

Microbusiness, Innovation Science and Technology Survey for Calendar Year 2010 DRAFT

Survey introduction

This objective of this survey is to understand the innovation and technology that is taking place among the smallest companies in the United States. The survey is conducted for the National Science Foundation, a federal agency responsible for the nation's statistics on science and technology.

Your answers are important to understanding how the smallest companies change and grow to keep ahead in a competitive world.

This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. All information you provide is protected under the NSF Act and the Privacy Act of 1974, and will be used only for research or statistical purposes for the purposes of analyzing data. Any information publicly released (such as statistical summaries) will be in a form that does not personally identify you or your company. Your response is voluntary and failure to provide some or all of the requested information will not in any way adversely affect you. Response to this survey is estimated to require 20 minutes.

If the survey envelope is missing, please return this questionnaire to:

Audrey Kindlon
National Science Foundation
4201 Wilson Blvd.
Arlington, VA 22230

For questions, please call 703-292-2332.

Overall company information

NOTE: Please answer the next three questions to find out whether you should fill out this questionnaire.

1. Did your company cease operations prior to April 1, 2010?

Yes → **Stop here.**

Please enter the date your company ceased operations and return the survey form.

Date: _____

No → Continue with next question

2. Did another company own more than 50 percent of your company during 2010?

Yes → **Stop here.**

Please enter the date your company was purchased and return the survey questionnaire.

Date: _____

No → Continue with next question

3. How many employees did your company have on March 12, 2010? (*Enter numbers*)

Please include full-time and part-time employees working within the United States or in other countries

Males

Females

Total employees on March 12, 2010

STOP → If your company had 5 or more employees as of March 12, 2010, please stop now and return the questionnaire.

NOTE: During the testing phase questions 1 – 3 should be confirmed prior to the interview.

4. How many contractors did your company employ on March 12, 2010? (*Enter numbers*)

Please include full-time and part-time contractors.

Total contractors on March 12, 2010

5. What year did you start your company? (*Check one.*)

Give the first year you obtained an EIN (Employer Identification Number) or the year you filed your first tax return for this company.

[] 2003 or earlier

[] 2004

[] 2005

[] 2006

[] 2007

[] 2008

[] 2009

[] Uncertain

6. Was your company located in a research-dedicated facility (science park, incubator, etc.) during any of the first five years you were in business? (*Check one*)

[] Yes

[] No

[] Other (*Please specify*)

7. Did one or more academic institutions have an ownership stake in your company during 2010? (*Check one*)

[] Yes

[] No

[] Other (*Please specify*)

- 8.
9. Did your company try to get any funding over the past three years from the sources in the list below?

	Yes, tried to get funding	Yes, got funding	No, did not try
a. Banks or credit unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Other companies as investors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Family and friends	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Angel capital funding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Venture capital funding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Federal government's Small Business Technology Transfer Program (STTR)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Federal government's small business innovation research program (SBIR)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. During the last three years, did your company do any of the following? (*Check one for each row*)

	Yes	No	Don't Know
a. Hired university professors for short-term projects in science and engineering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Hosted student interns pursuing undergraduate or graduate degrees in science or engineering for at least one month	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Employed postdoctoral researchers (postdocs) in science or engineering for at least one month	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Partnered with a government (state or federal) agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Partnered with a company/corporation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Did you work with any of the following on your company's business strategy over the past three years?

- Another company
- A private consultant
- University tech transfer office
- Other university personnel
- Non- profit organization
- Federal lab
- Federal agency
- Other (Please specify)

12. How much did your company spend, if any, on upgrading or purchasing machinery or equipment during 2010? (Check one)

Machinery or equipment includes advanced machinery, equipment and computer hardware or software for the purpose of implementing a new or improved method of production or delivery of a service or to produce new or significantly improved goods or services.

- None
- Less than \$10,000
- \$10,000 to \$100,000
- \$100,001 to \$1,000,000
- \$1,000,001 to \$5,000,000
- More than \$5,000,001
- Uncertain

13. Where did your company sell goods and/or services during the past three years?

- | | Yes | No |
|---|--------------------------|--------------------------|
| a. Within your state | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Other states or U.S. territories | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Canada or Mexico | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Other nations besides Canada or Mexico | <input type="checkbox"/> | <input type="checkbox"/> |

14. Considering where your company is today, how positive or negative are you about your company's growth over the next 12 months?

