Appendix G: Federal Register Notices

Includes:

1. Current FRN from December 22, 2016;
2. Previous FRN for the Evaluation December 4, 2015; and
3. Original NSF ENG clearance for IIP programs' data collection including I-Corps from February 6, 2015.

7555-01-P

NATIONAL SCIENCE FOUNDATION

Notice of Intent to Seek Approval to Establish an Information Collection System.

AGENCY: National Science Foundation.

ACTION: Notice and request for comments.

SUMMARY: Under the Paperwork Reduction Act of 1995, Pub. L. 104–13 (44 U.S.C. 3501 et seq.), and as part of its continuing effort to reduce paperwork and respondent burden, the National Science Foundation (NSF) is inviting the general public or other Federal agencies to comment on this proposed continuing information collection.

COMMENTS: Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the Foundation, including whether the information will have practical utility; (b) the accuracy of the Foundation’s estimate of the burden of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on those who are to respond, including through the use of automated collection techniques or other forms of information technology. Please submit one copy of your comments by only one method. All submissions received must include the agency name and collection name identified above for this information collection. Commenters are strongly encouraged to transmit their comments electronically via email. Comments, including any personal information provided, become a matter of public record. They will be summarized and/or included in the request for Office of Management and Budget approval of the information collection request.

DATES: Written comments on this notice must be received by [INSERT DATE 60 DAYS AFTER PUBLICATION IN THE FEDERAL REGISTER], to be assured consideration.

Comments received after that date will be considered to the extent practicable. Send comments to address below.

FOR FURTHER INFORMATION CONTACT:
Ms. Suzanne H. Plimpton, Reports Clearance Officer, National Science Foundation, 4201 Wilson Boulevard, Suite 1265, Arlington, Virginia 22230; telephone (703) 292–7556; or send e-mail to splimpto@nsf.gov. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339, which is accessible 24 hours a day, 7 days a week, 365 days a year (including federal holidays).

SUPPLEMENTAL INFORMATION:

Title of Collection: Innovation Corps (I-Corps) Teams Program Survey of Program Participants and NSF Principal Investigators.

OMB Number: 3145-NEW.

Type of request: Intent to seek approval to establish an information collection.

Abstract:

In fiscal year 2011, NSF created the Innovation Corps (I-Corps) Teams Program to build a national innovation ecosystem by accelerating innovation among identified NSF-funded researchers. The I-Corps Teams Program provides training, mentoring, and a small grant to help project teams determine the readiness of their technology products for transition to commercialization. By design, I-Corps Teams are composed of one principal investigator (PI), an entrepreneurial lead (EL), and a local mentor. NSF's I-Corps Teams program model has been replicated in other Federal agencies that sponsor research, including the National Institutes of Health (NIH). NSF and NIH have a memorandum of understanding to cooperate in the implementation and monitoring of I-Corps at NIH.

As part of I-Corps, teams receive entrepreneurial training and ongoing support for the 6-month duration of the grant. The I-Corps support facilitates each team's entrepreneurial efforts. The grant requires I-Corps awardees to participate in an intensive immersion training on entrepreneurship (a 3-day opening workshop, 5 weeks of activities with online classes, and a 2-day final workshop). The training follows a structured approach to give team members hands-on experience in transferring knowledge into commercial products. NSF tracks I-Corps Teams' progress, as they are expected to hit milestones for the duration of the training and throughout the 6-month grant period. Additionally, NSF monitors I-Corps Teams' project outcomes after the grant period, with longitudinal surveys conducted with I-Corps Teams at two future intervals, time 1, at least one year after the end of the training, and time 2, at least one year after time 1. To date, only time 1 longitudinal surveys have been conducted.

This notice supports NSF's efforts to monitor and evaluate the I-Corps Teams program at NSF and NIH. It is a follow up to a previously approved data collection request related to I-Corps. NSF previously received clearance for two longitudinal surveys of I-Corps team members after the completion of the program to continuously track entrepreneurial outcomes [Federal Register Vol.80 No. 25, February 06, 2015 pages 6773-6774, OMB clearance number 3145-0238, expiration date: April 30, 2018]. NSF is seeking to modify the survey instrument approved for the second longitudinal survey, administered at time 2.

