

States Program "State Program Reporting System" for the next three years. These forms include:

- SPR Reporting System User Documentation
- Grants to States Program Report
- Financial Status Report
- SPR Phase 3 Reporting
- State Legal Officer's Certification of the Authorized Certifying Official
- Internet Safety Certification for Applicant Public Libraries, Public Elementary and Secondary School Libraries, and Consortia with Public and/or Public School Libraries

The Grants to States program is the largest source of Federal funding support for library services in the U.S. Using a population based formula, more than \$150 million is distributed among the State Library Administrative Agencies (SLAAs) every year. SLAAs are official agencies charged by law with the extension and development of library services, and they are located in:

- Each of the 50 States of the United States, and the District of Columbia;
- The Territories (the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands); and
- The Freely Associated States (the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau).

Each year, over 1,500 Grants to States projects support the purposes and priorities outlined in the Library Services and Technology Act (LSTA). (See 20 U.S.C. 9121 *et seq.*) SLAAs may use the funds to support statewide initiatives and services, and they may also distribute the funds through competitive subawards (subgrants or cooperative agreements) to public, academic, research, school, or special libraries or library consortia (for-profit and Federal libraries are not eligible). Each SLAA must submit a plan that details library services goals for a five-year period. (20 U.S.C. 9134). SLAAs must also conduct a five-year evaluation of library services based on that plan. These plans and evaluations are the foundation for improving practice and informing policy. Each SLAA receives IMLS funding to support the five year period through a series of overlapping, two year grant awards.

Each SLAA must file interim and final financial reports, as well as final performance reports for each of these two year grants. Since 2002, the final performance reporting has been accomplished through IMLS' State Program Reporting (SPR) system. To improve how IMLS measures the impact of the Federal investment in the Grants to States program, IMLS and SLAAs

have been partnering on a comprehensive planning and evaluation initiative called "Measuring Success." This multi-year effort has fundamentally shifted the way in which Grants to States final report information is gathered and shared, and it is improving program accountability, reporting, evaluation, and assessment. The SPR has been developed in phases, in concert with a small group of SLAAs acting as pilots for each phase. Roughly, these phases corresponded to: Framework and question development; descriptive reporting for the two year award; and finally the incorporation of the performance measurement reporting. Currently, all phases have been rolled out and are reflected in the documentation submitted for the three year approval. The Measuring Success initiative has driven the development of the data reporting and analysis system (database) that replaces the older narrative State Program Report system.

The SPR development was guided by a data reporting and collection framework that balances the need for descriptive information to monitor compliance with award conditions with the need for data on performance measures to assess the impact of the public funds. By gathering project data more consistently, IMLS is better able to compare projects within and across states and demonstrate the impact of public funds on library services. States are also able to share information about their projects both within the library community and with the public at large.

Agency: Institute of Museum and Library Services.

Title: IMLS Grants to States Program "State Program Reporting System (SPR) Forms.

OMB Number: 3137-0071.

Frequency: Once per year.

Affected Public: State Library Administrative Agencies.

Number of Respondents: 56.

Estimated Average Burden per Response: 47.83 hours.

Estimated Total Annual Burden: 2,678 hours.

Total Annualized capital/startup costs: n/a.

Total Annual costs: \$74,113.

Dated: April 24, 2018.

Kim Miller,

Grants Management Specialist, Office of Grants Policy and Management.

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NATIONAL SCIENCE FOUNDATION

Agency Information Collection Activities: Comment Request

AGENCY: National Science Foundation.

ACTION: Submission for OMB review; comment request.

SUMMARY: The National Science Foundation (NSF) has submitted the following information collection requirement to OMB for review and clearance under the Paperwork Reduction Act of 1995. This is the second notice for public comment; the first was published in the **Federal Register** on February 14, 2018, and no comments were received. NSF is forwarding the proposed renewal 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>.

FOR FURTHER INFORMATION CONTACT:

Comments should be addressed to: Office of Information and Regulatory Affairs of OMB, Attention: Desk Officer for National Science Foundation, 725 7th Street NW, Room 10235, Washington, DC 20503, and to Suzanne H. Plimpton, Reports Clearance Officer, National Science Foundation, 2415 Eisenhower Avenue, Room W18000, Alexandria, Virginia 22314, or send email to splimpto@nsf.gov. Copies of the submission may be obtained by calling Ms. Plimpton at (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).

NSF 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:

Comments: Comments are invited on (a) whether the proposed collection of information is necessary for the proper performance of the functions of the NSF, including whether the information shall have practical utility; (b) the accuracy of the NSF'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 those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

Title: Engineering Industrial Innovation and Partnerships (IIP) Program Monitoring Data Collections.

OMB Control Number: 3145–0238.

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.

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 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.

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 eight (8) 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 (IIP)	Grant Opportunities for 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).

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

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

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.

ESTIMATE OF BURDEN

Collection title	Number of respondents	Annual number of hours/ respondents	Annual hour burden
Grant Opportunities for Academic Liaison with Industry (GOALI)	200	1	200
Innovation Corps (I-Corps) Longitudinal Collection	700	1	700
Innovation Corps (I-Corps) Pre-Course Survey Questionnaire	800	.5	400
Innovation Corps (I-Corps) Post-Course Survey Questionnaire	800	.5	400
Partnerships for Innovation: Accelerating Innovation Research (PFI:AIR)	200	1	200
Partnerships for Innovation: Building Innovation Capacity (PFI:BIC)	30	1	30
Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR)	800	2	1,600
SBIR Baseline Monitoring Survey	800	2	1,600
Total	4,430	8.5	4,880

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.

Estimated Number of Responses per Report: One.

Dated: April 23, 2018.

Suzanne H. Plimpton,

Reports Clearance Officer, National Science Foundation.

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-83091; File No. SR-NASDAQ-2018-029]

Self-Regulatory Organizations; The Nasdaq Stock Market LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Rule 4120 To Correct a Citation

April 23, 2018.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”),¹ and Rule 19b-4 thereunder,²

notice is hereby given that on April 11, 2018, The Nasdaq Stock Market LLC (“Nasdaq” or “Exchange”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I and II below, which Items have been prepared by the Exchange. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization’s Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to change Rule 4120 to correct a citation.

The text of the proposed rule change is set forth below. Proposed new language is italicized; deleted text is in brackets.

* * * * *

4120. Limit Up-Limit Down Plan and Trading Halts

(a)–(b) No change.

(c) Procedure for Initiating and Terminating a Trading Halt

(1)–(8) No change.

(9) For purposes of this Rule and Rule 4753, the process for halting and initial pricing of a security that is the subject of an initial public offering shall also be available for the initial pricing of any other security that has not been listed on a national securities exchange or traded in the over-the-

counter market pursuant to FINRA Form 211 immediately prior to the initial pricing, provided that a broker-dealer serving in the role of financial advisor to the issuer of the securities being listed is willing to perform the functions under Rule 4120(c)[(7)(B)](8) that are performed by an underwriter with respect to an initial public offering.

(10) No change.

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II. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the Exchange included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

Nasdaq is proposing to correct a rule reference found in Rule 4120.

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.