

APPENDIX II: TECH-NET: DATA FIELDS AND QUESTIONNAIRE

(a) The following are the data collection fields for the Public (Awards) Database as described in Section 11(e)(9) of the SBIR/STTR Policy Directives for all SBIR/STTR annual data submissions to the SBA.

OMB Approval No. 3245-0356  
Expiration: 03/31/2009

TECHNET Public (Awards) Database

Field Name	Required Code	Type	Width	Description
1. Program Identification	MA	Numeric	1	STTR/ SBIR Award Program Identifier 0=STTR; 1=SBIR
2. Company		Char	80	Company Name
3. Company Division		Char	80	Company Division
4. Street1	MA	Char	80	Street Address 1
5. Street2		Char	80	Street Address 2
6. City	MA	Char	40	City
7. State	MA	Char	2	State
8. Zip	MA	Numeric	5	Zip
9. Zip4	MA	Numeric	4	Zip + 4
10. Socially and Economically Disadvantaged Small Business	MA	Numeric	1	Socially and Economically Disadvantaged Small Business indicator (Allowable values: 0=yes; 1=no)
11. Women	MA	Numeric	1	Women-owned company indicator (Allowable values: 0=yes 1=no)
12. HUBZone Certified	MA	Numeric	1	HUBZone Certified Small Business Concern (Allowable values: 0=yes; 1=no)
13. Contact First	MA	Char	40	Company Official

				contact first name
14. Contact Last	MA	Char	40	Contact last name
15. Contact Middle Initial		Char	1	Contact middle initial <b>(One character only – no periods or full names)</b>
16. Contact Title	MA	Char	40	Contact Official title
17. Contact Phone	MA	Char	10	Contact Official phone <b>(Ten characters only, for example 9999999999)</b>
18. Contact Email Address	MA	Char	50	Contact email address
19. Employees	MA	Numeric	5	Number of employees
20. Agency Code	MA	Numeric	2	Awarding agency <b>(see below)</b>
21. Branch	MA	Number	1	Awarding DOD <b>(see below)</b>
22. Phase I Award Year	MA	Numeric	4	Phase I Year
23. Phase I Projected Total Amount	MA	Numeric	10	Phase I Projected Total Amount
24. Phase II Award Year	M2	Numeric	4	Phase II Year <b>(Phase II records only)</b>
25. Phase II Projected Total Amount	M2	Numeric	10	Phase II Projected Total Amount <b>(Phase II records only)</b>
26. PI First	MA	Char	40	Principal Investigator First Name
27. PI Last	MA	Char	40	Principal Investigator Last Name
28. PI Middle Init	MA	Char	1	Principal Investigator middle initial <b>(one character only – no periods or full names)</b>
29. PI Title	MA	Char	40	Principal Investigator Title

30. PI Phone	MA	Char	10	Principal Investigator phone ( <b>Ten characters only, for example 9999999999</b> )
31. PI Email Address	MA	Char	50	Principal Investigator email address
32. Topic Code	MA	Char	15	Agency Solicitation Topic Number
33. RI TYPE	MT	Numeric	1	Type of research institution ( <b>see below</b> )
34. RI Category	MT	Numeric	1	Type of University (allowable pre-filled data ANSI=Alaskan Native-Serving Institution; HBCU=Historically Black College or University; HSI=Hispanic-Serving Institution; TCU=Tribal College or University; NHSI=Native Hawaiian-Serving Institution ( <b>STTR only</b> ) <b>(auto-fill based on data inserted in element 37)</b> )
35. Phase I Projected Total to RI	MT	Numeric	10	Phase I Projected Total Amount to

				University
36. Phase II Projected Total Amount to RI	MT	Numeric	10	Phase II Projected Total Amount to University
37. RI Name	MT	Char	80	Research institution <b>(proper name of RI—no acronyms or abbreviations)</b>
38. RI Street 1	MT	Char	80	Research institution address <b>(STTR only)</b>
39. RI Street 2		Char	80	Research institution address <b>(STTR only)</b>
40. RI City	MT	Char	40	Research institution city <b>(STTR only)</b>
41. RI State	MT	Char	2	Research institution State <b>(STTR only)</b>
42. RI Zip	MT	Numeric	5	Research institution Zip <b>(STTR only)</b>
43. RI Zip4		Numeric	4	Research institution Zip + 4
44. RI Official First		Char	40	Research institution Official First Name
45. RI Official Last		Char	40	Research institution Official Last Name
46. RI Official Initial		Char	1	Research institution Official Middle Initial <b>(One character only – no periods or full names)</b>
47. RI Official Phone		Char	10	Research Institution Official's phone # <b>(Ten characters only for example, 9999999999)</b>
48. Tracking Number	MA	Char	20	Agency key identifier