Additionally, NSF is also reaffirming its intent to conduct a survey of NSF PIs who did not participate in I-Corps. This intent was previously published in a Federal Register notice on December 04, 2015 [Volume 80, number 233 pages 75881-75882]. This survey of additional PIs supports a rigorous longitudinal outcome/impact evaluation of the I-Corps Team Program

using a quasi-experimental design to understand I-Corps impact on teams that go through the program and its impact on team members and academic culture.

This information collection request relates to: (1) a revision to previously cleared survey instrument for I-Corps team participants; (2) a similar survey instrument for PIs in comparable non-I-Corps NSF projects; and (3) a proposed instrument for in-depth interviews with 10 I- Corps and 10 comparable non-I-Corps teams (including institutional support personnel). The survey instrument for the non-I-Corps PIs is modeled after the content of the I-Corps longitudinal time 2 instrument to enable a direct comparison of outputs and outcomes. For the most part, it replaces specific references to I-Corps training and the I-Corps project that was the focus of commercial exploration with references to any other training and NSF project that was the focus of commercial exploration.

The survey of non-I-Corps PIs will begin with an initial screening module to identify those who have received support for projects with commercial potential and who have desire to act on that potential but have not received an I-Corps grant. PIs with non-I-Corps NSF-funded projects awarded between 2009 and 2013 will be surveyed. PIs who reported active interest in commercial potential for their research projects will be asked to complete an additional module adapted from the I-Corps Longitudinal Data Collection already approved by OMB for I-Corps team members. PIs not interested in the commercial potential of their research will stop the survey after completing the screening module. The surveys will be administered online.

In addition to the comparison between the I-Corps teams and a comparable group based on survey results, the study also includes in-depth interviews to gain an understanding of the influence of participation in the I-Corps program on PIs (and/or other active team members) as well as to

compare the impact of the I- Corps program on industry collaborations and other networking activities. Half of all in-depth interviews will be conducted over the phone while the other half will take place during site visits to the home institutions of the teams selected for the study.

Affected Public: NSF and NIH I-Corps grantees, including PIs, Entrepreneurial Leads and Mentors (or individuals taking equivalent formal roles in the teams) and non-I-Corps Grant recipients of NSF Programs.

Total Respondents: 6,222 (survey of NSF/NIH I-Corps grantee team members and non-I-Corps NSF PIs) and 160 (in-depth interviews with I-Corps and non-I-Corps PIs, their teams and support personnel).

Frequency: One-time collection.

Total responses: 5,422 (non-I-Corps screener questions only), 1,342 (longitudinal survey instrument for I-Corps teams and non-I-Corps NSF PIs), and 160 (in-depth interviews).

Average Time per response: 3 minutes (screener questions), 15 minutes (longitudinal survey instrument), and 60 minutes (in-depth interview).

Estimated Total Burden Hours: 817 hours.

Dated:

Suzanne H. Plimpton,

Reports Clearance Officer,

National Science Foundation.

[Federal Register Volume 80, Number 233 (Friday, December 4, 2015)]
[Notices]
[Pages 75881-75882]
From the Federal Register Online via the Government Publishing Office
[www.gpo.gov]
[FR Doc No: 2015-30653]

NATIONAL SCIENCE FOUNDATION

Agency Information Collection Activities; Comment Request; Evaluation of the National Science Foundation (NSF) Innovation Corps (I-Corps) Team Program, Survey of Comparable Projects' Principal Investigators; Proposed Information Collection Request

AGENCY: National Science Foundation.

ACTION: Notice.

SUMMARY: The National Science Foundation (NSF) is announcing plans to request establishment and clearance of this collection. In accordance with the requirement of Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995 (Pub. L. 104-13), we are providing opportunity for public comment on this action. After obtaining and considering public comment, NSF will prepare the submission requesting that OMB approve clearance of this collection for no longer than three years.

A copy of the proposed information collection request (ICR) can be obtained by contacting the office listed below in the ADDRESSES section of this notice.