- Very Positive
- Positive
- Not positive or negative
- Negative
- Very Negative
- Uncertain

15. How many additional employees do you plan to hire in the next 12 months?

- None
- 1-2
- 3-4
- 5-10
- 11-20
- 21-50
- 51 or more
- Uncertain

Sales of Goods and Services

16. What were your company’s 2010 net sales including both domestic and foreign sales? (Enter number; if none, enter zero.)

Net sales are the value of goods and services sold during the year, net of discounts, returns, and allowances.

\$

If none, check here and skip to Question 18.

17. Approximately, what share of your company’s 2010 revenues came from the following? (Enter percentage; percentages should equal 100%; if none, enter zero)

Source of revenue	Percent
Selling <u>products</u> to customers, including other companies	_____ %
Selling <u>services</u> to customers, including other companies	_____ %
Licensing technologies not including product sales to end customers	_____ %
TOTAL	100%

18. What percent of your net sales and operating revenues for 2010 were domestic (sold in the United States and its territories)? (Enter number; if none, enter zero)

%

Improvements to Goods and Services

19. Did you or your company introduce any of the following during the three year period 2007 to 2010?

Yes No

a. New or significantly improved goods

Exclude
 - The simple resale of new goods purchased from others
 - Changes of a solely aesthetic nature

b. New or significantly improved services

c. New or significantly improved methods of manufacturing or producing goods or services

d. New or significantly improved logistics, delivery, or distribution methods for your inputs, goods, or services

e. New or significantly improved support activities for your processes

Examples of processes:
 - Maintenance systems
 - Operations for purchasing, accounting, or computing

20. Did you sell any new or significantly improved **goods** during 2010 with the following improvements? (Check yes or no for each row.)

If you did not sell any new or significantly improved **goods** during 2010, please check here and skip to Question 24.

	Yes	No
a. Improved performance	<input type="checkbox"/>	<input type="checkbox"/>
b. More user-friendly	<input type="checkbox"/>	<input type="checkbox"/>
c. Reduced costs	<input type="checkbox"/>	<input type="checkbox"/>
d. New features	<input type="checkbox"/>	<input type="checkbox"/>
e. Other improvements (Please specify)	<input type="checkbox"/>	<input type="checkbox"/>

21. During the last three years, did your company start selling any new or significantly improved goods or services **before** your competitors in at least one of your markets?

Include a product even if it was available in another market.

- Yes
- No
- Uncertain

22. During the last three years, did your company start selling any new or significantly improved goods or services **after** your competitors in at least one of your markets?

- Yes
- No
- Uncertain

23. What percent of your company's 2010 sales were new or significantly improved **goods**? (Enter number; if none, enter zero)

%

24. What percent of your company's 2010 sales of new or significantly improved goods were to **domestic customers** rather than foreign customers? (Enter number; if none, enter zero)

%

25. Did you sell any new or significantly improved **services** during 2010 with the following improvements? (Check yes or no for each row.)

If you did not have any revenues from new or significantly improved **services** during 2010, please check here and skip to Question 27.

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. Improved performance | <input type="checkbox"/> | <input type="checkbox"/> |
| b. More user-friendly | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Reduced costs | <input type="checkbox"/> | <input type="checkbox"/> |
| d. New features | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Other improvements
(Please specify.) | <input type="checkbox"/> | <input type="checkbox"/> |

26. What percent of your company's 2010 sales revenue was from new or significantly improved **services**? (Enter number; if none, enter zero)

%

27. What percent of your company's 2010 sales revenue was from new or significantly improved services provided to **domestic customers** rather than foreign customers? (Enter number; if none, enter zero)

%

28. During 2010, did your company make any significant improvements in its operations in the following areas? (Check yes or no for each row.)

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. Reduced our company's use of energy | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Reduced our company's production costs | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Increased our company's productivity | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Updated our company's operations with better technology | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Please list any other significant improvements in your company's operations | | |

29. During the last three years, did your company make significant improvements in any of the following production, marketing or distribution areas?

