

requested, if the Commission notifies the clearing agency in writing that it does not object to the proposed change and authorizes the clearing agency to implement the proposed change on an earlier date, subject to any conditions imposed by the Commission.

The proposal shall not take effect until all regulatory actions required with respect to the proposal are completed.<sup>18</sup> The clearing agency shall post notice on its Web site of proposed changes that are implemented.<sup>19</sup>

#### IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the advance notice is consistent with the Clearing Supervision Act. Comments may be submitted by any of the following methods:

##### *Electronic Comments*

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an email to [rule-comments@sec.gov](mailto:rule-comments@sec.gov). Please include File No. SR-FICC-2013-802 on the subject line.

##### *Paper Comments*

- Send paper comments in triplicate to Elizabeth M. Murphy, Secretary, Securities and Exchange Commission, 100 F Street NE., Washington, DC 20549-1090.

All submissions should refer to File No. SR-FICC-2013-802. This file number should be included on the subject line if email is used. To help the Commission process and review your comments more efficiently, please use only one method of submission. The

Commission will post all comments on the Commission's Internet Web site (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the advance notice that are filed with the Commission, and all written communications relating to the advance notice between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for Web site viewing and printing in the Commission's Public Reference Room, 100 F Street NE., Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of such filings also will be available for inspection and printing at the principal office of FICC and on FICC's Web site at [http://dtcc.com/downloads/legal/rule\\_filings/2013/ficc/AN\\_FICC\\_2013\\_802.pdf](http://dtcc.com/downloads/legal/rule_filings/2013/ficc/AN_FICC_2013_802.pdf). All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File No. SR-FICC-2013-802 and should be submitted on or before June 13, 2013.

By the Commission.

**Kevin M. O'Neill,**

*Deputy Secretary.*

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**BILLING CODE 8011-01-P**

## SMALL BUSINESS ADMINISTRATION

### SBIR/STTR Phase I to Phase II Transition Benchmarks

**AGENCY:** U.S. Small Business Administration.

**ACTION:** Notice for Small Business Innovation Research Program Phase I to Phase II Transition Benchmarks; Amended.

**SUMMARY:** The Small Business Administration (SBA) is soliciting comments on proposed amendments to the SBIR/STTR Phase I to Phase II transition rate benchmark Table, which was originally published in the **Federal Register** on October 16, 2012. The Table will be amended to change the transition benchmark rate for the U.S. Department of Transportation (DOT) from the current rate of 0.45 to 0.25, and to change the length of the time period used to calculate the transition rate for the Environmental Protection Agency (EPA) and the Department of Education

(ED) from the current length of 10 years to 5 years.

**DATES:** *Effective Date:* The amended rate is effective July 22, 2013.

*Comment Date:* Comments must be received on or before July 8, 2013.

**ADDRESSES:** Comments may be submitted to Edsel Brown, Jr., Assistant Director, Office of Innovation, Small Business Administration, 409 Third Street SW., Washington, DC 20416; or email to [Technology@sba.gov](mailto:Technology@sba.gov).

**FOR FURTHER INFORMATION CONTACT:** Edsel Brown, Jr., Assistant Director, Office of Innovation at the address listed above, or telephone (202) 205-6450.

**SUPPLEMENTARY INFORMATION:** Section 4(a)(3)(iii) of the SBIR Policy Directive (77 FR 46806) and the STTR Policy Directive (77 FR 46855) require each agency to establish an SBA-approved Phase I-Phase II Transition Rate benchmark for the minimum required number of Phase II awards the applicant must have received relative to a given number of Phase I awards during a specified period. Section 5165 of the SBIR/STTR Reauthorization Act of 2011, requires SBA to publish the approved benchmarks and any subsequent changes to the benchmarks in the **Federal Register** and solicit comments from the public at least 60 days before the benchmarks can take effect. As a result, on October 16, 2012, at 77 FR 63410, SBA published the required notice in the **Federal Register** announcing that the Agency had approved the benchmarks for the 11 SBIR/STTR participating agencies and requested comments on those benchmarks. The benchmarks, including the required transition rates and the time period used to calculate the rates, were subsequently published on [www.sbir.gov](http://www.sbir.gov).

The approved and published transition benchmark rate for DOT is currently 0.45 and DOT uses a five year period for the benchmark calculation. DOT is revising its benchmark rate from 0.45 to 0.25. After review of the transition rates, DOT concludes that a benchmark rate of 0.25 is more appropriate for its SBIR program than the benchmark rate of 0.45. DOT is interested in providing small businesses with an ample opportunity to participate in its SBIR program and considers the lower rate to be more consistent with the innovative and exploratory nature of SBIR Phase I research. DOT is not changing the time period used for this benchmark.