DATES: Submit comments before February 2, 2016.

ADDRESSES: Suzanne H. Plimpton, Reports Clearance Officer, National Science Foundation, 4201 Wilson Boulevard, Suite 1265, Arlington, Virginia 22230 or send email to splimpto@nsf.gov. Copies of the submission may be obtained by calling (703) 292-7556.

Comments: Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the Agency, including whether the information shall have practical utility; (b) the accuracy of the Agency's estimate of the burden of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information on respondents, including through the use of automated collection techniques or other forms of information technology; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Please submit one copy of your comments by only one method. All submissions received must include the agency name and collection name identified above for this information collection. Commenters are strongly encouraged to transmit their comments electronically via email. Comments, including any personal information provided become a

matter of public record. They will be summarized and/or included in the request for Office of Management and Budget approval of the information collection request.

FOR FURTHER INFORMATION CONTACT: Suzanne H. Plimpton, Reports Clearance Officer, National Science Foundation, 4201 Wilson Boulevard, Suite 1265, Arlington, Virginia 22230 or send email to splimpto@nsf.gov. Copies of the submission may be obtained by calling (703) 292-7556. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339, which is accessible 24 hours a day, 7 days a week, 365 days a year (including federal holidays).

SUPPLEMENTARY INFORMATION:

Title of Collection: Innovation Corps (I-Corps) Team Program Survey of PIs in Comparable non-I-Corps Projects.

OMB Number: 3145--NEW.

Type of request: Intent to establish an information collection.

Abstract

The Innovation Corps (I-Corps) program was established in 2011 as part of NSF's efforts to encourage a culture of innovation among recipients of research grants. The program provides support and guidance to selected grantees on how to pursue commercial applications of their research. The I-Corps Teams program uses a lean startup approach to encourage scientists to think like entrepreneurs through intensive workshop training and ongoing support. The program focuses on teams comprised of a principal investigator, entrepreneurial lead, and mentor that work together to explore commercialization for their research-derived products.

NSF is supporting the evaluation of the program that includes a rigorous

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longitudinal outcome/impact evaluation of the I-Corps Team Program using a quasi-experimental design to understand I-Corps impact on teams that go through the program and its impact on team members and academic culture.

The Office of Management and Budget has previously provided clearance for 3 data collection efforts associated with the I-Corps workshops targeting I-Corps grantees. These refer to: (1) A pre-course survey (2) a post-course survey and (3) a longitudinal survey of principal investigators in the program. This request builds on this previously approved information collection for NSF's Engineering IIP Program Monitoring Clearance (OMB Control No. 3145-0238).

This information collection request relates to (1) a proposed survey of principal investigators (PIs) in comparable Non-I-Corps NSF projects and (2) In-depth interviews with 10 I-Corps and 10 comparable non-I-Corps teams.

The survey will begin with an initial screening module to identify PIs who have received support for projects with commercial potential and who have desire to act on that potential but have not received an I-Corps grant. PIs with non-Corps NSF-funded projects awarded between 2009 and 2013 will be surveyed. PIs who reported active interest in commercial potential for their research projects will be asked to

complete an additional module adapted from the I-Corps Longitudinal Data Collection already approved by OMB for I-Corps team members. The longitudinal survey collects information on project outputs and outcomes related to commercialization of research-based products. PIs not interested in the commercial potential of their research will stop the survey after completing the screening module.

In addition to the comparison between the I-Corps teams and a comparable group based on survey results, the study also includes in-depth interviews to gain an understanding of the influence of participation in the I-Corps program on PIs and other team members as well as to compare the impact of the I-Corps program on industry collaborations and other networking activities. Half of all in-depth interviews will be conducted over the phone while the other half will take place during site visits to the home institutions of the teams selected for the study.

Affected Public: Non-I-Corps Grant recipients of NSF Programs common in the background of I-Corps Teams Program PIs for the survey and 10 I-Corps and 10 non-I-Corps research teams and networks.

Total Respondents: 9,000 (survey) 160 (in-depth interviews). Frequency: One-time collection.