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. How you produce your products | <input type="checkbox"/> | <input type="checkbox"/> |
| b. How you distribute/deliver your products | <input type="checkbox"/> | <input type="checkbox"/> |
| c. How you market your products | <input type="checkbox"/> | <input type="checkbox"/> |
| d. How you sell your products | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Please list any other significant improvements in your company over the last three years. | | |

30. During the last three years, how important was each of the following for increasing your company’s technical knowledge? (*Check one for each row*)

	Very important	Moderately important	Somewhat important	Not very important	Did not use
a. Scientific publications (journals, technical newsletters, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Conferences or other technical meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Patent data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Internet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Please list others below.					

31. Over the past 12 months, what portion of your company’s total staff time was spent on government regulations? (Include local, state, regional and federal.)

- None
- Less than 10%
- 11 – 20%
- 21 – 30%
- 31 – 40%
- 41 – 50%
- 51 – 60%
- 61 – 70%
- 71 – 80%
- 81 – 90%
- 91 – 100%
- Uncertain

Patents and licensing

32. Did your company own any patents during 2010? (*Check one*)

- Yes → Continue with next question
- No → Skip to Question 39

33. How many U.S. patents did your company own as of December 31, 2010? (*Enter number; if none, enter zero*)

patents

34. In 2010, how much revenue, if any, did your company earn licensing your company’s patents to other organizations? (*Enter number; if none, enter zero.*)

\$

35. How many new agreements did your company enter into during 2010 to **license patents to** other organizations? (*Enter number; if none, enter zero.*)

agreements

36. How many U.S. patents were issued to your company in 2010? (*Enter number; if none, enter zero*)

patents

37. How many U.S. patent applications did your company file in 2010? (*Enter number; if none, enter zero*)

Do not include applications for provisional patents.

patent applications

38. ***For the U.S. patents you filed in 2010***, how many did you seek any additional patent protection in foreign countries or from the international patent system? (*Enter numbers; if none, enter zero.*)

patents

39. How many patent applications do you expect to file during 2009? (*Enter number; if none, enter zero.*)

patent applications

→ If you reported "0," skip to Question 39.

Intellectual property transfers

40. Did your company participate in the following activities relating to intellectual property in 2010? (*Check one for each row*)

	Yes	No	Uncertain
a. Transferred intellectual property (patents, trade secrets, copyrights, etc.) to others using a technical assistance or “know-how” agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Received intellectual property from others using a technical assistance or “know-how” agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Participated in cross-licensing agreements to permit one party to use the invention that is the subject of one or more patents owned by the other party	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Allowed free use of patents or other intellectual property owned by your company (for example, allowing free use of software patents by the open source community)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Made use of patents or other intellectual property that is available for free use, such as patents made available by the open source community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

41. During the last three years, how important were the following to your strategy for protecting your company’s intellectual property? (*Check one for each row*)

	Very important	Moderately important	Somewhat important	Not very important	Uncertain
a. Utility patents (patents for inventions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Design patents (patents for appearance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Trademarks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Copyrights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Trade secrets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Nondisclosure agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

g. Please list any others below.

R&D

42. What was your company’s total R&D expense for 2010 worldwide (both domestic and foreign)? *(Enter number; if none, enter zero.)*

R&D is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods or services.

R&D does **not** include expenditures for:

- Routine quality control testing
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects such as films, music, or books and other publications
- Prospecting or exploration for natural resources

\$

43. What is your company’s projected R&D expense for 2009? *(Enter number; if none, enter zero.)*

\$

44. Which five-digit business code from the list on pages 12 and 13 best describes your company at end of 2010? *(Enter number; if none, enter zero.)*

45. How much of your company’s 2010 R&D is related to the business code you selected in Question 43? *(Check one)*

If no R&D in 2010, check here and skip to Question 58.