				(Internal number scheme)
49. TIN/EIN	MA	Char	10	Taxpayer/Employer Identification number <b>(Prefix with 1 for EIN; 2 for Social Security Number. This field must be a valid EIN or TIN)</b>
50. Contract/Grant Number	MA	Char	20	Agency Award Contract/Grant Number
51. Solicitation Number	MA	Char	20	Solicitation Number
52. Solicitation Year	MA	Numeric	4	Year of the Solicitation
53. Title	MA	Char	800	Title of research project
54. Abstract	MA	Char	1500	Technical Abstract
55. Results		Char	1000	Project anticipated results
56. Comments	MT	Char	1000	Project comments
57. Project Initiator	MT	Char	1	Initiator of STTR collaborative effort <b>(allowable values: S=Small Business Concern; R=Research Institution) (STTR only)</b>
58. Technology Used	MT	Char	1	SBC or RI originate any technology used in the STTR project <b>(Allowable values: S=Small Business Concern; R=Research Institution) (STTR only)</b>
59. Time to establish license agreement (months)	MT	Numeric	2	Time duration to establish any STTR license agreement

				<b>(STTR only)</b>
60. STTR Proceeds Distribution to SBC (%)	MT	Numeric	2	Allocation of proceeds from sale of STTR technology <b>(STTR only)</b>
61. STTR Proceeds Distribution to RI (%)	MT	Numeric	2	Allocation of proceeds from sale of STTR technology <b>(STTR only)</b>

\*\*\*\*\* From this point each data element should be sent as a separate file \*\*\*\*\*

TITLE	Char	800	Title of research project *
Tracking Number	Char	20	Agency key identifier (Internal number scheme)*

Abstract	Char	1500	Technical abstract (500 words)
Tracking Number	Char	20	Agency key identifier (Internal number scheme)*
Abstract SeqNmb	Numeric	1	

Results	Char	1000	--Project anticipated results
Tracking Number	Char	20	Agency key identifier (Internal number scheme)*

COMMENTS	Char	1000	--Project comments
Tracking Number	Char	20	Agency key identifier (Internal number scheme)*

Industry Share Amount	Numeric	10	ATP Program Cost Share Amount
Cost Share Tracking #	Char	20	ATP Cost Share Tracking Number

General Information: Agency submissions must be complete and timely. Each of the 61 fields must be represented in your submission as shown in the tables above. If a particular field such as 37, “*RI Category*” is not applicable, it must still be included in your submission even though it will be empty. When applicable, data field 34 “*RI Category*” will be filled automatically once the proper name of the college or university is entered in field 37, “*RI Name*.” If data field 34 is not applicable, TechNet will detect the “blank” and auto-fill this field appropriately. Each agency must ensure that data submissions to the SBA include all of the data fields above, even if they are empty.

The collection of this information, which is mandated by statute, [see, 15 U.S.C. 638(k)] will be used to conduct program reviews and audits and to report to Congress on technology and demographical statistics for the STTR/SBIR programs. Information such as Employee Identification and Tax Identification numbers and the data related to special categories for RI including the dollar amounts subcontracted or subgranted to these institutions by the small business concern that was awarded a Phase I or Phase II STTR contract or grant will be considered privileged and confidential, and therefore exempt from disclosure under the Freedom of Information Act. Data in the following fields will also be kept confidential: Project Initiator; Technology Used; time to establish license agreement; STTR proceeds distribution to SBC; STTR proceeds distribution to RI. This information will be available only to authorized persons within the reporting firm and to those Federal officials with specific clearance.