Total responses: 7,200 (screener module), 720 (modified longitudinal survey module) and 160 (in-depth interviews). Average Time per response: 5 minutes (screener module), 15 minutes (modified longitudinal survey module) and 60 minutes (in-depth interview).

Estimated Total Burden Hours: 940 hours.

Dated: December 1, 2015.

Suzanne H. Plimpton,

Reports Clearance Officer, National Science Foundation.

[FR Doc. 2015-30653 Filed 12-3-15; 8:45 am]

BILLING CODE 7555-01-P

[Federal Register Volume 80, Number 25 (Friday, February 6, 2015)]
[Notices]
[Pages 6773-6776]
From the Federal Register Online via the Government Publishing Office [www.gpo.gov]
[FR Doc No: 2015-02385]

NATIONAL SCIENCE FOUNDATION

Agency Information Collection Activities: Comment Request; Engineering IIP Program Monitoring Clearance

AGENCY: National Science Foundation.

ACTION: Notice.

SUMMARY: Under the Paperwork Reduction Act of 1995, Pub. L. 104-13 (44 U.S.C. U.S.C. 3506(c)(2)(A)), and as part of its continuing effort to reduce paperwork and respondent burden, the National Science Foundation invites the general public and other Federal agencies to take this opportunity to comment on this information collection. This is the second notice for public comment; the first was published in the Federal Register at 79 FR 9485 and no comments were received. NSF is forwarding the proposed submission to the Office of Management and Budget (OMB) for clearance simultaneously with the publication of this second notice. The full submission may be found at: http://www.reginfo.gov/public/do/PRAMain.

DATES: Comments regarding these information collections are best assured of having their full effect if received by OMB within March 9, 2015.

ADDRESSES: Written comments regarding the information collection and requests for copies of the proposed information collection request should be addressed to Suzanne Plimpton, Reports Clearance Officer, National Science Foundation, 4201 Wilson Blvd., Rm. 1265, Arlington, VA 22230, or by email to splimpto@nsf.gov. Copies of the submission may be obtained by calling (703) 292-7556.

FOR ADDITIONAL INFORMATION: Contact Suzanne Plimpton, the NSF Reports Clearance Officer, phone (703) 292-7556, or send email to splimpto@nsf.gov. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339, which is accessible 24 hours a day, 7 days a week, 365 days a year (including federal holidays).

An agency may not conduct or sponsor a collection of information unless the collection of information displays a currently valid OMB control number and the agency informs potential persons who are to respond to the collection of information that such persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.

SUPPLEMENTARY INFORMATION:
    Title of Collection: Engineering IIP Program; Monitoring Data Collections.
    OMB Number: 3145-NEW.
    Type of Request: Intent to seek approval to establish specific collections for 5 IIP programs for post-award output and outcome monitoring.

Abstract

    Proposed Project: NSF provides nearly 20 percent of federal funding for basic research to academic institutions.\1\ Within NSF, the Directorate for Engineering (ENG) has primary responsibility for promoting the progress of engineering in the United States in order to enable the Nation's capacity to perform. Its investments in engineering research and education aim to build and strengthen a national capacity for innovation that can lead over time to the creation of new shared wealth and a better quality of life. Most NSF programs in engineering are funded through the Directorate for Engineering, which also sponsors the NSF's Industrial Innovation and Partnerships (IIP) Division. To these ends, ENG provides support for research and implementation activities that may meet national needs. While scientists seek to discover what is not yet known, engineers apply fundamental science to design and develop new devices and engineered systems to solve societal problems. ENG also focuses on broadening participation in engineering research and careers, particularly among those individuals traditionally underrepresented and underemployed in the STEM workforce, including but not limited to, women, persons with disabilities, and racial and ethnic minorities.

    \1\ National Science Foundation. (2012). NSF at a glance. Retrieved from http://www.nsf.gov/about/glance.jsp.