- All
- Almost all
- More than half
- About half
- Less than half
- Only a little
- None
- Uncertain

46. How much of your company’s 2010 purchases of new machinery or equipment (that is, your answer to Question 11) was used for R&D operations? *(Check one)*

- All
- Almost all
- More than half
- About half
- Less than half
- Only a little
- None
- Uncertain

Business segment codes for Question 34**Aerospace & Defense**

- 33641 Aircraft manufacturing
- 33642 Aircraft engine and engine parts manufacturing
- 33643 Other aircraft parts and auxiliary equipment manufacturing
- 33644 Guided missiles, space vehicles and parts manufacturing
- 33692 Military armored vehicle, tank, and tank components manufacturing
- 33452 Search, detection, navigation, guidance, aeronautical, and nautical system and instruments manufacturing
- 33660 Ship and boat building

Automobiles, Motorcycles & Components

- 33610 Motor vehicles manufacturing
- 33620 Motor vehicle body and trailer manufacturing
- 33630 Motor vehicle parts manufacturing
- 33691 Motorcycle, bicycle, and parts manufacturing
- 33699 All other transportation equipment manufacturing

Capital Goods

- 33430 Audio and video equipment manufacturing
- 33330 Commercial, service industry, temperature control, and air-flow control machinery manufacturing
- 33312 Construction machinery manufacturing
- 23600 Construction of buildings
- 33360 Engine, turbine, and power transmission equipment manufacturing
- 33200 Fabricated metal products manufacturing
- 33311 Farm machinery and equipment manufacturing
- 23700 Heavy and civil engineering construction
- 33322 Industrial machinery manufacturing, except semiconductor machinery
- 33390 Metalworking and other general purpose machinery manufacturing
- 33313 Mining machinery and equipment manufacturing
- 33651 Railroad rolling stock manufacturing
- 33660 Ship and boat building
- 23800 Specialty trade contractors

Commercial and Professional Services (including contract research)

- 54120 Accounting, tax preparation, bookkeeping and payroll services
- 54180 Advertising and related services
- 54130 Architectural, engineering, and related services
- 56140 Business support services
- 53240 Commercial and industrial machinery and equipment rental and leasing
- 54110 Legal services
- 54160 Management, scientific, and technical consulting services
- 56190 Office administrative, facilities, employment, and other support services
- 54190 Professional, scientific, and technical services (Not listed elsewhere in this category)

- 32300 Printing and related support activities
- 56290 Remediation and other waste management services
- 54170 Scientific research & development services
- 54140 Specialized design services
- 56150 Travel arrangement and reservation services
- 56210 Waste collection, treatment, and disposal

Consumer Goods & Services

- 71300 Amusement, gambling, and recreation industries
- 31500 Apparel manufacturing
- 33430 Audio and video equipment manufacturing
- 81110 Automotive repair and maintenance
- 31210 Beverage manufacturing
- 51520 Cable and other subscription programming (except Internet)
- 62440 Child day care services
- 44800 Clothing and clothing accessories stores
- 23600 Construction of buildings
- 53220 Consumer goods and general rental centers
- 61100 Educational services
- 33500 Electrical equipment, appliances, and components manufacturing
- 45410 Electronic shopping and mail-order houses
- 44300 Electronics and appliance stores
- 44500 Food and beverage stores
- 31100 Food manufacturing
- 72200 Food services and drinking places
- 33700 Furniture and related products manufacturing
- 45200 General merchandise stores
- 51600 Internet publishing and broadcasting
- 56160 Investigation, security, and services to buildings and dwellings
- 31600 Leather and allied products manufacturing
- 33990 Miscellaneous manufacturing (Not elsewhere listed in this category)
- 51200 Motion picture and sound recording (except Internet)
- 44100 Motor vehicle and parts dealers
- 71200 Museums, historical sites, and similar institutions
- 51110 Newspaper, periodical, book, and directory
- 45490 Nonstore retailers, except electronic shopping and mail-order houses
- 71100 Performing arts, spectator sports, and related industries
- 81200 Personal care, death care, laundry, and other personal services
- 51510 Radio and television broadcasting (except Internet)
- 81190 Repair and maintenance, except automotive
- 45990 Retail trade stores, including gasoline stations (Not elsewhere listed in this category)
- 32591 Soap, cleaning compound, and toilet preparations manufacturing
- 62400 Social assistance (except child day care services)
- 31300 Textile mill products
- 31220 Tobacco manufacturing
- 56150 Travel arrangement and reservation services
- 72100 Traveler accommodation services

Energy

- 21210 Coal mining

22110 Electric power generation, transmission, and distribution
 21100 Oil and gas extraction
 33313 Oil and gas field machinery and equipment manufacturing
 32400 Petroleum and coal products manufacturing
 48610 Pipeline transportation of crude oil, refined petroleum, and miscellaneous products, except natural gas
 48620 Pipeline transportation of natural gas
 21300 Support activities for oil and gas operations