The approved and published time period used by EPA and ED for this benchmark calculation is currently 10 years. EPA and ED have concluded that

<sup>18</sup> FICC also filed the proposals contained in this advance notice as a proposed rule change under Section 19(b)(1) of the Act and Rule 19b-4 thereunder, seeking Commission approval to permit it to change its rules to reflect the proposed changes in this advance notice. Securities Exchange Act Release No. 69470 (Apr. 29, 2013), 78 FR 26093 (May 3, 2013) (File No. SR-FICC-2013-02). Pursuant to Section 19(b)(2) of the Exchange Act, within 45 days of the date of publication of the proposed rule change in the **Federal Register** or within such longer period up to 90 days (i) as the Commission may designate if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the self-regulatory organization consents, the Commission will: (A) by order approve or disapprove such proposed rule change, or (B) institute proceedings to determine whether the proposed rule change should be disapproved. 15 U.S.C. 78s(b)(2)(A). The Commission will consider all public comments received on these proposed changes regardless of whether the comments are submitted in response to the proposed rule change (File No. SR-FICC-2013-02) or this advance notice (File No. SR-FICC-2013-802).

<sup>19</sup> See 17 CFR 240.19b-4(n)(4).

the 5 year period is appropriate and that the use of a uniform period across all agencies would make the requirement less confusing and burdensome on potential applicants.

The amended Table will read as follows:

Agency	Benchmark rate (Phase II/ Phase I)	Length of period (years)
USDA .....	0.25	5
DOC (NIST) .....	0.25	5
DOC (NOAA) .....	0.25	5
NASA .....	0.25	5
DHS .....	0.25	5
DOE .....	0.25	5
EPA .....	0.25	5
DoD .....	0.25	5
NSF .....	0.25	5
DOT .....	0.25	5
ED .....	0.25	5

**Authority:** 15 U.S.C. 638(9).

**Pravina Raghavan,**

*Director, Office of Innovation and Technology.*

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## SOCIAL SECURITY ADMINISTRATION

### Agency Information Collection Activities: Proposed Request and Comment Request

The Social Security Administration (SSA) publishes a list of information

collection packages requiring clearance by the Office of Management and Budget (OMB) in compliance with Public Law 104-13, the Paperwork Reduction Act of 1995, effective October 1, 1995. This notice includes revisions of OMB-approved information collections.

SSA is soliciting comments on the accuracy of the agency's burden estimate; the need for the information; its practical utility; ways to enhance its quality, utility, and clarity; and ways to minimize burden on respondents, including the use of automated collection techniques or other forms of information technology. Mail, email, or fax your comments and recommendations on the information collection(s) to the OMB Desk Officer and SSA Reports Clearance Officer at the following addresses or fax numbers.

(OMB), Office of Management and Budget, Attn: Desk Officer for SSA, Fax: 202-395-6974, Email address:

*OIRA\_Submission@omb.eop.gov.*

(SSA), Social Security Administration, DCRDP, Attn: Reports Clearance Director, 107 Altmeyer Building, 6401 Security Blvd., Baltimore, MD 21235, Fax: 410-966-2830, Email address:

*OR.Reports.Clearance@ssa.gov.*

I. The information collections below are pending at SSA. SSA will submit them to OMB within 60 days from the date of this notice. To be sure we consider your comments, we must receive them no later than July 22, 2013.

Individuals can obtain copies of the collection instruments by writing to the above email address.

1. *Waiver of Your Right to Personal Appearance before an Administrative Law Judge—20 CFR 404.948(b)(1)(i) and 416.1448(b)(1)(i)—0960-0284.*

Applicants for Social Security, Old Age, Survivors and Disability Insurance (OASDI) benefits and Supplemental Security Income (SSI) payments have the statutory right to appear in person (or through a representative) and present evidence about their claims at a hearing before an administrative law judge (ALJ). If claimants wish to waive this right to appear before an ALJ, they do so in writing. Form HA-4608 serves as a written waiver for the claimant's right to a personal appearance before an ALJ. The ALJ uses the information we collect on Form HA-4608 to continue processing the case, and makes the completed form a part of the documentary evidence of record by placing it in the official record of the proceedings as an exhibit. Respondents are applicants or claimants for OASDI and SSI, or their representatives, who request to waive their right to appear in person before an ALJ.

*Type of Request:* Revision of an approved-OMB information collection.

Modality of completion	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated total annual burden (hours)
HA-4608 .....	12,000	1	2	400

2. *Letter to Custodian of Birth Records/Letter to Custodian of School Records—20 CFR 404.704, 404.716, 416.802, and 422.107—0960-0693.* When individuals need help in obtaining evidence of their age in connection with Social Security number (SSN) card applications and claims for

benefits, SSA can prepare SSA-L106, Letter to Custodian of School Records, or SSA-L706, Letter to Custodian of Birth Records. SSA uses the SSA-L706 to determine the existence of primary evidence of age of SSN applicants. SSA uses both letters to verify with the issuing entity, when necessary, the

authenticity of the record submitted by the SSN applicant or claimant. The respondents are schools, State and local bureaus of vital statistics, and religious entities.

*Type of Request:* Revision of an OMB-approved information collection.

Modality of completion	Type of respondents	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated total annual burden (hours)
SSA-L106 .....	Private Sector .....	1,800	1	10	300
SSA-L106 .....	State/Local/Tribal Government .....	1,800	1	10	300
SSA-L706 .....	Private Sector .....	1,800	1	10	300
SSA-L706 .....	State/Local/Tribal Government .....	1,800	1	10	300
Totals .....	.....	7,200	.....	.....	1,200