    This request seeks approval for a group of information collections intended to monitor outputs, short-term, intermediate and long-term outcomes of NSF-ENG investments in research and innovation in the Division of Industrial Innovation and Partnerships (IIP). IIP programs serve the entire foundation by fostering partnerships to advance technological innovation and plays an important role in the public-private

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innovation partnership enterprise by investing in science and engineering research across all disciplines that have the potential for high impact in meeting national and societal needs. IIP focuses on leveraging federal, small business, industrial, university, state and community college resources.
    Genuine partnerships between academe and industry are an important aspect of IIP programs and should facilitate the types of infrastructure that can sustain and nurture the spread of innovative activity.
    Innovation infrastructures educate and train human capital for the research enterprise and the entrepreneurial aspects of innovation;

develop social networks characterized by shared commitment and trust; and build a base of operational support without which sustainable partnerships cannot exist. This support includes a diversified base of private investment, a physical place to provide a context for incubation, technical, management, and administrative support, laboratories, communications services, and reliable sources of capital. One end of the innovation spectrum within the division includes unsolicited research proposals generated by the academic community. On the other end of the innovation spectrum, IIP supports small business research proposals aimed at pursuing opportunities to commercialize products and services.

IIP is home to the two Congressionally mandated small business research programs, the Small Business Innovation Research (SBIR) program and the Small Business Technology Transfer (STTR) program. IIP also manages the Partnerships for Innovation: Accelerating Innovation Research (PFI:AIR) as well as the Partnerships for Innovation: Building Innovation Capacity (PFI:BIC) program, which stimulate innovation by building partnerships across the scientific, engineering, and business community. In addition, the IIP leverages industrial support through the Industry/University Cooperative Research Centers (I/UCRC) program. The division also actively participates in NSF-wide programs, such as the Grants Opportunities for Academic Liaison with Industry (GOALI) program. Another NSF-wide program in which IIP actively participates is the Innovation Corps program (I-Corps), which equips scientists with the entrepreneurial tools needed to transform discoveries with commercial realization potential into innovative technologies.\2\ ENG-funded projects could include research opportunities and mentoring for educators, scholars, small businesses and university students.

\2\ National Science Foundation. (2014) About IIP. Retrieved from http://www.nsf.gov/eng/iip/about.jsp.

These survey questionnaires, individually tailored to measure outputs and outcomes for different programs, will provide essential information for program monitoring purposes. Data collected by ENG IIP program monitoring collections will be used for program planning, management, and evaluation. Summaries of monitoring data are used to respond to queries from Congress, the public, NSF's external merit reviewers who serve as advisors, including Committees of Visitors (COVs), and NSF's Office of the Inspector General. These data are needed for effective administration, program and project monitoring, evaluation, and for measuring attainment of NSF's program and strategic goals, as identified by the President's Accountable Government Initiative, the Government Performance and Results Act (GPRA) Modernization Act of 2010, and NSF's Strategic Plan.

The seven (7) program-specific collections included in this request are designed to assist in management of specific programs and to serve as data resources for current and future program evaluations. As such, expected outcomes could vary according to the nature of the program funding, field of study, and other program characteristics.

Office	Programs
Industrial Innovation and Partnerships	Grant Opportunities for

(IIP).	Academic Liaison with Industry (GOALI). Innovation Corps (I-Corps). Partnerships For Innovation: Accelerating Innovation Research (PFI:AIR). Partnerships For Innovation: building Innovation Capacity (PFI:BIC). Small Business Innovation Research (SBIR).

This data collection effort will enable program officers to longitudinally monitor outputs and outcomes given the unique goals and purpose of their programs. This is very important to enable appropriate and accurate evidence-based management of the programs and to determine whether or not the specific goals of the programs are being met.

Grantees will be invited to submit this information on a periodic basis via data collection methods that include but are not limited to online surveys, interviews, phone interviews, etc. These indicators are both quantitative and descriptive and may include, for example, the characteristics of project personnel and students; sources of complementary cash and in-kind support to the ENG project; characteristics of industrial and/or other sector participation; research activities; education activities; knowledge transfer activities; patents, licenses; publications; descriptions of significant advances and other outcomes of the ENG-funded effort.