Financials

52230 Activities related to credit intermediation
 52420 Agencies, brokerages, and other insurance related activities
 52210 Depository credit intermediation
 52500 Funds, trusts, and other financial vehicles
 52410 Insurance carriers
 52100 Monetary authorities-central bank
 52220 Nondepository credit intermediation
 53100 Real estate
 52300 Securities, commodity contracts, and other financial investments and related activities

Health Care

33451 Electromedical, electrotherapeutic and irradiation apparatus manufacturing
 62210 General medical and surgical hospitals
 62160 Home health care services
 32543 In-vitro diagnostic substances manufacturing
 62150 Medical and diagnostic laboratories
 33910 Medical equipment and supplies manufacturing
 62300 Nursing and residential care facilities
 62120 Offices of dentists and other health practitioners
 62110 Offices of physicians
 62190 Outpatient care centers and other ambulatory health care services
 32541 Pharmaceutical, medicinal, botanical, and biological products (except diagnostic) manufacturing
 62220 Psychiatric, substance abuse, and specialty hospitals
 54170 Scientific research & development services

Information Technology - Goods and services

33429 Communication equipment manufacturing, except broadcasting, wireless, and telephone apparatus
 54150 Computer systems design and related services
 33410 Computers and peripheral equipment manufacturing
 51820 Data processing, hosting, and related services
 33500 Electrical equipment, appliances, and components manufacturing
 51900 Information services (Not elsewhere listed in this category)
 51810 Internet service providers and web search portals
 33460 Manufacturing and reproducing magnetic and optical media manufacturing
 33459 Measuring and control instruments manufacturing (Not listed elsewhere in this category)
 33422 Radio and television broadcasting and wireless communications equipment manufacturing

33452 Search, detection, navigation, guidance, aeronautical, and nautical system and instruments manufacturing
 33440 Semiconductor and other electronic components manufacturing
 33321 Semiconductor machinery manufacturing
 51120 Software
 33421 Telephone apparatus manufacturing

Materials

32511 Basic chemicals manufacturing
 32790 Cement, concrete, lime, gypsum, and other nonmetallic mineral product manufacturing
 32710 Clay and glass products manufacturing
 33150 Ferrous and nonferrous foundries
 33110 Iron and steel mills, ferroalloy, and steel product from purchased steel
 21220 Metal ore mining
 33130 Nonferrous metals production and processing
 21230 Nonmetallic mineral mining and quarrying
 32592 Paint, adhesive, and other chemical manufacturing
 32200 Paper manufacturing
 32530 Pesticide, fertilizer, and other agricultural chemical manufacturing
 32600 Plastics and rubber products manufacturing
 32512 Resin, synthetic rubber, and artificial synthetic fibers and filaments manufacturing
 32591 Soap, cleaning compound, and toilet preparations manufacturing
 21310 Support activities for solid mineral operations
 32100 Wood products manufacturing

Telecommunication Services

51750 Cable and other program distribution
 51740 Satellite telecommunications
 51790 Telecommunications services (Not listed elsewhere in this category)
 51710 Wired telecommunications carriers
 51720 Wireless telecommunications carriers (except satellite)

Transportation

48100 Air transportation
 53210 Automotive equipment rental and leasing
 49200 Couriers and messengers
 48200 Rail transportation
 48700 Scenic and sightseeing transportation
 48800 Support activities for transportation
 48500 Transit and ground passenger transportation
 48400 Truck transportation
 49300 Warehousing and storage
 48300 Water transportation

Utilities

22110 Electric power generation, transmission, and distribution
 22120 Natural gas distribution
 56290 Remediation and other waste management services
 56210 Waste collection, treatment, and disposal
 22130 Water, sewage, and other systems

47. How would you characterize the R&D you conducted in 2010? (*Check one*)

- One-time project
- Part of company's on-going or regular R&D
- Uncertain
- Other (*Please specify*)

48. Of the 2010 R&D expense reported in Question 41, how much was performed by your company? (*Check one*)

- All
- Almost all
- More than half
- About half
- Less than half
- Only a little
- None
- Uncertain

49. How many of your company's employees worked at least part of the time on 2010 R&D-related activities? (*Enter numbers*)

Males	<input type="text"/>
Females	<input type="text"/>
Total	<input type="text"/>

50. How many full-time equivalents (FTEs) did your company employ for 2010 R&D-related activities? (*Enter nearest whole number*)

Full-time equivalent (FTE) adjusts for (1) part-time employees, and (2) full-time employees who do not always work on R&D.

