

**NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA 22230**

**Engineering Directorate
Division of Industrial Innovation and Partnerships**

Report of the
Advisory Committee for
Small Business Innovation Research (SBIR) and
Small Business Technology Transfer (STTR)
Programs

21 May 2010

1.0 INTRODUCTION

The National Science Foundation (NSF) Advisory Committee (AdCom) for the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs met May 20-21, 2009 in Baltimore, Maryland in conjunction with the Phase II Grantees meeting.

Advisory Committee members in attendance included:

Patrick Brown
Mark Clevey
Albert Johnson
Karen Kerr
Tom Knight (Chairman)
Angus Livingstone
Richard Paul
Karthik Ramani
David B. Spencer
John Tao
Carol Wideman

Advisory Committee members absent:

Trish Costello
E. Jennings Taylor

NSF representatives attending all or part of the meeting included:

Kesh Narayanan, Division Director, Industrial Innovation and Partnerships (IIP)
Joseph Hennessey, Senior Advisor, IIP
Cheryl Albus, SBIR/STTR Program Director, IIP
Errol Arkilic, SBIR/STTR Program Director, IIP
Greg Baxter, SBIR/STTR Program Director, IIP
Murali Nair, SBIR/STTR Program Director, IIP
James Rudd, SBIR/STTR Expert, IIP
Ben Schrag, SBIR/STTR Program Director, IIP
Tony Walters, SBIR/STTR Program Director, IIP
Grace Wang, SBIR/STTR Program Director, IIP
Josephine Yuen, SBIR/STTR Program Director, IIP
Tiffany Sargent, AAAS Fellow, IIP
Ben Van Dusen, Einstein Fellow, IIP
Amanda May, Program Support Manager, IIP

2.0 AGENDA

The agenda for the meeting is included below.

Thursday, May 20, 2010

12 Noon.	Sign-in and Working Lunch	
12:15 p.m.	Welcome & Introductions	Kesh Narayanan/ Tom Knight
12:30 p.m.	Discussion & Approval of October 2009 AdCom Meeting Minutes	Tom Knight
12:45 p.m.	Innovation Ecosystem Update	Kesh Narayanan
1:45 p.m.	COV Report on the SBIR/STTR Program	Tom Knight
3:00 p.m.	Break	
3:15 p.m.	Continue discussion of COV Recommendations	AD Com Members
4:00 p.m.	Broadening Participation Presentation	Juan Figueroa/Cheryl Albus
5:00 p.m.	Adjourn	
6:00 p.m.	Group Dinner	

Friday, May 21, 2010

8:00 a.m.	Sign-In and Working Breakfast	
8:15 a.m.	Assessment Presentation	Tiffany Sargent
9:30 a.m.	Break	
9:45 a.m.	ADCOM Deliberations on COV Recommendations	
11:15 a.m.	Report out to NSF on COV Recommendations Action Items	Thomas Knight AdCom Members
12:00 Noon	Adjourn	

3.0 COMMENTS and FEEDBACK

The AdComm considered and provided feedback on the following discussion items from the meeting agenda.

Discussion and Approval of Minutes from Prior Meeting

After a brief discussion, the AdComm approved the minutes from the previous meeting held in October 2009.

Comments on New IIP Programs (Innovation Ecosystem, IFR, Industry Post Docs, TRAC)

The AdComm members are impressed with how IIP as a division is exploring the use of new IIP programs to achieve their vision and mission. Examples include:

- Innovation Consortia (I6), a.k.a. Innovation Ecosystem. The AdComm endorses IIP's leadership role and ability to leverage IIP's investment in this cross-agency collaboration, particularly IIP's role in establishing a peer review process for awarding these grants. The following AdComm members volunteer to participate in the peer review process for these proposals, if needed:
 - Patrick Brown
 - Mark Clevey
 - Tom Knight
 - Angus Livingstone
 - John Tao
 - Carol Wideman
- Industry Inspired Fundamental Research (IFR) AdComm recognizes that IIP's collaboration with IRI is innovative within NSF and looks forward to the results and assessment of this pilot program.
- Industry Post Docs The AdComm endorses plans to utilize this program as a vehicle to broaden participation of underrepresented groups.
- Translational Research in the Academic Community (TRAC)
- On-Going Cross-Agency Collaboration
- Technology Enhancement for Commercialization Partnerships (TECP). Funding for additional work beyond Phase II to support. (This was announced at the Phase II grantees conference but not at the AdComm meeting.)