Use of the Information: The data collected will be used for NSF internal reports, historical data, program level studies and evaluations, and for securing future funding for the ENG program maintenance and growth. These data could be used for program evaluation purposes if deemed necessary for a particular program. Evaluation designs could make use of metadata associated with the award, and other characteristics to identify a comparison group to evaluate the impact of the program funding and other interesting research questions.

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	Estimate of Burden		
Collection title	Annual number of respondents	Number of hours/ respondents	Annual hour burden
Grant Opportunities for Academic Liaison with Industry (GOALI)..	200	2	400
Innovation Corps (I-Corps) Longitudinal Collection.....	800	.25	200

Innovation Corps (I-Corps) Pre-Course Survey Questionnaire.....
150 .25 37.5
Innovation Corps (I-Corps) Post-Course Survey Questionnaire.....
150 .25 37.5
Partnerships for Innovation: Accelerating Innovation Research
200 2 400
(PFI:AIR).....
Partnerships for Innovation: Building Innovation Capacity
30 2 60
(PFI:BIC).....
Small Business Innovation Research (SBIR).....
1,100 2 2,200

Total.....
2,630 8.75 3,335

Below is an example that shows how the hour burden was estimated for the monitoring system.

The estimated average number of annual respondents is 2,630, with an estimated annual response burden of 3,335 hours. For post-award monitoring systems, IIP expects to collect data at 1, 2, 5, and 10 years post-award, in order to have the best chance of capturing the more immediate outcomes expected by 1-2 years post-award, intermediate outcomes at 5 years post-award, and long-term outcomes/impacts at 10 years post award. These seven (7) data collections spread over the span of 10 years; this averages to 0.25 data collections/year. For the IIP division, many awards are made in translational research, such that we might expect a shorter and more condensed timeline of outcomes and impacts. Thus, some programs may wish to collect data quarterly for the first two years of the award, and then once annually at 5 and 10 years post-award. The annual number of responses for the first 2 years post award is included in this table.

For life-of-award monitoring, the data collection burden to awardees will be limited to no more than 2 hours of the respondents' time in each instance.

Respondents: The respondents are PIs, partners or students. For some programs (I-Corps) the burden already includes a response from 3 members of the team in the pre and post surveys. For all others, one PI or assignee per award completes the questionnaire.

Estimates of Annualized Cost to Respondents for the Hour

Burdens: The overall annualized cost to the respondents is estimated to be $215,660. The following table shows the annualized estimate of costs to PI/program coordinator respondents, who are generally university professors. This estimated hourly rate is based on a report from the American Association of University Professors, ``Annual Report on the Economic Status of the Profession, 2011-12,'' Academe, March-April 2012, Survey Report Table 4. According to this report, the average salary of an associate professor across all types of doctoral-granting institutions (public, private- independent, religiously affiliated) was $86,319. When divided by the number of standard annual work hours (2,080), this calculates to approximately $41 per hour.

	Number of respondents	Burden hours per respondent	Average hourly rate	Estimated annual cost
PIs, Assignees, Partners or Students.....	2,630	2	$41	$215,660

Estimated Number of Responses per Report

Data collection for the collections involves all awardees in the programs involved. The table below shows the total universe and sample size for each of the collections.

Respondent Universe and Sample Size of ENG Program Monitoring Clearance Collections

Collection title	Universe of respondents	Sample size
Grant Opportunities for Academic Liaison with Industry (GOALI).....	200	200
Innovation Corps (I-Corps) Longitudinal Collection.....	800	800
Innovation Corps (I-Corps) Pre-Course Survey Questionnaire.....	150	150
Innovation Corps (I-Corps) Post-Course Survey Questionnaire.....	150	150
Partnerships for Innovation: Accelerating Innovation Research (PFI:AIR).....	200	200
Partnerships for Innovation: Building Innovation Capacity (PFI:BIC).....	30	30
Small Business Innovation Research (SBIR).....	1,100	1,100

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Dated: February 3, 2015.
Suzanne H. Plimpton,
Reports Clearance Officer, National Science Foundation.
[FR Doc. 2015-02385 Filed 2-5-15; 8:45 am]
BILLING CODE 7555-01-P