

**Request for Approval under the “Generic Clearance for the Collection of
Routine Customer Feedback” (OMB Control Number: 3145-0215)**

TITLE OF INFORMATION COLLECTION:

Satisfaction Survey: SBIR/STTR Submission Process (for Applicants)

PURPOSE:

In FY 2019, the Industrial Innovation & Partnerships (IIP) of the Engineering Directorate (ENG) made one significant change to the Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) proposal submission process. Before the change, small businesses who wished to apply for an SBIR/STTR Phase I grant could submit their full proposals to NSF twice per year. Under the new system, a Project Pitch requirement was introduced. The newly added Project Pitch requires a small business to outline the technical innovation, commercialization potential, and broader impact of its project before submitting a full proposal to NSF. Only proposers with a Project Pitch that is suitable/appropriate to the objectives of the SBIR/STTR program are invited to submit a full proposal.

The goals of this new process are (i) to provide specific feedback to potential applicants regarding whether or not their proposed project is a good fit for the program prior to initiating the full proposal submission process, and (ii) to allow greater agility and flexibility in receiving and evaluating full proposals, ensuring that (potential) applicants do not expend time or resources in the development of full proposals where the proposal goals are clearly not appropriate given the NSF SBIR/STTR program objectives.

This request is to conduct on-line surveys of applicants (who were invited to submit a full proposal to the NSF SBIR/STTR Program) to measure satisfaction with the Project Pitch and the full proposal submission process.

Data collected in the surveys will be used to help IIP evaluate the overall submission process, and ultimately, help NSF to improve its service to the communities of small businesses and reviewers.

DESCRIPTION OF RESPONDENTS:

Respondents that will be surveyed: Applicants who submitted an SBIR/STTR full proposal. Since the new SBIR/STTR application process started in Q3 of FY 2019, the survey subjects will include only participants occurring in late FY 2019 and onward.

TYPE OF COLLECTION: (Check one)

- Customer Comment Card/Complaint Form
- Usability Testing (e.g., Website or Software)
- Focus Group

- Customer Satisfaction Survey
- Small Discussion Group
- Other: _____

CERTIFICATION:

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does not raise issues of concern to other federal agencies.
4. The results are not intended to be disseminated to the public.
5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: Suzanne H. Plimpton, NSF Reports Clearance Officer

To assist review, please provide answers to the following question:

Personally Identifiable Information:

1. Is personally identifiable information (PII) collected? Yes No
2. If Yes, is the information that will be collected included in records that are subject to the Privacy Act of 1974? Yes No
3. If Applicable, has a System or Records Notice been published? Yes No

Gifts or Payments:

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? Yes No

BURDEN HOURS

Category of Respondent	No. of Respondents	Participation Time	Burden
Private Sector - Applicants	750	0.17 hours	128 hours
Totals			128 hours

FEDERAL COST: The estimated annual cost to the Federal government is \$ 0.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe? Yes No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

FASTLANE and Salesforce data will be used to obtain the full list of applicants. The Satisfaction Survey will send out to all the applicants who submitted a full proposal to the NSF SBIR/STTR Program. Since the surveys are conducted prior to the application outcomes, the expected response rate is about 50 %. The number of respondents included in the burden table above has factored in these assumptions, which is a 50 % loss of sample for applicants due to non-response. The burden is estimated based on FY 2018 data.

Administration of the Instrument

1. How will you collect the information? (Check all that apply)
 Web-based or other forms of Social Media
 Telephone
 In-person
 Mail
 Other, Explain

2. Will interviewers or facilitators be used? Yes No

Please make sure that all instruments, instructions, and scripts are submitted with the request.

Instructions for completing Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback”

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:

Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected.

No. of Respondents: Provide an estimate of the Number of respondents.

Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)

Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents. Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

Administration of the Instrument: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.