
- e. Title V: Confidential Information Protection and Statistical Efficiency, Public Law 107-347 (<http://www.eia.doe.gov/oss/CIPSEA.pdf>).

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

Not applicable. The information collected does not include questions of a sensitive nature.

12. Provide an estimate in hours of the burden of the collection of information.

Each of the 150 respondents to the BRS spends an average of 4 hours annually responding to the survey. As a result, the total annual burden hours for the BRS are 600 (150 respondents x 4 hours = 600). Assuming an hourly loaded wage rate of \$100, this costs the average respondent \$400, for a yearly total of \$60,000 for 150 respondents (\$400 x 150).

13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection of information (excluding the value of the burden hours in #12 above).

The baseline, quarterly, anniversary, and closeout business reports are submitted in a web-based survey instrument. The post-project survey report is conducted as a telephone survey interview and supplemented with a web-based survey instrument.

Therefore, the annual cost burden to the respondents resulting from the collection of information, excluding the value of the burden hours in question 12 above is \$0.

14. Provide estimates of annualized cost to the Federal government.

ATP estimates that the total annualized cost to the Federal government for data collection and processing of 150 BRS survey responses is \$5,250 (1/2 hour per survey x 150 survey responses at \$70 per professional hour). The information requested is essential for evaluating the value of ATP-funded projects in order to assess their long-term benefits.

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.

The previous OMB inventory for this information collection was 1,425 respondents, 1,425 responses, and 25,225 burden hours.

The number of responses and respondents has decreased by 1,275 (1,000 for new proposals plus 275 for new BRS reporting) due to the elimination of the information collection requirements associated with applying for funding of new proposals, as well as a decrease in BRS reporting since new awards will not be issued (program change/lack of appropriated funds). As a result, this inventory lists 150 respondents and responses associated with the collection of 150 BRS reports annually from ongoing award recipients.

The number of burden hours has been reduced by 24,625 hours (23,100 for new proposals plus 1,525 for new BRS reporting) due to the elimination of the information collection requirements associated with applying for funding of new proposals as well as a decrease in BRS reporting since new awards will not be issued (program change/lack of appropriated funds). As a result, this inventory lists 600 burden hours associated with the collection of 150 BRS reports annually from ongoing award recipients (150 respondents x 5 hours = 600).

The previous OMB inventory for this information collection included \$187,500 in annual costs associated with applying for funding of new proposals (\$150,000 in travel costs for 150 new candidates to attend the oral review plus \$37,500 for duplicating proposals for some candidates). Since this information collection eliminates the annual costs associated with applying for funding of new proposals, \$187,500 (\$150,000 + \$37,500) has been eliminated. There were and still are no additional costs associated with the BRS.

16. For collections of information whose results will be published, outline the plans for tabulation and publication.

Much of the data collected as part of the BRS are published as aggregate statistics biannually in ATP's publication, "Measurement ATP Impact: Report on Economic Progress." The data are used as input for the annual budget reporting of performance, and to provide an assessment of whether ATP is meeting its mission to fund high risk and innovative technologies that have broad economic benefits.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

Not applicable. Expiration date will be displayed on the upper right hand corner on the first page of each report.

18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.

Not applicable. No exception to the certification statement is requested.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection of information does not employ statistical methods.