(b) Codes

Code Program Identification Code (Field 1)

- 0 STTR (Small Business Technology Transfer Program)
- 1 SBIR (Small Business Innovation Research Program)
- 2 ATP (Advanced Technology Program)

Code Research Institution Types (Field 33)

- 1 Nonprofit college or university
- 2 Domestic nonprofit research organization
- 3 Federally funded research and development center (FFDRC)

Code RI Category (Field 34)

- 1 Alaskan Native-Serving Institution (ANSI)
- 2 Hispanic-Serving Institution (HSI)
- 3 Historically Black College or University (HBCU)
- 4 Tribal College or University (TCU)
- 5 Native Hawaiian-Serving Institution

- (1) Program Identification Code  
 0 STTR (Small Business Technology Transfer)  
 1 SBIR (Small Business Innovation Research)
- (2) Agency Codes
- |    |      |  |
|----|------|--|
| 1  | DOD  | (Department of Defense)                          |
| 2  | DOE  | (Department of Energy)                           |
| 3  | NASA | (National Aeronautics and Space Administration)  |
| 4  | HHS  | (Health and Human Services)                      |
| 5  | NSF  | (National Science Foundation)                    |
| 6  | DOT  | (Department of Transportation)                   |
| 7  | EPA  | (Environmental Protection Agency)                |
| 8  | ED   | (Department of Education)                        |
| 9  | DOA  | (Department of Agriculture)                      |
| 10 | DOC  | (Department of Commerce)                         |
| 11 | NIST | (National Institute of Standards and Technology) |
- (3) Branch Codes
- |   |      |   |
|---|------|---|
| 1 | AF   | (Department of the Air Force)               |
| 2 | ARMY | (Department of the Army)                    |
| 3 | MDA  | (Missile Defense Agency)                    |
| 4 | DARP | (Defense Advanced Research Projects Agency) |
| 5 | DSWA | (Defense Special Weapons Agency)            |
| 6 | NAVY | (Department of the Navy)                    |
| 7 | OSD  | (Office of the Secretary of Defense)        |
| 8 | SOCO | (Special Operations Command)                |
| 9 | NIMA | (National Imaging and Mapping Agency)       |

You are not required to respond to a collection of information unless it displays a currently valid OMB control number. The reporting burden for the collection of this information is 30 minutes per response. Comments on this burden should be sent to U.S. Small Business Administration, Chief, AIB, 409 3<sup>rd</sup> Street S.W., Washington, DC 20416, and Desk Officer for Small Business Administration Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. PLEASE DO NOT SEND YOUR COMPLETED FORMS TO OMB.

- (c) The following is the information collection questionnaire for the Government (Commercialization) Database as described in section 11(e)(10) of this Policy Directive.



The SBIR/STTR Commercialization Database is a secure, on-line database mandated by Congress to maintain information on the economic impact of the SBIR and STTR programs. Analysis of the information in the Commercialization Database will be used to improve the administration of and assess the merits of the program.

SBA has developed a two-stage development of the commercialization data reporting system. For the first stage, information will be entered directly by authorized program officials at the SBIR/STTR participating agencies. Agencies will input data they have collected from their awardees into the TechNet system beginning in FY2009. The fields are listed below. The definitions of key terms used in the questionnaire are also listed below.

Certain information provided for this database will be considered privileged and confidential, and therefore exempt from disclosure under the Freedom of Information Act. It will be available only to authorized persons within the reporting firm and to those Federal officials with specific clearance.

In the second stage, a Phase I or II award will be collected directly from SBIR/STTR awardee companies. Data will be collected in the following way. Any firm applying for a Phase I or II award will be required at the time of application to complete and update the relevant information in the Commercialization Database on all previous Phase II awards received by that firm. The Commercialization Report Questionnaire will be an integral step in the SBIR and STTR proposal process for all agencies. Proposals will not be accepted until this information is completed. (2) Firms finishing a Phase II project will be required to complete and update the information in the Commercialization Database at the termination of the award period. SBIR and STTR awardees will be requested to voluntarily update the information in this database annually for a minimum period of 5 years following the completion of the project.

The on-line reporting system will provide firms the opportunity to update the information at any time. Relevant information previously provided to any of the funding agencies by an awardee firm will be placed in the Commercialization Database, reducing redundant reporting.