The AdComm encourages IIP to continue to innovate programs in this way, to continually assess their effectiveness, and to integrate pilot programs where appropriate into the overall IIP portfolio of programs.

Feedback on Committee of Visitors Report

The AdComm heartily applauds the IIP COV report as presented. Two thumbs up on IIP's performance.

The AdComm commends the division's linkage of NAE's Grand Challenges to their solicitations.

Outreach Activities to Broaden Participation

The AdComm applauds the IIP division's plan to add an AAAS Fellow focused on broadening participation, and looks forward to progress in this area.

We continue to volunteer as needed to support these activities and will continue our Subcommittee on Outreach Activities to Broaden Participation. The Subcommittee includes:

Patrick Brown
Karen Kerr
Tom Knight
Carol Wideman (Chair)

Thank you for listening to us. We appreciate the responsiveness.

Assessment

The AdComm is impressed with progress on assessment, particularly with how IIP has taken a leadership role within the Engineering Directorate, the National Science Foundation, and the Federal Government.

The AdComm thanks the AAAS for its support and commends the leadership and collaborative approach on the part of Tiffany Sargent.

The AdComm eagerly awaits the results of Phase 2 and 3.

The AdComm continues to volunteer to assist with these efforts. Members of the Subcommittee on Assessment include:

Karthik Ramani
E. Jennings Taylor
Al Johnson
Tom Knight
Dick Paul
David Spencer

Other Feedback and Recommendations

The AdComm commends the IIP Program Managers, who have maintained excellent, "best in class" proposal review and program management processes, particularly during a period in which proposal submissions were very high while several staff positions were open.

The AdComm is concerned that Program Managers may need additional resources to maintain their success in the future. We acknowledge and endorse efforts to streamline routine administrative tasks associated with the review process, e.g., software tools to automate reviewer selection, and encourage IIP to continue these efforts.

The AdComm is unclear on the timing of IIP's update of its five year plan. If the timing is appropriate we would like to discuss this at our next meeting.

Regarding the Phase II Grantees Conference: The AdComm felt the educational talks were positive, and encourages more commercialization discussions (and less technical discussions) at the company presentations.

FUTURE MEETING

The next AdComm meeting will *tentatively* occur at the NSF starting Thursday, October 21, 2010 at 1PM and ending Friday, October 22nd at noon.

Proposed Agenda:

- Update from the SubCommittee on Outreach Activities to Broaden Participation
- Update from the SubCommittee on Assessment
- Discussion of IIP Five Year Plan. The AdComm volunteers to assist IIP with the update of its five year plan as appropriate. Two items were briefly discussed at the May 2010 meeting and were tabled for possible discussion at the October 2010 meeting within the context of the IIP five year plan:
 - o Adding "Additional Societal Impacts" both as an IIP goal and to the three assessment outcomes (Economic, Knowledge, and Human). "Societal Impact" includes contributions beyond the three assessment outcomes such as improvements in broadening participation, survival, health, security, and the pursuit of happiness.
 - o Explicitly including Broadening Participation in the subcriteria under Broader Impact.
- Update from the SubCommittee on Commercialization Assistance
The AdComm did not discuss Commercialization Assistance at its May 2010 meeting. The AdComm Subcommittee continues to volunteer to assist the NSF SBIR Staff refine commercialization assistance to our grantees, taking a holistic view of NSF SBIR/STTR commercialization assistance, including Phase I Commercialization Assistance, Phase II Commercialization Assistance (a.k.a. Innovation Acceleration), and the Phase I and Phase II Grantee Workshops. The subcommittee membership includes:
 - Albert Johnson
 - John Tao
 - Mark Clevey
- Deliberations and Report Out