Examples:

An employee working half-time on R&D would be counted as .5 FTE.

A full-time employee who worked 6 of the 12 months on R&D would be counted as .5 FTE.

Whole Tenths

		FTEs
--	--	------

51. Were any of your employees working on R&D-related activities employed outside the 50 United States and D.C. during 2010? (*Check one*)

- Yes
- No
- Uncertain

52. How much of your employees' 2010 R&D work was funded by the U.S. federal government? (*Check one*)

- All
- Almost all
- More than half
- About half
- Less than half
- Only a little
- None
- Uncertain

53. How much of your company's 2010 R&D expense was used for wages, salaries, and fringe benefits? (*Check one*)

- [] All
 [] Almost all
 [] More than half
 [] About half
 [] Less than half
 [] Only a little
 [] None
 [] Uncertain

54. Was any of your company's 2010 R&D expense part of an R&D agreement with any of the following? (*Check one for each row*)

	Yes	No	Uncertain
a. Companies located <u>in</u> the United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Companies located <u>outside</u> the United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Universities, colleges, and academic researchers, including individual principal investigators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Other nonprofit organizations and foundations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. U.S. federal government labs or agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Foreign government labs or agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. State and local governments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

→ If you mark "yes" for any of rows a to g, please continue to next question; otherwise, skip to Question 55.

- [] All
 [] Almost all
 [] More than half
 [] About half
 [] Less than half
 [] Only a little
 [] None
 [] Uncertain

55. How much of your company's 2010 R&D expense involved R&D agreements? (*Check one*)

56. What percentage of your company’s 2010 R&D was a) applied research, b) basic research, and c) development? (*Enter numbers*)

Applied research – the research aimed at solving a specific problem or meeting a specific, recognized need. %

Basic research – the research aimed at acquiring new knowledge or understanding without a specific application or use in view. %

Development – the systematic use of knowledge gained from research that is used in the production of a useful goods, methods, or services. %

Total %

58. How much of your company’s 2010 R&D expense was for developing software products? (*Check one*)

- All
- Almost all
- More than half
- About half
- Less than half
- Only a little
- None
- Uncertain

57. Did your 2010 R&D apply to any the following research areas? (*Check one for each row*)

You may use more than one category for the same R&D project

	Yes	No	Uncertain
a. Agriculture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Biotechnology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Defense	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Energy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Environmental protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Health/Medical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Nanotechnology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reporting

59. Is the time period covered by this report a calendar year?

Yes

No → What is the time period covered?

From		To	
Month	Year	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

60. Please provide the following information for a person we may contact regarding the answers to this survey.

Name

Title

Telephone

Extension

Fax

Extension

E-mail address

61. Please provide any comments or remarks below.

Thanks for your participation in this survey.

Definitions:

Angel Capital - An “angel” is a high net worth individual who invests directly into promising entrepreneurial businesses in return for stock in the companies.

Consultants - An individual who contributes labor and expertise to an established business. Contractors are usually, but not always, considered temporary. A contractor is not an employee and receives 1099 for their expenses.

Employees – An individual, either full time or part time, who contributes labor and expertise to an established business. Employees are usually, but not always considered permanent. An employee is not a contractor and receives a W-2 at the end of the year.

Intellectual property – A product that has commercial value, including copyrighted property such as literary or artistic works, and ideational property, such as patents, appellations of origin, business methods, and industrial processes.

Research and Development - The planned, systematic pursuit of new knowledge or understanding toward general application (basic research); the acquisition of knowledge or understanding to meet a specific, recognized need (applied research); and the application of knowledge or understanding toward the production or improvement of a product, service, process, or method (development).

Venture Capital - Financial support (usually capital) provided to early-stage, high-potential companies. The venture capital fund makes money by owning equity in the companies it invests in.