

SUPPORTING STATEMENT
U.S. Department of Commerce
National Institute of Standards and Technology
Guide for Preparing and Submitting White Papers
to the Technology Innovation Program
OMB Control No. 0693-XXXX

A. JUSTIFICATION

This is new information collection seeking the Office of Management and Budget approval.

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

The mission of the Technology Innovation Program (TIP), of the National Institute of Standards and Technology (NIST) is to fund transformational high-risk, high-reward research in areas of Critical National Need (CNN).

An area of critical national need means an area that justifies government attention because the magnitude of the problem is large and the societal challenges that need to be overcome are not being addressed, but could be addressed through high-risk, high-reward research. The societal challenge if not addressed could negatively affect the overall function and quality of life of the Nation, and as such, justifies government action.

White papers supplied by the public will be used as part of the process to define the societal challenges associated with a CNN. The receipt of each white paper is acknowledged with a written letter from TIP explaining the use of the white paper.

The “Guide for Preparing and Submitting White Papers to the Technology Innovation Program” will explain how participation can help develop new areas for future competitions for the TIP by offering ideas in the form of a white paper. These white papers will be used by TIP staff in an effort to create a pipeline of societal challenges suitable for future funding opportunities. The creative thoughts put forth in these white papers will be used to leverage nationally recognized science and technology reports, knowledge from NIST, other government agencies, scientific advisory bodies, industry organizations, and leading researchers from academic institutions.

TIP will seek white papers from the general public through a Federal Register Notice and an announcement on its webpage. In addition, white papers are solicited by TIP staff through professional contacts as well as presentations made at professional, scientific, and academic conferences.

White Papers are a means by which TIP staff can obtain additional information as well as informed opinions that may be incorporated into the preparation of a CNN.

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 all applicable Information Quality Guidelines.

TIP uses white papers to shape future competitions. Pertinent ideas, concepts and knowledge offered by stakeholders in these white papers combined with information from a variety of other sources, enables TIP to identify and address areas of critical national need and associated societal challenges suitable for TIP investment.

Any information collected through the white paper process may or may not be used in the preparation of a TIP CNN. If any information gleaned from a white paper is incorporated into a TIP CNN no attribution is given to its author. All white papers submitted to TIP are for internal purposes only and white paper authors are informed of this dispensation through a written letter.

The white paper collection process complies with the OMB “Information Quality Guidelines”.

TIP CNN’s are prepared by TIP staff and are disseminated through the TIP webpage. Its accuracy, reliability, objectivity, as well as its utility, integrity, and completeness are guaranteed by NIST/TIP. Email links attached to each CNN posted on the TIP webpage provide for feedback on the content as well as serve as a mechanism for the correction of information publicly disseminated by TIP.

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.

White papers authored by the public can be submitted by two methods - paper (3 copies) or by email. Email submissions will be encouraged.

CNN white papers prepared by TIP staff are posted on the TIP webpage for public review and comment. These postings contain a feedback mechanism in the form of email links to relevant TIP staff. (For example, if a CNN addresses an area in manufacturing, the email link on the webpage is specifically addressed to the TIP staff engaged in preparing the manufacturing CNN.) Any additional information gathered in this manner likewise may or may not be incorporated into a CNN white paper prepared by TIP staff.

4. Describe efforts to identify duplication.

Each TIP CNN team is responsible for reviewing the literature and ensuring against duplication.

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

Small businesses and/or small business entities may participate in the development of a CNN by submitting a white paper. The provided guidelines are required by all respondents no matter the size of the business.

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, TIP may miss the opportunity of receiving opinions in the development of high-risk, high-reward, transformative research targeted to address key societal challenges associated with areas of critical national need.

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

Not Applicable.

8. Provide information 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 recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A Federal Register Notice soliciting public comments was published on December 24, 2009 (Vol. 74, pages, 68418-68419).

TIP received a public comment from Jean Public stating, “*I do not believe this collection of information is necessary.*” No response was provided.

TIP staff conducts extensive research into the development of each CNN. This includes a literature search encompassing papers and proceedings from professional and scholarly publications, conferences, and presentations. Input is also gathered from the public, including the scientific community, in the form of white papers, responses to the TIP CNN webpage postings (via email links), as well as through professional and personal contacts developed by TIP staff.

All white papers are recorded in a database that is available only to TIP staff. The database includes a copy of the white paper and contact information for the principal writer. (White papers may be prepared collaboratively. TIP only records the contact information of the

principal writer.) Each white paper is reviewed by a member of the TIP CNN team assigned to the relevant topic. Assessments of the contents of the white papers are recorded in the same data base.

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

Not Applicable.

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

However on page 4 of the guide, submitters are informed that: *“We intend to share white papers broadly with the scientific community; therefore, white papers should contain only public domain information and must not contain proprietary information.”* On page 5 we again state, *“Remember, do not include proprietary information.”*

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.

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

It is estimated that the time to complete a white paper is 4 hours. NIST estimates it will receive 100 white papers annually X 4 hours = **400 hours**.

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

The estimated total cost to each respondent is \$7 for duplication/postage. The estimated total annual cost burden is \$700 for respondents.

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

There is no additional cost to the federal government as the collection of data is part of routine research to determine societal challenges within a CNN that are currently not being funded.

The collection cost of the white papers is minimal. TIP has an established internal mechanism for the collection, sorting, and distribution of white papers and email comments.

15. Explain the reasons for any program changes or adjustments.

This is a new information collection.

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

There are no plans to publish any of the white papers received.

A tabulation of white papers (count and geographic submittal location) is made public during TIP presentations at conferences and professional meetings.

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.

18. Explain each exception to the certification statement.

Not Applicable.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection of information will not employ statistical methods in this process.