### **TechNet Commercialization Fields**

#### COMPANY INFORMATION

Company outcomes occurring, at least in part, as a result of this award:

Completed an IPO: Yes\_\_\_ No\_\_\_

Year of IPO: \_\_\_

Value of IPO: \$\_\_\_

Awardee acquired: Yes\_\_\_ No\_\_\_

Awardee acquired year: \_\_\_

Awardee acquired dollar amount: \$\_\_\_

Number of patents: \_\_\_

Number of copy-rights: \_\_\_\_\_

Brief narrative of commercial, economic, other impacts this award has had on the firm: \_\_\_\_\_

#### PROJECT COMMERCIALIZATION REPORT

[Further outcomes as a result of this award]

Sales to: (cumulative dollar amount to date)

Federal / prime contractor: \$\_\_\_\_

Private sector: \$ \_\_\_\_

Other: \$\_\_\_\_

Additional Investment from: (cumulative dollar amount to date)

Federal / prime contractors: \$\_\_\_\_

Angel capital: \$ \_\_\_\_

Venture capital: \$ \_\_\_\_

The SBC itself (internal funds): \$ \_\_\_\_

Other: \$\_\_\_\_

Please specify other sources of investment: \_\_\_\_\_

Brief narrative describing the commercial application: \_\_\_\_\_

PLEASE NOTE: The estimated burden for completing this form is 10 minutes per response. You are not required to respond to a collection of information unless it displays a currently valid OMB control number. Comments on this burden should be sent to U.S. Small Business Administration, Chief, AIB, 409 3rd Street S.W., Washington, DC 20416, and Desk Officer for Small Business Administration Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. PLEASE DO NOT SEND FORMS TO OMB.

The **TechNet** SBIR/STTR Commercialization Database will include the records of all applicants for Phase I and Phase II awards, including those that did not receive awards. These records include the agency to which the application was submitted.

Pursuant to 15 U.S.C. 638(k)(4), information provided for this database is privileged and confidential and is not considered to be publication for purposes of 35 U.S.C 102 (a) or (b). You are not required to respond to a collection of information unless it displays a currently valid OMB control number. The estimated burden for collection of this information is one hour per response. Comments on this burden should be sent to the U. S. Small Business Administration, Chief, AIB, 409 3<sup>rd</sup> Street, S.W., Washington, D.C. 20416, and the Desk Officer for the U. S. Small Business Administration Office of Management and Budget, New Executive Building, Room 10202, Washington, D.C. 20503. Please do not send your completed forms to OMB.

#### DEFINITION OF TERMS:

##### Sales

- “Sales” includes cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under this Phase II project.
  - o Count only such revenue accruing to the firm and not to other entities, except in the following circumstance. If the firm sold or licensed the technological know-how developed under Phase II to another entity, also count as sales the cash revenue accruing to the other entity from its sale of new products or non-R&D services embodying the Phase II technology.
  - o If the new product/service embodying the Phase II technology is a component of a larger product/service (e.g., an improved coating on an existing optical lens product), count only the sales attributable to the component rather than the larger product/service.

- “Sales” does not include:
  - SBIR/STTR contracts or grants (Phase I or II), or revenue from any other R&D activities, including follow-on R&D contracts or grants. “R&D activities” include any activities directed toward reducing the technical risk of the technology.
  - Revenue from the sale or license of technological know-how.
  - Revenue from the firm's sales to an [affiliate](#) [a link to the regulation on affiliation] of your firm.

#### Additional Investment

“Additional Investment” includes investment by any source other than the federal SBIR/STTR program in activities that further the development and/or commercialization of the specific technology developed under the Phase II project. Examples of such activities include:

- Additional R&D on the Phase II technology;
- Manufacturing/production start-up;
- Purchase of plant and equipment for manufacturing/production;
- Protection of intellectual property;
- Obtaining certifications;
- Marketing start-up and marketing; and
- Training of workforce to manufacture or sell new products embodying the Phase II technology.

These may be activities funded and conducted by the awardee firm or by other entities.

#### ACCOUNTING INSTRUCTIONS

1. Do not count the same item as both “sales” and “additional investment,” and do not include Phase I or Phase II SBIR/STTR awards in either category.
2. If two or more Phase II projects contributed to a single new product that has generated sales revenue and/or additional investment, apportion the sales and investment among the contributing projects without double-counting. Example: Phase II projects A and B lead to a new software product that has generated sales of \$10 million to the Army and \$12 million to retail software stores. For both projects A and B, enter \$5 million for sales to Federal or prime contractor and \$6 million for sales to the private sector.
3. Count only sales and investment to date, and not projected sales and investment. For sales to or investment by the government, count only the amount of government funding that has been obligated to date and not the total award amount.
4. For purposes of this report, the “firm” includes all affiliates.