

SUPPORTING STATEMENT
U.S. Department of Commerce
National Institute of Standards and Technology
Small Business Innovation Research (SBIR) Program Application Cover Sheet
OMB Control No. 0693-0072

A. JUSTIFICATION

This is a request for an extension of a current information collection.

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

The SBIR program was originally established in 1982 by the Small Business Innovation Development Act (P.L. 97-219), codified at 15 U.S.C. 638. It was then expanded and extended by the Small Business Research and Development (R&D) Enhancement Act of 1992 (P.L. 102-564) and received subsequent reauthorization and extensions that include Public Law 112-81, extending SBIR through September 30, 2022. The US Small Business Administration (SBA) serves as the coordinating agency for the SBIR program. It directs the agency implementation of SBIR, reviews progress, and reports annually to Congress on its operation.

The NIST Small Business Innovation Research (SBIR) Cover Sheet is for use by small businesses responding to the NIST SBIR Notice of Funding Opportunity (NOFO). It is the first page of each application and provides identifying information, demographic data, and a project summary. The information is necessary to meet the requirements of the Small Business Administration's (SBA) SBIR Policy Directive, Appendix VIII: Annual Report Database (http://sbir.gov/sites/default/files/sbir_pd_with_1-8-14_amendments_2-24-14.pdf).

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.

All information is collected annually and is used in the following ways:

Identifying information is used internally by NIST and is necessary to administer the evaluation and award process.

Demographic data is used in NIST's annual report to the SBA on the program. The technical abstract and potential commercial application have multiple purposes:

- Used internally for program administration to prevent fraud, waste, and abuse by providing NIST with a means to compare with applications to and awards by other agency SBIR programs.

- Used by internal evaluators to identify any potential conflict of interest prior to reviewing the full application.
- Awardee abstracts and commercial applications, along with some identifying information, are posted on the NIST SBIR website. These postings provide useful information on program outcomes and knowledge of NIST priorities and areas of interest to the general public and non-awardees.

Demographic information is included in the DoC annual report as required by SBA. Project summary with company and award information is posted on the NIST SBIR website.

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 information will be collected as part of the application process and may be submitted electronically through grants.gov or by paper.

4. Describe efforts to identify duplication.

All forms that are part of the required application process have been examined to reduce duplication as much as feasible.

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

Duplication of information is minimized and only requested when necessary to provide information required to administer the application evaluation process.

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

Lack of identifying information would make administration of the application evaluation and award process problematic.

Without collection of demographic information, the NIST SBIR Program Office would not be able to provide SBA with required information. Data in subsequent SBA reports on the overall SBIR program, including reports to Congress, would be incorrect.

Without project summary information, NIST would lose one of its tools to safeguard against fraud, waste, and abuse; application evaluators could be faced with conflict of interest issues, and SBIR applicants and the public would be less informed on NIST SBIR awards.

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

The collection will be conducted in a manner consistent with OMB guidelines.

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 60 Day Federal Register Notice (FRN) soliciting public comment was published on September 25, 2020, Vol. 85, page 60419. No comments were received.

The FRN soliciting public comment for a period of 30 days was published on December 18, 2020, Vol. 85, No. 244, page 82441.

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

There will be no payments or gifts to respondents.

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

Information collected includes PII (such as name / contact information), however the data is referential in nature only. Records will not be retrieved by a personal identifier; therefore, this is not a Privacy Act System of Records and does not require a SORN or Privacy Act Statement.

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.

There are no questions of a sensitive nature in this collection.

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

Estimated number of annual respondents: 100

Estimated time per response: 30 minutes

Estimated total annual burden: 50 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).

There is no estimated annual cost burden to the respondents or record keepers.

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

NIST SBIR staff members may spend up to 50 hours per year (.5 hour per applicant) to manage the efforts of this information collection. The estimated cost is \$3,350.00.

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

This is an extension of a current information collection. The number of annual respondents has declined since the previous approval and estimates of burden of the collection were adjusted accordingly.

The following changes have been made to the collection instrument:

The Subtopic Number was removed since NIST SBIR no longer uses subtopics.

In 1., “Federal Funding Opportunity (NOFO)” was corrected to “Notice of Funding Opportunity (NOFO).”

The following changes were made to comply with the SBA SBIR Policy Directive (PD) (https://www.sbir.gov/sites/default/files/SBIR-STTR_Policy_Directive_2019.pdf):

Closing date was added to the header.

Address of submitting firm was added.

Signature, typed name, title, address, telephone number, and date of the Company Official and Principal Investigator were added.

The Other Information section was modified per the PD.

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

Results will not be published.

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.

The expiration date for the OMB approval will be displayed.

18. Explain each exception to the certification statement.

There are no exceptions to the certification statement.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection does not employ statistical methodology.